

**OFFICE OF THE ATTORNEY GENERAL**

**Sexual Assault Services Program Grant**

**FY 2020-2021 Grant Application Kit**

**APPLICATION DEADLINE:  
11:59 p.m. CDT  
Friday, June 21, 2019**

**This Kit contains the following:**

- I. General Instructions**
- II. Definitions**
- III. Instructions for GOALS**
- IV. Certifications and Assurances**
- V. Required Documents**

**TABLE OF CONTENTS**

**I. GENERAL INSTRUCTIONS .....4**

**HOW TO OBTAIN AN APPLICATION KIT .....4**

**APPLICATION SUBMISSION .....5**

**REQUIRED SOFTWARE .....6**

**AVAILABILITY OF FUNDS .....6**

**GRANT CONTRACT PERIOD .....6**

**ELIGIBLE APPLICANTS .....7**

**ELIGIBLE BUDGET CATEGORIES .....7**

**INELIGIBLE COSTS .....7**

**INELIGIBLE ACTIVITIES .....7**

**FUNDING LEVELS .....8**

**MATCH REQUIREMENTS .....8**

**VOLUNTEER REQUIREMENTS .....8**

**STATE AND FEDERAL REQUIREMENTS .....8**

**CONTACT INFORMATION .....9**

**PURPOSE AREAS .....9**

**REVIEW PROCESS .....9**

**SCORING .....9**

**GRANT DECISIONS .....10**

**FUNDING PRIORITY .....10**

**GRANT AWARD NOTIFICATION .....10**

**SPECIAL CONDITIONS .....10**

**REPORTING REQUIREMENTS .....10**

**METHOD OF PAYMENT .....11**

**II. DEFINITIONS.....12**

**III. INSTRUCTIONS FOR GOALS.....15**

**IV. OAG CERTIFICATIONS AND ASSURANCES.....20**

**V. REQUIRED DOCUMENTS .....31**

## I. GENERAL INSTRUCTIONS

### Sexual Assault Services Program Grant

#### **How to Obtain an Application Kit:**

The Office of the Attorney General (OAG) has posted the Application Kit on the OAG website at <https://www.texasattorneygeneral.gov/divisions/grants>. Updates and other helpful reminders about the Application process will also be posted at this location. Potential Applicants are encouraged to refer to this site for updates.

This Application Kit provides the information and forms necessary to prepare an Application for funding through the OAG for the Sexual Assault Services Program Grant.

- *Note:* This kit includes the purpose areas and funding of the FY 2018-2019 Program Grant to a State Sexual Assault Coalition and the Sexual Assault Services Program Grant.
- An Applicant must create an on-line account and complete the Eligibility Questions to determine for which grant(s) the Applicant is able to apply.
- An Applicant may be matched to multiple funding sources based on completed Eligibility Questions.

#### **Applicant Registration (for Applicants who created an account during the Other Victim Assistance Grant (OVAG), Victim Coordinator and Liaison Grant (VCLG), and Sexual Assault Prevention and Crisis Services (SAPCS)-State grant application cycle)**

Applicants who created accounts during the OVAG, VCLG, and SAPCS-State grant application cycle are already registered in the Grant Offering and Application Lifecycle System (GOALS) system.

Registered Applicants should access their Grant Programs webpage (homepage) in GOALS and select the green View Grant Programs button. If the answers provided on the Eligibility questions matched to the Sexual Assault Services Program Grant, the application will be available to the Applicant.

#### **Applicant Registration (for Applicants who did not create an account during the OVAG, VCLG, and SAPCS-State grant application cycle)**

In order to register, an Applicant must designate one person as the point of contact to submit its grant application. To create an on-line account, the Applicant must email the following point of contact information to [Grants@oag.texas.gov](mailto:Grants@oag.texas.gov):

- First Name
- Last Name
- Email Address
- Organization Legal Name

The point of contact will receive a welcome email from GOALS via the [Grants@oag.texas.gov](mailto:Grants@oag.texas.gov) email address. GOALS will prompt the point of contact to create a password. The password must

be 8 characters, with at least 1 Upper Case Letter, 1 Lower Case Letter, 1 Number and 1 Special Character (@, #, \$, &, etc.). The Applicant may also choose to upload a Picture, for example the organization logo.

**The OAG strongly encourages Applicants to register by Tuesday, June 4, 2019 in order to have sufficient time to complete the application.**

**Applicants who did not create an account during the OVAG, VCLG, and SAPCS-State grant application cycle will have to answer Eligibility Questions.**

After the on-line account is activated, the Applicant will be taken to the Grant Programs webpage (Applicant's homepage) in GOALS, where the Applicant will then need to complete the Eligibility Questions under *Your Tasks*.

The Applicant will be required to answer "Yes or No" questions regarding the agency type and purpose as well as provide the Council of Governments (COG) regions and counties served. The Applicant will also be asked to provide its Legislative Districts. If the Applicant does not know its COG or Legislative District, website links are provided in the section headers to assist in obtaining that information. Completing the eligibility questions will determine which grant funding solicitation the Applicant matches.

Once the Eligibility Questions are complete, Select the *View Grant Programs* button at the bottom of the screen. If the Applicant matches to a grant program that has an open solicitation, select and complete the grant application for that applicable funding source.

If a funding source for which the Applicant is intending to apply does not appear under *Grant Programs*, there could be two possibilities:

- A grant program to which the Applicant could potentially match is not open; or
- The answers provided in the Eligibility Questionnaire do not match any of the OAG's open grant solicitations.

The link for GOALS and further instructions can be found on the OAG website at <https://www.texasattorneygeneral.gov/divisions/grants>.

**Application Submission – Deadline is 11:59 p.m. CDT Friday, June 21, 2019**

**Please note: Hard copy or Emailed Applications will not be accepted.**

**To meet the deadline, the Application must be submitted via GOALS.**

- All Applicants must submit the following:
  - One (1) application per matched funding source listed under *Grant Programs*.
  - The following documents must be uploaded:
    - "Statements Supporting Submission of the Application to the Office of the Attorney General" containing signatures.
    - "Resolution of Governing Body" containing signatures. (Please note that the Authorized Official must be designated by signature

of the governing body. If the Authorized Official is also a member of the governing body, the Authorized Official must be designated by another member's signature. The Authorized Official cannot sign the Resolution designating him/herself as the Authorized Official.)

- Job Description(s) in PDF for each position requested on the proposed budget.
  - Excel Budget Template completed for the first-year grant cycle and budget total for the second year of the grant. Must be uploaded in MS Excel format.
- One auto-reply message per application completed and submitted will be generated by GOALS and sent to the email associated with the Applicant's on-line account.

\* If the Applicant does not have the capability to scan the documents (excluding the Excel Workbook) into one PDF, the OAG will accept these documents as separate PDFs. No Microsoft Word or other format documents are acceptable.

The OAG accepts no responsibility for delays in submission, electronic or otherwise. Applicants are strongly advised to allow for and anticipate any such delays by submitting the Application as early as possible.

For security purposes, the OAG cannot accept Applications submitted in other formats, including walk-in, hand delivery, same day courier service or any other hard copy method of delivery. The OAG also will not accept email submissions.

Please contact the OAG at [Grants@oag.texas.gov](mailto:Grants@oag.texas.gov) or (512) 936-0792 if there are any questions about the method of delivery. In order to better assist Applicants with their questions, the preferred method of contact is email. The OAG will not consider or fund an Application if it is not filed by the due date, in the manner required

### **Required Software and Capabilities**

*Microsoft Excel 97* or newer version as well as the *Internet* is required to create an on-line account, complete the Application, and apply for a grant. Please note that not all versions of Microsoft Excel are the same. If an error message is received, save the Excel document as *.xls*, instead of *.xlsx*. *Adobe Reader* is required to access the Application Instructions. *Adobe Reader* can be downloaded for free at [www.adobe.com](http://www.adobe.com).

### **Availability of Funds**

The source of funds is through a biennial appropriation by the Texas Legislature. All funding is contingent upon an appropriation to the OAG by the Texas Legislature. The OAG makes no commitment that an Application, once submitted, or a grant, once funded, will receive subsequent funding.

### **Grant Contract Period – Up to Two Years**

The term of this grant contract is up to two years from September 1, 2019 through August 31, 2021, subject to and contingent on funding and approval by the OAG. If the grant contract

period extends for more than one state fiscal year, the grantee may be required to submit additional documentation relating to the second fiscal year of the grant contract period, including an updated budget. The OAG may base its decision for the second fiscal year funding amounts on the grantee's first year performance, including but not limited to: the timeliness and thoroughness of reporting, effective and efficient use of grant funds and the success of the project in meeting its goals.

### **Eligible Applicants**

**State Sexual Assault Coalitions:** a statewide nonprofit organization that has been identified as a state sexual assault coalition by a state or federal agency authorized to make that designation.

- Non-profit Applicants with 26 U.S.C. § 501(c)(3) status must be in good standing with the Comptroller of Public Accounts and "in existence" with the Secretary of State.

### **Eligible Budget Categories**

- Personnel
- Fringe Benefits
- Professional & Consultant Services
- Travel
- Equipment
- Supplies
- Other Direct Operating Expenses

### **Ineligible Costs**

Ineligible costs include, but are not limited to:

- Payment for lobbying
- Purchasing food and beverages except as allowed under Texas State Travel Guidelines
- Purchasing or leasing vehicles
- Purchasing promotional items or recreational activities
- Paying for travel that is unrelated to the direct delivery of services that supports the OAG funded program
- Paying consultants or vendors who participate directly in writing a grant Application
- Paying any portion of the salary or any other compensation for an elected government official
- Payment of bad debt, fines or penalties
- Payments for sexual assault medical forensic examinations
- Payments for medical care
- Purchasing any other products or services the OAG identifies as inappropriate or unallowable
- Payments for costs that have been reimbursed by the Crime Victims' Compensation Program
- Any unallowable costs set forth in state or federal cost principles

### **Ineligible Activities (not reimbursable)**

Ineligible activities include, but are not limited to:

- Research centered activities (does not include evaluation for program improvement)

- Prosecution centered activities for offender related activities, such as witness coordination, expert witness fees, or prosecutor salaries
- Law enforcement centered activities, such as investigators or patrol officers
- Probation activities that assist an offender
- Offender related activities, such as mediation or alcohol/drug abuse counseling
- Activities performed by Sexual Assault Nurse Examiners (SANEs), or other medical professionals, related to conducting sexual assault medical forensic examinations, including fees or salaries. This does not include professional fees for SANEs or medical professionals who provide victim serve training for an organization

**Funding Levels**

For each fiscal year of the two-year grant term, the following are the minimum and maximum amounts the OAG will reimburse toward the Sexual Assault Services Program Grant funded by this grant. Applications requesting an amount below the minimum or above the maximum may not be considered. If the application is awarded, the budget may be adjusted by the OAG to fit within the minimum and maximum amounts.

	<b>Minimum Amount</b>	<b>Maximum Amount</b>
<b>FY 2020</b>	\$65,000	\$1,224,999
<b>FY 2021</b>	\$65,000	\$1,224,999

- *Note:* The maximum funding level includes the combined maximum funding of the FY 2018-2019 Program Grant to a State Sexual Assault Coalition and the Sexual Assault Services Program Grant.

**Match Requirements**

There are no match requirements for the Sexual Assault Services Program Grant.

**Volunteer Requirements**

All Sexual Assault Services Program Grant Applicants are required to use volunteers in some way to support the mission of their organization. If the organization does not currently utilize volunteers, a plan must be described explaining how a volunteer program will be developed and implemented during the grant term.

If the Applicant currently uses volunteers, they must identify the role of a volunteer within the organization and describe program components related to recruitment and retention.

**State and Federal Requirements**

All Applicants should review and be familiar with the OAG administrative rules governing the SAPCS-State Program. These rules are published in Texas Administrative Code, Title 1, Chapter 62:

[http://texreg.sos.state.tx.us/public/readtac\\$ext.ViewTAC?tac\\_view=4&ti=1&pt=3&ch=62](http://texreg.sos.state.tx.us/public/readtac$ext.ViewTAC?tac_view=4&ti=1&pt=3&ch=62)



In addition to the OAG's administrative rules, Applicants should be familiar with the Uniform Grant Management Standards (UGMS) and relevant Code of Federal Regulations (CFR) that relate to state, and if applicable, federal grant funding.

UGMS can be found at:

- <https://www.comptroller.texas.gov/purchasing/docs/ugms.pdf>  
(Please note: The Texas Comptroller's office is currently working on -revisions to UGMS. The release of the revised version may occur before or after this -Application Kit has been released.)
- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR 200 can be found at: <http://www.ecfr.gov>

### **Contact Information**

Assistance with technical questions about the Application Kit is available via:

- Email: [Grants@oag.texas.gov](mailto:Grants@oag.texas.gov)
- Phone: (512) 936-0792
- GOALS: Select *Help* on the GOALS website for further assistance

Email is the preferred method for submitting questions. Each person submitting a question should include his/her name, the name of the organization, an email address, a phone number and if applicable, the Reference ID Number. Please note that OAG staff cannot assist with writing Applications or how to answer Eligibility questions.

### **Purpose Areas**

Grant contracts awarded under this Application Kit may be used to carry out the purpose of Texas Government Code, Chapter 420, including standardizing the quality of services provided, preventing sexual assault, providing training and technical assistance to sexual assault programs, and improving services to survivors and other individuals affected by sexual violence.

- *Note:* These purpose areas include the content of the FY 2018-2019 Program Grant to a State Sexual Assault Coalition and the Sexual Assault Services Program Grant Application Kits.

### **Review Process**

The OAG will review each complete Application filed by the deadline by an eligible Applicant.

- At any time during the review process, an OAG staff member may contact the Applicant for additional information.
- All areas of the budget are subject to review and approval by the OAG. Decisions related to the budget are based on both eligibility and reasonableness.

### **Scoring**

The OAG will make funding decisions that support the efficient and effective use of public funds. Scoring components may include, but are not limited to: information provided by the applicant on the organization's capacity, infrastructure, current knowledge, efforts, expertise and experience, and on the proposed project activities and budget.

### **Grant Decisions**

During the grant review and award process, the OAG may take into consideration other factors including whether the Applicant has demonstrated acceptable past performance as a grantee in areas related to programmatic and financial stewardship of grant funds.

The OAG may choose to award a grant contract from a different OAG funding source than that for which the Applicant applied.

The OAG is not obligated to award a grant at the total amount requested and/or within the budget categories requested. The OAG reserves the right to make awards at amounts above and/or below the stated funding levels.

The OAG makes final decisions on what is considered a State Sexual Assault Coalition.

All grant decisions including, but not limited to, eligibility, evaluation and review, and funding rest completely within the discretionary authority of the OAG. The decisions made by the OAG are final and are not subject to appeal.

### **Funding Priority**

The OAG reserves the right to consider all other appropriations or funding an Applicant currently receives when making funding decisions. The OAG may give priority to Applicants that do not receive other sources of funding, including funding that originates from the OAG.

### **Grant Award Notification**

The Applicant shall be notified in writing of the OAG's decision regarding a grant award.

The OAG may utilize a grant contract document and/or a notice of grant document once a decision is made to award a grant. The Applicant will be given a deadline to accept the grant award and to return the appropriate document to the OAG within the time prescribed by the OAG. An Applicant's failure to return the signed document, via DocuSign, to the OAG within the prescribed time period will be construed as a rejection of the grant award, and the OAG may de-obligate funds.

### **Special Conditions**

The OAG may assign special conditions at the time of the award. Until satisfied, these special conditions may affect the Applicant's ability to receive funds. If special conditions are not resolved, the OAG may de-obligate up to the entire amount of the grant award.

### **Reporting Requirements**

If an Application is funded, grantees will be required to report to the OAG quarterly, in the manner and schedule as determined by the OAG. Quarterly statistical reports are due no later than the 30<sup>th</sup> day of each month following the end of the quarter. The four quarters end on the last day of the month of November, February, May and August. Reporting on grant project activities and outcomes via quarterly Performance Reports will be required. If reports are not submitted by the established dates, this may affect the Applicant's ability to receive reimbursement.

**Method of Payment**

OAG grants are paid on a cost-reimbursement basis.

## **II. DEFINITIONS**

**Advertising Costs** – The cost of advertising media and corollary administrative costs. Advertising media include magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals and the like. Most advertising costs are unallowable for grant purposes and are only allowable if related to and necessary for performance of the grant, i.e. recruitment of personnel, procurement of goods and services, disposal of surplus materials, other specific purposes necessary to meet the requirements of the grant project, or the availability of services.

**Alternate Designee** – The person designated by the Authorized Official to sign invoices for the agency (i.e., Authorized Official, Executive Director, Financial Director, Auditor, Treasurer, etc.).

**Authorized Official** – Each grantee must designate an Authorized Official. The authorized official may not be the same person as the grant contact. The authorized official is the person authorized to apply for, accept, decline, or cancel the grant for the grantee. This person signs all grant contracts and financial forms as well as any other official documents related to the grant. This person may be, for example, the executive director of the entity, a county judge, or the designee authorized by the governing body in a resolution.

**Contract Staff** – Individuals that are not employed by the organization but are hired contractors of the organization to carry out specific work for the grant.

**DocuSign** – A digital way to receive and sign documents electronically.

**Education – For purposes of this grant includes the following:**

- Outreach – Is victim related and includes but is not limited to public speeches, information booths, media interviews, public service announcements, newsletters, articles, editorials, and website visits conducted for the purpose of generally informing the public about sexual assault related topics and available victim services.
- Training – Is victim related and includes general training sessions, video conference training sessions, and computer based training sessions conducted to train on sexual assault. Training is designed to increase knowledge on sexual assault related topics, impact the skills of individuals interacting with victims, including victim service training, or to improve the overall response to sexual assault. Training may be provided internally to volunteers and staff, or externally to the public.
- Prevention – Includes education and other activities (*e.g.*, community mobilization and social norms change) related to the prevention of sexual violence. May include awareness activities (education to increase knowledge of the dynamics of sexual violence, its causes and consequences, and of services available through the sexual assault program), risk-reduction education (efforts that focus on reducing the risk of an individual in becoming a victim of sexual violence), and primary prevention activities (preventing sexual violence by working to increase protective factors and decrease risk factors of first-time perpetration of sexual violence).

**Employee** – A person under the direction and supervision of the organization, who is on the payroll of the organization and for whom the organization is required to pay applicable income withholding taxes.

**Equipment** – An article of non-expendable, tangible personal property having a useful life of more than one (1) year and a per unit acquisition cost which equals the lesser of the capitalization level established by the grantee for financial statement purposes or \$5,000.

**Fiscal Year** – Texas state fiscal year, beginning on September 1<sup>st</sup> and ending on August 31<sup>st</sup>.

**Fringe Benefits** – Compensation or other benefits provided by the employer to the employee at no charge that is above and beyond salary or wages. Examples include health plans, life insurance, leave, pensions, unemployment benefit plans, and employer's portion of payroll tax.

**Grant Contact** – Each grantee must designate a Grant Contact. The grant contact may not be the same person as the Authorized Official. The grant contact must be an employee of the grantee who is responsible for operating and monitoring the project and who is able to readily answer questions about the project's day-to-day activities. All grant related information will be sent to the Grant Contact.

**Mileage** – Per mile cost when traveling by car may be reimbursed according to the Texas State Travel Guidelines, unless a grantee's travel policy provides a lesser reimbursement.

**Other Direct Operating Expenses** – Costs not included in other budget categories and which are directly related to the day-to-day operation of the grant program. Other direct operating expenses include, but are not limited to, conference registration, rent, utilities, janitorial supplies, liability insurance, and communication.

**Per Diem** – Actual meal expense, incurred on an overnight stay in which the grantee travels outside of their designated headquarters, may be reimbursed according to the Texas State Travel Guidelines, unless a grantee's travel policy provides a lesser reimbursement.

**Personnel** – Employees of this organization that will be funded by this grant. See "Employee".

**Professional & Consultant Services** - Service for which the grantee uses an outside source for necessary support. Professional & Consultant Services include, but are not limited to tax services, accounting services, counseling, legal services, and computer support.

**Project Financial Officer** – This person has primary responsibility for overseeing the financial operations of the grant project and may or may not be the same as the organization's highest financial position. This person may be, for example, the chief financial officer, finance director, county auditor, comptroller or board treasurer.

**Promotional Items** – Articles of merchandise that are branded with a logo and used in marketing and communication programs. They are usually given away to promote a company, corporate image, brand, or event. Most promotional items are unallowable expenditures for

grant purposes and are only allowable if the item is informational and/or instructional in nature and thus provides a public service.

**Reference ID Number** – This number will be assigned by GOALS after an Applicant has started its application for this grant opportunity. The Reference ID Number will be used by the OAG to track the receipt of Applications. The assigned Reference ID Number must be included on all Application documents submitted to the OAG.

**Resolution of Governing Body** – A formal written statement of an official body that is the governing authority of an agency.

**Salary** – The total compensation, not including fringe benefits, earned by the employee without regard to funding source.

**Special Conditions** – A requirement placed on a grant because of a need for information, clarification, or submission of an outstanding requirement of the grant that may result in a financial hold being placed on the OAG grant program. Special conditions may be placed on a grant at any time with or without notice.

**Standardize the Quality of Services Provided/Improve Services to Survivors of Sexual Assault** – Activities conducted on this grant that does not fall under Education (See Education definition).

**Supplies** – Consumable items directly related to the day to day operation of the grant program. Allowable items include, but are not limited to, office supplies, paper, postage, and education resource materials, printers, projectors, laptops, and computers.

**Technical Assistance** – Efforts to build the capacity of sexual assault programs to implement program activities. Assistance may be provided in person (includes video chat conferences), via telephone or email, or onsite.

**Volunteer** – A person who provides an unpaid service to the organization.

## **III. Instructions for GOALS**

### **General Instructions**

Answer the questions only in the space provided. Only answered questions will be read or scored. Not all questions on this Application have instructions listed below. The instructions provided are to clarify and provide specific information where necessary. Every question should be answered in GOALS.

### **Narrative Questions Throughout the Application**

All responses must fit in the text boxes provided not to exceed maximum word limit. It is highly recommended that responses be written on a separate document, then cut and pasted into GOALS. If uncertain whether a response fits in the space provided, use the word count listed below each text box.

### **Specific Form Instructions**

#### **GENERAL INFORMATION**

*Note: This form will need to be completed if it was not completed during the OVAG, VCLG, and SAPCS-State grant application cycle*

Identify which type of organization you are:

- Non-Profit
- Local Unit of Government
- Statewide Governmental Entity

#### **Mailing Address**

Enter Organization mailing address.

#### **Grant Contact**

Enter the contact information for the person the OAG may contact directly for an immediate response and/or changes regarding the grant.

#### **Authorized Official**

Enter the contact information for the person authorized to apply for, accept, decline, or cancel the grant. This person signs all grant adjustment requests, inventory reports, progress reports and financial reports as well as any other official documents related to the grant.

#### **Alternate Designee**

Enter the contact information for the person designated by the Authorized Official to sign invoices for the agency (*i.e.*, Executive Director, Financial Director, Auditor, Treasurer, etc).

#### **Project Financial Officer**

Enter the contact information for the person the OAG contacts with inquiries regarding budget and/or invoice expenditure reimbursements.

### **Organization Information**

- Applicant’s “Doing Business As” (dba):
- Program/Division/Unit Which Would Be Administering Grant
  - If applicable, enter a sub-agency. For example, if a city is applying, they could enter their police department or a state agency could enter their victim outreach section.
- Federal Employer (Tax) ID Number (EIN)
  - EIN is issued by the Internal Revenue Service (IRS)
- Texas Vendor ID Number (VIN)
  - VIN is issued by the Texas Comptroller

## **SEXUAL ASSAULT SERVICES PROGRAM GRANT APPLICATION FORM**

### **Organization**

Identifying and contact information:

- Reference ID Number – This number will automatically be entered for the Applicant.
- Legal Name of Applicant – Enter the legal name of Applicant Organization.
- Name of Agency Contact and Agency Contact’s Telephone Number - Provide a contact name and phone number in the event the OAG has any questions about the Application.

### **Purpose Areas**

Applicant must select its Purpose Area(s) the Applicant is seeking funding for by checking the appropriate box or boxes.

### **Eligibility**

Input “Yes” or “No” for the first question. Note: If you cannot answer in the affirmative, you are not an eligible Applicant Organization.

Provide a narrative response for the second question.

### **Grant Narrative Questions**

Applicant must answer all questions.

## **SEXUAL ASSAULT SERVICES PROGRAM GRANT WORK PLAN**

Complete the Work Plan by entering information for each quarter of the grant in all columns (Activities, Responsible Party, and How will these activities help reach the projects goals). All personnel listed on the budget must be included under responsible party at least once in the Work Plan.



## **BUDGET EXCEL WORKBOOK**

The Budget Excel Workbook is located on the main Application page under “Task.” Download the budget template, complete and upload.

- Enter Reference ID Number, the number assigned to your Application;
- Enter Legal Name of Applicant (Agency’s Legal Name); and
- Ensure the listed Funding Source (Name of Grant) is correct.

### **Budget Calculation**

#### **Personnel and Fringe Benefits**

- Each Applicant is limited to no more than 30 positions.
- Each position listed on the budget can only be associated with one employee. If job sharing, list each position on the budget separately as many times as necessary regardless of time allocated to grant.
- Priority positions should be listed first. Staff Position/Title #1 is highest priority and Staff Position/Title # 30 is lowest priority.
- Over forty (40) hours per position are unallowable on this grant application. Overtime for significant incidences may be allowable after a grant is awarded, as approved by the OAG.
- Job Descriptions are required and must be submitted for all positions requesting funding. Job descriptions must reflect activities that relate to the project’s goals and must be appropriately proportionate to the time spent on the Sexual Assault Services Program Grant.
- The personnel budget category must include employees’ salaries only and not compensation for independent contractors. See the General Definitions section of this Application Kit for a definition of “employee.”
- Salaries for grant funded positions must be reasonable for activities funded on the grant. Salaries may be subject to OAG review.
- Fringe benefits should only be included for the position(s) listed in the Personnel budget category.
- An organization must provide grant funded personnel the same fringe benefits provided to all other non-grant funded personnel, and it should be offered/covered in the organization’s written personnel policies regardless of whether the costs for fringe benefits are paid through that OAG grant.
- Fringe benefits must comply with the organization’s written personnel policies regarding fringe benefits.
- Grantees must agree to comply with the Uniform Grant Management Standards (UGMS), Texas Administrative Code (TAC), and 2 C.F.R. 200 titled, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

For each position, the Applicant must list the position title and the number of hours scheduled to work per week. Fill in the numbers of hours each week that will be spent on hours directly related to the objective of this grant.

For each position in the first fiscal year, provide the following information:

- Annual salary
- Percentage of Salary Requested for Fringe on the grant
- The Total Fringe Requested on this grant column will auto-fill based on the Annual Salary and the % of Salary Requested for Fringe

Note: Total Salary Requested category auto-fills based on the annual salary and the percentage of hours worked on the grant.

### **Personnel Position Narrative(s)**

Provide a summary justification for each position listed under Personnel and Fringe. This should include how each position supports the project goals. All responses must fit in the text boxes provided when the Application is uploaded. Note: Job description(s) must be submitted for each position listed and uploaded under *Upload Additional Documents*.

### **Professional & Consultant Services**

- “Professional & Consultant Services” is defined as a service for which the grantee uses an outside source for necessary support. Professional & Consultant Services include, but are not limited to, tax services, accounting services, counseling, legal services, and computer support.
- This category is appropriate when contracting with an individual or organization to provide professional services (*e.g.*, training, expert consultant, etc.) for a fee but not as an employee of the grantee organization.
- Any contract or agreement entered into by a grantee that obligates grant funds must be in writing and consistent with Texas contract law. The executed contract or agreement must be current, signed, and dated by all parties.
- Grantees must maintain adequate documentation supporting budget items for a contractor’s time, services, travel expenses and rates of compensation. Grantees must establish a contract administration and monitoring system to regularly and consistently ensure contract deliverables are provided as specified in the contract.
- Grant funds may not be used to pay Professional & Consultant Services for a person or vendor who participated directly in writing a grant Application.

### **Professional & Consultant Services Narrative**

Provide a summary justification for each item. This should include how it supports the goal of the grant. All responses must fit in the text boxes provided when the Application is uploaded.

### **Travel**

- Travel expenses must be reasonable and necessary for activities funded on the grant.
- Grant funds requested in the travel category should be for grant related travel performed by grant funded staff and volunteers assigned to the grant only.
- Travel must relate directly to the delivery of services that supports the program funded by the OAG grant.
- Enter the name of the training event, the positions attending the training (separated by a comma), the total cost of travel by expense type (*i.e.*, Airfare/Mileage, Hotel, etc.), and the % requested by this OAG grant in the % column.

- Cost Requested by this OAG Grant will autofill based on expenses and percentage requested.
- In-State Travel: Lodging, mileage, car rental, airfare, and parking may be reimbursed according to the Texas State Travel Guidelines, unless a grantee's travel policy provides for a lesser reimbursement. The reimbursement rate for these expenses can be found in the Texas State Travel Guidelines at: <https://fmx.cpa.state.tx.us/fm/travel/travelrates.php>
- Out-of-State Travel: Lodging, mileage, car rental, airfare, and parking may be reimbursed according to the General Services Administration (GSA) guidelines, unless a grantee's travel policy provides for a lesser reimbursement. The reimbursement rate for these expenses can be found on the GSA website at: <https://www.gsa.gov/travel-resources>
- For this grant, per diem is limited to actual expenses and is reimbursable according to the Comptroller of Public Accounts guidelines, for overnight travel unless a grantee's travel policy provides for a lesser reimbursement. Per diem is unallowable for non-overnight travel for this grant.
- Hotel tax should be included under the Misc./Hotel Tax line.
- If mileage is to be paid, provide the number of miles and the cost per mile, not to exceed the Texas State Travel Guidelines, in the justification under the Travel Narrative.
- Do not include conference registration fees in the travel budget category. Conference registration fees should be listed in the "Other Direct Operating Expenses" budget category.
- The OAG Sponsored Training subsection is only to be used for OAG Sponsored Training (including the annual conference).
- All other training should be listed under the "Additional Training" subsections.

### **Travel Narrative**

Provide a summary justification describing activities the travel grant funded persons will perform. This should include the proposed travel location, the number of trips planned, the title of grant funded persons who will be making the trips, and how the travel supports the goal of the grant. All responses must fit in the text boxes provided when the Application is uploaded.

### **Equipment**

- "Equipment" is defined as an article of non-expendable, tangible personal property having a useful life of more than one (1) year and a per unit acquisition cost which equals the lesser of the capitalization level established by the grantee for financial statement purposes or \$5,000.
- A grantee may use equipment purchased with OAG funds only for grant related purposes.
- Do not include maintenance or rental fees for equipment in the equipment budget category. Equipment maintenance or rental fees should be listed in the "Other Direct Operating Expenses" budget category.
- Enter the % of the total cost allocated to this grant project in the % column of the Equipment Chart.
- Do not include computers in the equipment budget category. Computers should be listed in the supplies budget category under their own line item.

## **Equipment Narrative**

Provide a summary justification for each item. This should include the title of grant funded persons who will be using each piece of equipment and how the use supports the goal of the grant. All responses must fit in the text boxes provided when the Application is uploaded.

## **Supplies**

- “Supplies” is defined as consumable items directly related to the day-to-day operations of the grant program. Allowable items include, but are not limited to, office supplies, paper, postage, and education resource materials, as appropriate.
- The OAG will not approve funds for the purchase of promotional items or recreational activities.
- Computers, regardless of cost, should be included under supplies and should be listed under their own line item.
- Costs for supplies should be allocated for grant funded persons listed on this Application.
- Enter the % of the total cost allocated to this grant project in the % column of the Supplies Chart.
- Each Applicant is required to have access to a computer in order to perform data collection and reporting to the OAG. If the Applicant does not currently have a computer, then one may be budgeted as part of this grant or secured through other means.
- Furniture, regardless of cost, should be included under supplies.

## **Supplies Narrative**

Provide a summary justification for each item. This should include how it supports the goal of the grant. All responses must fit in the text boxes provided when the Application is uploaded.

## **Other Direct Operating Expenses (ODOE)**

- "Other Direct Operating Expenses" are defined as those costs not included in other budget categories that are directly related to the day-to-day operations of the grant program. Examples: Utilities, rent, insurance, security fees, or maintenance fees.
- Registration fees for conferences and other training sessions should be included in this category. List the name of the conference and/or training to be attended.
- Funds may not be used to purchase food and beverages.
- Enter the % of the total cost allocated to this grant project in the % column of the Other Direct Operating Expenses Chart.

## **ODOE and Cost Allocation**

Grantees often allocate program expenses across more than one funding source. Listed below are four allowable allocation methods and examples of how allocation methods can be applied to the appropriate funding source.

- Other Direct Operating Expenses that benefit more than one grant should be allocated proportionately to the benefit or service received. The method used to allocate cost should be a reasonable and measurable means of distributing the cost to those grants, and consistently applied to the type of cost.
- It is acceptable to use different allocation methods for different types of ODOE expense, as long as the allocation method is applied consistently for those expenses.

- Four common and acceptable allocation methods for ODOE expenses are: (1) funding, (2) full-time equivalents (FTE), (3) square footage, and (4) direct use. Allowable methods related to specific costs are shown in the chart below: This chart is an example of using different allocation methods for different specific costs.

**ALLOWABLE ALLOCATION METHODS**

<b>Cost Type</b>	<b>Funding</b>	<b>FTE</b>	<b>Square Footage</b>	<b>Direct Use</b>
Copiers	<b>x</b>	<b>x</b>		<b>x</b>
Data Line	<b>x</b>	<b>x</b>		
Equip Maintenance	<b>x</b>	<b>x</b>		
Janitorial	<b>x</b>	<b>x</b>	<b>x</b>	
Postage	<b>x</b>	<b>x</b>		<b>x</b>
Printing	<b>x</b>	<b>x</b>		<b>x</b>
Rent	<b>x</b>	<b>x</b>	<b>x</b>	
Telephones	<b>x</b>	<b>x</b>		
Utilities	<b>x</b>	<b>x</b>	<b>x</b>	

*The following are descriptions and examples of the acceptable methods:*

(1) Funding Source Based: The proportion of expense borne by each funding source is allocated based on the proportion of funding provided. For example:

<b>Funding Source Based Example</b>	
Total Operating Budget of Grantee A	\$ 475,000
OAG Grant Funds	\$ 75,000
$75,000 \div 475,000 = 0.16$	
OAG Grant portion of the expense = 16%	
<b>The OAG Grant should not be charged more than the allowable ODOE costs. In this example, the allowable portion is 16% of the total cost.</b>	

(2) Full-time equivalents (FTE) Based: FTE is the numerical representation of full and part-time work activities. A person working full-time represents 1.00 FTE; a person working half-time represents .50 FTE.

**Steps to calculate the annual number of FTEs:**

1. Determine the total number of hours worked for all employees.
2. Divide that number by 2080 to calculate the overall total number of FTEs.

3. To obtain the number of FTEs charged to the grant, determine the total number of hours to be directly charged to the grant and divide by 2080. (2080 is the number of hours per year for a full-time FTE at 40 hours per week).
4. To obtain percentage of the grant FTEs, divide the FTE total for the grant by the total of the organization FTEs calculated in step 2.
5. This calculation will provide the percentage of ODOE cost that could be allocated to the grant.

<b>FTE Based Example</b>	
<b>Annual FTE Calculation</b>	20,800 total hours charged for all staff (based on time sheets or payroll records)
	$20,800 / 2080 = 10$ FTEs overall
	5,600 staff hours charged to grant A (based on time sheets or payroll records)
	$5,600 / 2080 = 2.7$ FTE's charged to that grant A
	$2.7$ (FTE charged to grant A) / $10$ (FTEs overall) = $.27$ (27%)
	$27\%$ x ODOE expense = amount to be allocated to grant A

*(3) Square Footage Based:* This is cost calculated by measuring the square footage (sq. ft.) to determine the allocation percentage for direct use and common area. Listed below is an example to determine rent.

**Direct Use** is defined as an area occupied by funded grant staff under this grant.

**Common Area** is defined as an area shared by all employees of the organization.

***Steps to Calculate Square Footage***

1. Calculate the total square footage and divide by the monthly rent to determine the cost per square foot.

Total Sq. Footage = 1250; Rent = \$1200 per month; $\$1200 / 1250 = \$.96$ per sq ft
Suite 1 (Program A) $10 \times 13.8 = 138$ sq ft
Suite 2 (Program B) $10 \times 13.8 = 138$ sq ft
Suite 3 (Program C) $10 \times 13.8 = 138$ sq ft
Suite 4 (Program D) $10 \times 13.8 = 138$ sq ft
Conf. Rm (Common Area) $22 \times 15 = 330$ sq ft
Rest Rm 1 (Common Area) $6 \times 8 = 48$ sq ft
Break Area (Common Area) $8 \times 8 = 64$ sq ft
Storage Rm (Common Area) $8 \times 8 = 64$ sq ft
Hallway (Common Area) $48 \times 4 = 192$ sq ft

2. Multiply the direct use square footage by the cost per square foot. This will provide the direct use cost.

Direct Use Cost by Program	
Program A (Direct Use)	138 sq ft x .96 = \$132.48
Program B (Direct Use)	138 sq ft x .96 = \$132.48
Program C (Direct Use)	138 sq ft x .96 = \$132.48
Program D (Direct Use)	138 sq ft x .96 = \$132.48
Common Area (Allocable ODOE Expense)	698 sq ft x .96 = \$670.08

3. Add the total square feet of all the direct use areas (Program A+ Program B + Program C+ Program D) = Program ABCD direct use (138 + 138 + 138 + 138 = 552).
4. Divide each direct use space by the total direct use to obtain % to distribute Common Area cost (Program A is  $138 / 552 = 25\%$ ).
5. Multiply this percentage by the cost of the Common Area to obtain the additional cost for each program Common Areas. (Program A =  $25\% \times \text{Common Area cost of } \$670.08 = \$167.52$ ).
6. Program A is allocated the \$132.48 based on direct use and \$167.52 for the proportionate Common Area. Program A allocation for rent based on square footage is  $\$132.48 + \$167.52 = \$300.00$ . Repeat for Program B, Program C and Program D.

(4) Direct Use Based: This is used when the ODOE cost can be directly charged to a grant by using meter readings, copy counts, etc.

### **Other Direct Operating Expenses Narrative**

Provide a summary justification for each item. This should include how it supports the goal of the grant. All responses must fit in the text boxes provided when the Application is uploaded.

### **Budget Total for the First Year of the Grant**

This section is auto-calculated based on the Applicant's responses. The Applicant will not enter any information in this section. Applications requesting an amount below the minimum or above the maximum may not be considered. If the Application is awarded, the budget may be adjusted by the OAG to fit within the minimum and maximum amounts.

### **Second Year of the Grant Cycle**

Provide a categorical total budget for the second year of the grant cycle. "Budget Total for the Second Year of the Grant" will be auto-calculated based on the Applicant's responses.

## **IV. OAG CERTIFICATIONS AND ASSURANCES**

### **THE OAG HAS ADOPTED THE FOLLOWING CERTIFICATIONS AND ASSURANCES AS APPLICABLE TO ALL RECIPIENTS OF THE SEXUAL ASSAULT SERVICES PROGRAM GRANT.**

The Applicant agrees to:

(1) Comply with Texas Government Code, Chapter 573, by ensuring that no officer, employee, or member of the Applicant's governing body or of the Applicant's contractor shall vote or confirm the employment of any person related within the second degree of affinity or the third degree of consanguinity to any member of the governing body or to any other officer or employee authorized to employ or supervise such person unless otherwise provided by law, as applicable, under Texas Government Code, Chapter 2252 or Chapter 783. This prohibition shall not prohibit the employment of a person who shall have been continuously employed for a period of two (2) years, or such other period stipulated by local law, prior to the election or appointment of the officer, employee, or governing body member related to such person in the prohibited degree.

(2) Comply, as applicable, with Texas Government Code, Chapter 552, ("Texas Public Information Act") which requires the public information that is collected, assembled or maintained by the Applicant to be available to the public during normal business hours, unless otherwise provided by law as applicable under Texas Government Code, Chapter 2252 or court order.

(3) Comply, as applicable, with Texas Government Code, Chapter 551, ("Texas Open Meetings Act") which requires all regular, special or called meeting of governmental bodies to be open to the public, except as otherwise provided by law or specifically permitted in the Texas Constitution.

(4) Comply with Texas Family Code, Section 231.006, which prohibits payments to a person who is in arrears on child support payments.

(5) If Applicant is a health and human services agency or public safety or law enforcement agency, it may not contract with or issue a license, certificate or permit to the owner, operator or administrator of a facility if the license, permit or certificate has been revoked by another health and human services agency or public safety or law enforcement agency.

(6) If Applicant is a law enforcement agency regulated by Texas Occupations Code, Chapter 1701, it must be in compliance with all rules adopted by the Texas Commission on Law Enforcement Officer pursuant to Chapter 1701, or must provide the OAG with a certification from the Texas Commission on Law Enforcement that the agency is in the process of achieving compliance with such rules.

(7) Agrees that when incorporated into a grant award or contract, these standard assurances become terms or conditions for receipt of grant funds and that the Applicant shall maintain an appropriate contract administration system to ensure that all terms, conditions, and specifications are met.

(8) Comply with the Texas Family Code, Section 261.101 which requires reporting of all suspected cases of child abuse to local law enforcement authorities and to the Texas Department of Family



and Protective Services. Applicant shall also ensure that all program personnel are properly trained for and aware of this requirement.

(9) Comply with all applicable state and federal statutes relating to nondiscrimination. These include, but are not limited to, the following: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–83, 1685–86), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps, and the Americans With Disabilities Act of 1990 (42 U.S.C. §§ 12131–34); (d) the Age Discrimination Act of 1974, as amended (42 U.S.C. §§ 6101–07), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3, 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 *et seq.*), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which Application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the Application.

(10) Comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 3141–48), the Copeland Act (40 U.S.C. § 3145 and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 3701–08), regarding labor standards for federally assisted construction sub-agreements.

(11) Comply, as applicable, with the requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P. L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

(12) Comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501–08, 7324 *et seq.*), which limit the political activity of employees whose principal employment activities are funded in whole or in part with Federal funds.

(13) Comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act (29 U.S.C. §§ 201 *et seq.*) and the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4701 *et seq.*), as applicable.

(14) Ensure, as applicable, that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating

that a facility to be used in the project is under consideration for listing by the EPA, (Executive Order (EO) 11738).

(15) Comply, as applicable, with the flood insurance purchase requirements of 102(a) of the Flood Disaster Protection Act of 1973 (P.L., 93-234, 42 U.S.C. §§ 4001 *et seq.*). Section 102 (a) requires the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition proposed for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards.

(16) Comply, as applicable, with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and EO 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. § 1451 *et seq.*); (f) conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 *et seq.*); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

(17) Comply, as applicable, with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 *et seq.*) related to protecting components or potential components of the national wild and scenic rivers system.

(18) Comply, as applicable, in assisting the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966 (P.L. 89-665), as amended, EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (P.L. 86-523), as amended.

(19) Comply, as applicable, with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 *et seq.*) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

(20) Comply, as applicable, with the Lead-Based Paint Poisoning Prevention Act (P.L. 91-695), as amended, which prohibits the use of lead-based paint in construction or rehabilitation of residential structures.

(21) Comply, as applicable, with the Pro-Children Act of 1994 (P.L. 103-227, 20 U.S.C. §§ 6081–84), which prohibits smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

(22) Comply, as applicable, with the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000 (22 U.S.C. § 7104), as amended, which prohibits grant award recipients or a sub-recipient from (1) engaging in severe forms of trafficking in persons during the period of

time that the award is in effect, (2) procuring a commercial sex act during the period of time that the award is in effect or (3) using forced labor in the performance of the award or sub-awards under the award.

(23) Comply with all applicable federal and state tax laws and be solely responsible for filing all required state and federal tax forms.

(24) Comply with all applicable requirements of all other federal and state laws and requirements governing this program.

(25) Certifies, as a signatory party to the grant contract, that it is not debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs.

(26) Comply with applicable provisions of the model HIV/AIDS work place guidelines of the Texas Department of State Health Services, as required by the Texas Health and Safety Code, Section 85.001 *et seq.*

### **Other Certifications and Assurances**

#### **EQUAL EMPLOYMENT OPPORTUNITY PROGRAM CERTIFICATION**

The Applicant certifies that if it is required to file an Equal Employment Opportunity Plan (EEOP), the Applicant will do so in compliance with the applicable federal requirements.

#### **DISCLOSURE AND CERTIFICATION REGARDING LOBBYING**

The Applicant certifies:

1. No federal/state appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress or the Texas Legislature, or an employee of a member of Congress or the Texas Legislature in connection with the awarding of any federal/state contract, the making of any federal/state grant, the making of any federal/state loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal/state contract, grant, loan, or cooperative agreement; and

2. If any non-federal/state funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress or the Texas Legislature, an officer or employee of Congress or the Texas Legislature, or an employee of a member of Congress or the Texas Legislature in connection with this federal/state contract, grant, loan, or cooperative agreement, the undersigned shall contact the Grants Administration Division of the OAG for the “Disclosure Form to Report Lobbying.”

#### **NON-PROCUREMENT DEBARMENT CERTIFICATION**

The Applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal or State benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

- (b) Have not within a three-year period preceding this Application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three-year period preceding this Application had one or more public transactions (Federal, State, or local) terminated for cause or default. Tex. Gov't Code § 2155.077.

If Applicant is unable to certify to any of the statements in this Non-procurement Debarment certification, the Applicant shall attach an explanation. Funding is contingent upon OAG review of this explanation.

#### **DRUG-FREE WORKPLACE CERTIFICATION**

As applicable, the Applicant certifies that it will provide a drug-free workplace by:

- A. Publishing a statement notifying employees/assignees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.
- B. Establishing a drug-free awareness program to inform employees/assignees about:
  - 1. The dangers of drug abuse in the workplace;
  - 2. The Applicant's policy of maintaining a drug-free workplace;
  - 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
  - 4. The penalties that may be imposed upon employees/assignees for drug abuse violations.
- C. Making it a requirement that each employee/assignee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (A).
- D. Notifying the employee/assignee in the statement required by paragraph (A) that, as a condition employment/assignment under the grant, the employees/assignee will:
  - 1. Abide by the terms of the statement, and
  - 2. Notify the Applicant and OAG, of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction.
- E. Notifying the agency within ten days after receiving notice under subparagraph (D) (2) from an employee/assignee or otherwise receiving actual notice of such conviction.
- F. Taking one of the following actions with respect to any employee/assignee so convicted:
  - 1. Taking appropriate personnel action with respect to any employee/assignee so convicted;
  - 2. Requiring such employee/assignee to participate satisfactorily in drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
- G. Making a good faith effort to continue to maintain a drug-free workplace through the implementation of paragraphs (A), (B), (C), (D), (E), and (F).

### **ANNUAL SINGLE AUDIT CERTIFICATION**

As applicable, the Applicant certifies to the best of its knowledge and belief that one of the following applicable requirements will be met:

1. The Applicant currently expends \$750,000 or more, in combined federal funds during the fiscal year; and, therefore, is required to submit an annual single audit by an independent auditor made in accordance with the Single Audit Act Amendments of 1996 and Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR 200.
2. The Applicant currently expends \$750,000 or more in combined state funds during the fiscal year; and, therefore, is required to submit an annual Single Audit by an independent auditor made in accordance with the Uniform Grant Management Standards (UGMS).
3. The Applicant currently expends less than \$750,000 in either federal or state funds during the fiscal year; and therefore is exempt from the Single Audit Act and cannot charge audit costs to an OAG grant. Applicant agrees that the OAG may require a limited scope audit as defined in Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR 200 and Uniform Grant Management Standards.

If this Application is for funds in excess of \$25,000, the Applicant certifies the following:

By submission of this proposal, that neither the Applicant nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or state agency.

If the Applicant is unable to certify the above statements, the Applicant has attached an explanation to this Application.

### **COMPLIANCE WITH ANNUAL INDEPENDENT FINANCIAL AUDIT FILING REQUIREMENT**

The Applicant assures that it will file an Annual Independent Financial Audit of the complete program and/or organization and management letter of the audit findings within nine months of the end of the fiscal year of the agency. An annual independent financial audit is a requirement for this OAG grant. The audit will meet Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR 200 and Uniform Grant Management Standards (UGMS) requirements. Additionally, the annual independent financial audit will meet Generally Accepted Government Auditing Standards in the event a Single Audit is not required.

### **COMPLIANCE WITH UGMS AND THE APPLICABLE 2 CFR 200**

The Applicant assures that it will follow the guidelines in the Uniform Grant Management Standards (UGMS). Both governmental entities as well as non-profit entities are required to follow UGMS guidelines.

The Applicant assures compliance with all applicable federal and state law and requirements, including, but not limited to, UGMS, as well as 2 CFR 200 titled Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

### **RETURN OF GRANT FUNDS IN THE EVENT OF LOSS OR MISUSE**

The Applicant agrees that in the event of loss or misuse of the OAG funds, the Applicant assures that the funds will be returned to the OAG in full.

### **CONFLICT OF INTEREST**

The Applicant assures that there is no conflict of interest that would preclude it from filing the Application or providing the services under this grant. By submitting this Application, Applicant affirms that it has neither given, nor intends to give, at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant or any employee or representative of same, at any time during the procurement process or in connection with this grant Application, except as allowed under relevant state and federal law. The Applicant further agrees that it will establish safeguards to prohibit its employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain. The Applicant shall operate with complete independence and objectivity without actual, potential, or apparent conflict of interest with respect to the activities conducted under this grant.

Without diminishing the provisions of the prior paragraph, the Applicant assures that as a grantee, grantee personnel, members of a grantee board or governing body, or other persons affiliated with the grant project shall not participate in any proceeding or action where grant funds personally benefit, directly or indirectly, the individuals or their relatives unless otherwise provided by law as applicable under Texas Government Code, Chapter 225. For the purposes of this provision, "relatives" means persons related to the individual within the third degree by consanguinity or within the second degree by affinity, as determined by Chapter 573 of the Government Code. Grant personnel and officials must avoid any action that results in or creates the appearance of using their official positions for private gain; giving preferential treatment to any person; losing independent judgment or impartiality; making an official decision outside of official channels; or adversely affecting the confidence of the public in the integrity of the program or the OAG.

### **AUTHORITY TO FILE APPLICATION**

The Applicant has the authority or will receive the appropriate authority by the Applicant's governing body to file the Application, including the authority to agree to the assurances and certifications contained herein

## **V. REQUIRED DOCUMENTS FOR SUBMISSION OF APPLICATION**

### **APPLICATION**

- The Application must be submitted via GOALS

### **“STATEMENTS SUPPORTING SUBMISSION OF THE APPLICATION TO THE OFFICE OF THE ATTORNEY GENERAL”**

- It must be signed by the Authorized Official or designated Authorized Official submitted at the time the Application is submitted to the OAG.
- Applications that are received by the OAG without this document will not be considered or funded by the OAG.

### **“RESOLUTION OF GOVERNING BODY”**

- It must be signed and uploaded at the time the Application is submitted to the OAG, unless the timing of the Application due date and requirements of the Texas Open Meetings Act or other requirements prevent the governing body from reviewing and approving the Resolution, and then it may be submitted to the OAG at a later date. (Please note that the Authorized Official must be designated by signature of the governing body. If the Authorized Official is also a member of the governing body, the Authorized Official must be designated by another member’s signature. **The Authorized Official cannot sign the Resolution designating him/herself as the Authorized Official.**

**JOB DESCRIPTIONS** are required for each position requested in the proposed budget.

- Job descriptions must be uploaded with the Application under “Upload Additional Documents”. Missing job descriptions may impact the Applicant’s funding.
- Job description titles **must** match the titles of the positions on the proposed budget.

**THE APPLICANT SHOULD UPLOAD “STATEMENTS SUPPORTING SUBMISSION OF THE APPLICATION TO THE OFFICE OF THE ATTORNEY GENERAL,” “RESOLUTION OF GOVERNING BODY,” JOB DESCRIPTION(S), AND IN EACH OF THE CORRESPONDING “TASKS” LOCATED ON THE MAIN PAGE OF YOUR APPLICATION.**

**STATEMENTS SUPPORTING SUBMISSION OF THE APPLICATION  
TO THE OFFICE OF THE ATTORNEY GENERAL**

**REQUIRED TO BE SUBMITTED WITH THE APPLICATION BY 11:59 P.M. CDT FRIDAY, JUNE 21,  
2019 OR THE APPLICATION WILL NOT BE CONSIDERED.**

**INSTRUCTIONS:** Submit this signed required document with the Application.

**LEGAL NAME OF APPLICANT:** \_\_\_\_\_

**REFERENCE ID NUMBER:** \_\_\_\_\_

**1. THIS APPLICATION IS FOR:**

- **Sexual Assault Services Program Grant**

**2. TRUE AND CORRECT INFORMATION.** The undersigned certifies that the information contained in this Application is true and correct to the best of his or her knowledge.

**3. OAG CERTIFICATIONS AND ASSURANCES.** The undersigned has read and understands the Certifications and Assurances contained in the Application Kit.

**4. DEADLINES AND SUBMISSION OF APPLICATION.**

The undersigned understands that the deadline for submission is 11:59 p.m. CDT, Friday June 21, 2019, and that to meet the deadline, the Applicant must finalize and upload all applicable documents as required in the Application Kit. The undersigned further acknowledges that:

- It is the Applicant's responsibility to submit the Application to the OAG in the specified manner and by the specified date and time;
- Applications submitted in other formats will not be accepted;
- The OAG accepts no responsibility for delays in electronic submission delivery; and
- Late Applications will not be considered under any circumstance.

**5. JOB DESCRIPTIONS FOR EACH REQUESTED POSITION.** The undersigned understands that the most recent job description for each position requested in the proposed budget must be submitted with the Application. Missing job descriptions may impact the Applicant's score.

**6. RESOLUTION OF GOVERNING BODY.** The undersigned states it is either submitting the Resolution of Applicant's governing body with this Application or will submit one at a later date as established by the OAG. If the timing of the Application due date and requirements of the Open Meetings Act or other requirements prevents the governing body from reviewing and approving the Resolution, then it may be submitted to the OAG at a later date.

\_\_\_\_\_  
Authorized Official Signature

\_\_\_\_\_  
Authorized Official Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



*(SAMPLE FORM OF RESOLUTION OF GOVERNING BODY)*

**RESOLUTION OF GOVERNING BODY—REQUIRED**

**REQUIRED TO BE SUBMITTED WITH THE APPLICATION BY 11:59 P.M. CDT, FRIDAY, JUNE 21, 2019. IF THE TIMING OF THE APPLICATION DUE DATE AND REQUIREMENTS OF THE TEXAS OPEN MEETINGS ACT OR OTHER REQUIREMENTS PREVENT THE GOVERNING BODY FROM REVIEWING AND APPROVING THE RESOLUTION, THEN IT MAY BE SUBMITTED TO THE OAG AFTER THE DUE DATE.**

LEGAL NAME OF APPLICANT: \_\_\_\_\_

REFERENCE ID NUMBER (if applicable): \_\_\_\_\_

*Be it known as follows:*

WHEREAS, the \_\_\_\_\_, [Name of Applicant] has applied or wishes to apply to the Office of the Attorney General, (OAG) for the following grant program:

- **Sexual Assault Services Program Grant**

WHEREAS, the \_\_\_\_\_, [Name of Governing Body of Applicant, such as City Council, County Commissioners' Court or Board of Directors], has considered and supports the Application filed or to be filed with the OAG;

WHEREAS, the \_\_\_\_\_, [Name of Applicant] has designated or wishes to designate the following individual as the "Authorized Official" who is given or has been given the power to apply for, accept, reject, alter, or terminate that certain grant with the OAG, as well as given the authority to sign all grant adjustment requests, inventory reports, progress reports and financial reports or any other official documents related to the grant on behalf of the grantee:

Name of Person Designated as "Authorized Official": \_\_\_\_\_

Position Title: \_\_\_\_\_

**NOW THEREFORE, BE IT RESOLVED** that this governing body approves the submission of the Application to the OAG, as well as the designation of the Authorized Official.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date