

Kentucky Justice & Public Safety Cabinet
Grants Management Branch

125 Holmes Street
Frankfort, KY 40601

Victims of Crime Act (VOCA)

Victim Assistance Formula Grant

PROGRAM & FINANCIAL GUIDELINES



Victims of Crime Act Victim Assistance Formula Grant

PROGRAM REQUIREMENTS

Administering Agency: Kentucky Justice & Public Safety Cabinet
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INTRODUCTION

This document is prepared by the Kentucky Justice & Public Safety Cabinet, Grants Management Branch, (and is consistent with that developed by the USDOJ, Office of Victims of Crime) to establish program and financial policy and administrative guidance for the management of the Victims Assistance Grant authorized by the Victims of Crime Act (VOCA) of 1984. This document also describes VOCA application and grant management procedures and requirements.

KEY IMPLEMENTATION ELEMENTS

Coordination

Providing assistance to victims of crime requires coordination and cooperation at all levels. The development of the Commonwealth's strategy for assisting victims of crime includes the participation of federal, state, and local criminal justice, prosecutorial, and victim service agencies. The Justice and Public Safety Cabinet is charged with increasing coordination among these entities to achieve a comprehensive and effective approach to funding victim assistance programs with VOCA awards. Multi-jurisdictional programs, interagency projects, and collaborative efforts that result in increased coordination and cooperation among criminal justice agencies, prosecutor based programs, and victim service agencies are a priority of this program.

PURPOSE

The VOCA Victim Assistance Formula Grant Program has as a **primary objective to provide hands-on assistance directly to victims of crime**, by assisting local units of government and private nonprofit organizations in enhancing or expanding direct services to victims of crime, in encouraging the states to improve their assistance to crime victims, and in promoting the development of comprehensive services to all victims of crime.

The Congressional intent is to assist states in providing high quality services that directly improve the health and well-being of victims of crime.

Assistance provided should focus upon addressing the devastating psychological and emotional consequences experienced by victims of crime and their families; and on establishing a safe, welcome environment for victims within the criminal justice system, thus increasing the public's willingness to participate in the criminal justice process.

Allowable activities/costs include:

A. CRISIS INTERVENTION SERVICES: Services that meet the urgent short-term emotional or physical needs of crime victims. Crisis intervention services are encouraged to coordinate the provision of a 24 hour service which may include the operation of a crisis hotline that provides emergency counseling or referral for crime victims.

B. EMERGENCY SERVICES: Services that provide temporary shelter for crime victims who cannot safely remain in their current lodgings, or services that provide measures to restore security such as repair of locks, or boarding up of windows to prevent the immediate re-burglarizing of a home.

C. SUPPORT SERVICES: Including follow-up counseling following the initial traumatic event; reassurance, empathetic listening, and guidance for resolving practical problems created by the victimization experience; acting on the victim's behalf vis-à-vis other social and criminal justice agencies; assistance in obtaining the swift return of property being kept by police as evidence; intervention, as appropriate, with landlords, creditors, or employers; and referral to other sources of assistance, as needed.

D. COURT RELATED SERVICES: Services that assist crime victims in participating in criminal justice proceedings, including transportation to court, child care, escort services and the filing of elder abuse and child abuse petitions and temporary restraining orders.

E. FORENSIC EXAMINATIONS: For sexual assault victims, forensic exams are allowable costs only to the extent that other funding sources (such as state compensation, private insurance or public benefits) are unavailable or insufficient and such exams conform with state evidentiary collection requirements. State grantees should establish procedures to monitor the use of VOCA victim assistance funds to pay for forensic examinations in sexual assault cases.

F. PUBLIC PRESENTATIONS: VOCA funds may be used to support presentations that are made in schools, community centers or other public forums, and that are designed to identify crime victims and provide or refer them to needed services. Specifically, activities and costs related to such programs, including presentation materials, brochures, and newspaper notices, can be supported by VOCA funds. Community education cannot be the primary focus of staff positions supported by VOCA funds.

G. NECESSARY AND ESSENTIAL COSTS: This includes prorated costs of rent, telephone services, transportation costs for victims to receive services, emergency transportation costs for victims to receive services, emergency transportation costs that enable a victim to participate in the criminal justice system, and local travel expenses for service providers.

H. PERSONNEL COSTS: Costs specifically related to providing direct services, such as staff salaries and fringe benefits, including malpractice insurance; the cost of advertising to recruit VOCA-funded personnel; and the cost of training paid and volunteer staff.

I. TRAINING MATERIALS: VOCA funds can be used to purchase materials such as books, training manuals and videos for direct services providers within the VOCA funded organization.

J. OPERATING COSTS: Examples of allowable operating costs include supplies; equipment use fees, when supported by usage logs; printing, photocopying and postage; brochures which describe available services and books; and other victim related materials. VOCA funds may support administrative time to complete VOCA required time and attendance sheets, programmatic documentation, reports and statistics; and administrative time to maintain crime victims' records.

Unallowable costs and activities include:

A. CRIME PREVENTION: One exception to this exclusion is crime prevention activities related to efforts specifically included in providing emergency assistance after a victimization, such as services to prevent the immediate re-burglarizing of a home. Programs in which crime victims are not the sole or primary beneficiaries of funded activities are ineligible.

B. LOBBYING, LEGISLATIVE, AND ADMINISTRATIVE ADVOCACY: Lobbying for particular victim legislation or administrative reform, whether conducted directly or indirectly, is an activity ineligible for VOCA funding.

C. PERPETRATOR REHABILITATION AND COUNSELING: Subrecipients cannot knowingly use VOCA funds to offer rehabilitative services to offenders. Likewise, VOCA funds cannot support services to incarcerated individuals, even when the service pertains to the victimization of that individual.

D. NEEDS ASSESSMENT, SURVEYS, MANUALS, AND PROTOCOLS: The use of VOCA funds to conduct needs assessments, surveys, development of manuals and protocols, or to perform general administrative tasks does not fall within the intent of the Act and is outside the scope of the Program Guidelines.

E. FUNDRAISING: Fundraising activities are not allowed on the project.

F. EQUIPMENT PURCHASES/CAPITAL EXPENDITURES: Only equipment determined to be necessary and essential to the delivery of direct service as deemed by OVC is an allowable cost.

G. PROFESSIONAL SERVICES OF DOCTORS AND LAWYERS: The payment of fees for professional services rendered by lawyers and doctors in most instances extend beyond the intent of the Act, and are, therefore, ineligible for VOCA funding. *According to OVC, victims treated for crime related injuries are encouraged to seek reimbursement for medical services rendered by doctors from their state crime victim compensation program.*

The above does not prohibit direct service programs from hiring as staff salaried medical/mental health professionals to provide services on site to clients. This differs significantly from a case by case fee-for-service type arrangement.

Non-emergency legal services are not allowable.

H. WITNESS MANAGEMENT AND NOTIFICATION PROGRAMS: Projects whose primary objectives are to improve the prosecutorial efficiency of a prosecutor's office and whose goals are primarily witness management and notification are identified as administrative in nature and are, therefore, ineligible for support.

However, Victim/Witness programs in prosecutor's offices which provide both direct services to victims, such as escort and transportation, and support and advocacy during the criminal justice process, as well as a wide range of other services, are eligible to receive VOCA funding only for the portion of the program that provides direct services to victims.

I. CRIMINAL JUSTICE IMPROVEMENTS: General criminal justice agency improvements or programs where crime victims are not the sole or primary beneficiaries are not eligible for VOCA funding.

J. INSURANCE: The purchase of liability insurance policies and the repair of buildings and vehicles are incidental expenses, and are not necessary to the provision of direct services to

crime victims as intended by the Act. Therefore, VOCA funds may **not** be used for these purposes. However, reasonable professional liability costs for certain VOCA funded personnel are allowable.

K. MEDICAL COSTS: Hospital care, nursing home care, long term home health care costs and other in-patient treatment costs are unallowable services. VOCA victim assistance grant funds cannot support medical costs regardless of whether they are a result of victimization or not.

L. INELIGIBLE RECIPIENTS:

1. **Federal Agencies.** This includes U. S. Attorneys Offices and FBI Field Offices.
2. **In-Patient Treatment Facilities:** For example, those designed to provide treatment to individuals with drug, alcohol and/or mental health-related conditions.

ADMINISTRATIVE REQUIREMENTS

Applicant Eligibility

VOCA establishes eligibility criteria that must be met by all organizations that receive VOCA funds. These funds are to be awarded to subrecipients only for providing services to victims of crime through their staff. Each subrecipient organization shall meet the following requirements:

1. **Public or Nonprofit Organization.** To be eligible to receive VOCA funds, programs must be public or nonprofit organizations, or a combination of such organizations, and provide services to crime victims.
2. **Record of Effective Services.** Applicants must demonstrate a record of providing effective services to crime victims. This includes having the support and approval of its services by the community, a history of providing direct services in a cost-effective manner, and financial support from other sources.
3. **New Programs.** Those programs that have not yet demonstrated a record of providing services may be eligible to receive VOCA funding, if they can demonstrate that 50 percent of their financial support comes from non-federal sources. It is important that organizations have a variety of funding sources besides federal funding in order to ensure their financial stability.
4. **Program Match Requirements.** Program Match is required for this grant opportunity (see General Financial Guidelines).
5. **Volunteers.** Subrecipient organizations must use volunteers unless the Grants Management Branch determines there is a compelling reason to waive this requirement. A "compelling reason" may be a statutory or contractual provision concerning liability or confidentiality of counselor/victim information, which bars using volunteers for certain positions, or the inability to recruit and maintain volunteers after a sustained and aggressive effort.

Programs are required to maintain a **minimum of 200 documented volunteer hours**. Volunteer time must include direct services to victims of crime.

6. VOCA-funded Staff Training Requirement. Project staff funded **in whole or part** by the VOCA Victim Assistance Grant must complete 24 hours of victim-assistance related training during the grant award period.

7. Promote Community Efforts to Aid Crime Victims. Subrecipients must promote, within the community, coordinated public and private efforts to aid crime victims. Coordination may include, but is not limited to, serving on state, federal, local, or Native American task forces, commissions, working groups, coalitions, and/or multi-disciplinary teams. Coordination efforts also include developing written agreements that contribute to better and more comprehensive services to crime victims. Coordination efforts qualify an organization to receive VOCA victim assistance funds, but are not activities that can be supported with VOCA funds.

8. Help Victims Apply for Compensation Benefits. Such assistance may include identifying and notifying crime victims of the availability of compensation, assisting them with application forms and procedures, obtaining necessary documentation, and/or checking on claim status.

9. Comply with Federal Rules Regulating Grants. Subrecipients must comply with the applicable provisions of VOCA, the [VOCA Program Guidelines](#) and the requirements of the [USDOJ OJP Financial Guide](#) effective edition, which includes maintaining appropriate programmatic and financial records that fully disclose the amount and disposition of VOCA funds received. This includes: financial documentation for disbursements; daily time and attendance records specifying time devoted to allowable VOCA victim services; client files; the portion of the project supplied by other sources of revenue; job descriptions; contracts for services; and other records which facilitate an effective audit.

10. Maintain Civil Rights Information. Subrecipients must maintain statutorily required civil rights statistics on victims served by race, national origin, sex, age, and disability, within the timetable established by the GMB; and permit reasonable access to its books, documents, papers, and records to determine whether the subrecipient is complying with applicable civil rights laws. This requirement is waived when providing a service, such as telephone counseling, where soliciting the information may be inappropriate or offensive to the crime victim.

11. Comply with State Criteria. Subrecipients must abide by any additional eligibility or service criteria as established by the Kentucky Justice and Public Safety Cabinet Grants Management Branch including submitting statistical and programmatic information on the use and impact of VOCA funds, as requested by the grantee.

12. Services to Victims of Federal Crimes. Subrecipients must provide services to victims of federal crimes on the same basis as victims of state/local crimes.

13. No Charge to Victims for VOCA-Funded Services. Subrecipients must provide services to crime victims, at no charge, through the VOCA-funded project. Any deviation from this provision requires prior approval by the state grantee. Prior to authorizing subrecipients to generate income, OVC strongly encourages administrators to carefully weigh the following considerations regarding federal funds generating income for subrecipient organizations.

a. The purpose of the VOCA victim assistance grant program is to provide services to all crime victims regardless of their ability to pay for services rendered or availability of insurance or other third-party payment resources. Crime victims suffer tremendous emotional, physical, and financial losses. It was never the intent of VOCA to exacerbate the impact of the crime by asking the victim to pay for services.

Program income can be problematic because of the required tracking systems needed to monitor VOCA-funded income and ensure that it is used only to make additional services available to crime victims. For example: VOCA often funds only a portion of a counselor's time. Accounting for VOCA program income generated by this counselor is complicated, involving careful record keeping by the counselor, the subrecipient program, and the state.

14. Client-Counselor Confidentiality. Subrecipients must maintain confidentiality of client-counselor information, as required by state and federal law.

15. Confidentiality of Statistical and Research Information. Except as otherwise provided by federal law, no recipient of monies under VOCA shall use or reveal any research or statistical information furnished under this program by any person and identifiable to any specific private person for any purpose other than the purpose for which such information was obtained in accordance with VOCA. Such information, and any copy of such information, shall be immune from legal process and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceeding. See Section 1407(d) of VOCA codified at 42 U.S.C. 10604.

These provisions are intended, among other things, to ensure the confidentiality of information provided by crime victims to counselors working for victim services programs receiving VOCA funds. Whatever the scope of application given this provision, it is clear that there is nothing in VOCA or its legislative history to indicate that Congress intended to override or repeal, in effect, a state's existing law governing the disclosure of information which is supportive of VOCA's fundamental goal of helping crime victims. For example, this provision would not act to override or repeal, in effect, a state's existing law pertaining to the mandatory reporting of suspected child abuse.

Funding Categories and Priority Programs

A **Priority Program** has been defined by the Office of Victims of Crime as one whose principal mission is to offer **comprehensive specialized services tailored to the special needs of one or more priority category victims.**

The first three priority categories have been clearly defined by Congress as being **victims of child abuse, victims of domestic violence, and victims of sexual assault.** A fourth category was added in 1988, for **previously underserved victim populations,** to be defined by each state. Subsequent to publishing the initial program guidelines, OVC has determined that victims that fall under the first three priority categories will not be eligible for consideration under the category of "previously underserved."

The Commonwealth of Kentucky defines its previously underserved victim populations as any of the following: **survivors of homicide; elderly victims of abuse; survivors of incest; victims of financial crimes including identity theft; victims of robbery and other forms of violence against persons, including victims of drug and alcohol related crime; victims of ritualistic abuse; and victims of juvenile crime.**

In determining the funding needs of programs serving the priority victims, the Commonwealth considers other funding options that may be available or in place for these priority program areas, as well as the needs and availability of services in the state for other categories of crime victims.

Distribution of Funds

Funds granted to Kentucky by USDOJ are further subgranted by the Justice and Public Safety Cabinet to state agencies, units of local government, and not-for-profits to carry out programs and projects contained in an approved application that complies with the priorities established by the USDOJ and the Commonwealth.

According to the directive of the Office of Victims of Crime, at least ten percent of the state's total VOCA allocation must be awarded to each of the four Priority Categories. The VOCA Victim Assistance Formula Grant Program is a competitive grants program.

Award Period

The standard award period is one year, October 1- September 30.

Application Process

All grant activities are managed through the Kentucky Justice & Public Safety's electronic grants management system (eGMS). VOCA applications must be submitted via the eGMS system within the required time frame. Applicants must establish a system account prior to submission at www.kyjusticegms.com. General instructions for system access may also be accessed at this site. For additional information, see the GMB Management Policies and Procedures Manual, www.justice.ky.gov/departments/gmb/.

Designated Grant Officials

The following persons are eligible to serve as the designated grant officials:

Authorized Official/Agency Representative/CEO - The person authorized to apply for, accept, decline, or cancel the grant for the applicant agency (e.g., state agency head, county judge executive, city mayor).

Project Director/Agency Administrator - The employee of the applicant agency who will be responsible for operation of the project and program activity reporting.

Financial Officer - The chief financial officer of the applicant agency (e.g., county auditor, city treasurer, comptroller, etc.) who will be responsible for all financial aspects of the grant's management, including financial report submission.

Application Review and Approval Process

When a completed application has been submitted, it shall be subject to programmatic and financial review. Applications are reviewed by appropriate GMB staff and also by an independent review committee of subject matter experts using set review criteria and assigned point values specific to the program.

Following the initial review and scoring of the application, GMB may request additional information or explanation from the applicant in order to complete the review of the application. Notification may be in the form of a system-generated message, written letter, email, or telephone call. Failure to respond in the time frame specified may result in the application not being further considered for funding during that application period. Responses to requests for follow-up information will be used to determine additional scoring consideration to justify the minimum required for funding.

An average score is determined from each reviewer's results, based on the criteria set forth here. Applications receiving an initial score of less than 50% will not be contacted for follow-up information; applications receiving a final score of less than 70% will not be funded.

Award recommendations are made by GMB to the Secretary of the Kentucky Justice and Public Safety Cabinet. Final approval of all grant applications rests with the Secretary and/or the Governor of the Commonwealth, who will provide GMB with approval to proceed with final funding decisions.

For additional information on the application review process, please access the Kentucky Justice and Public Safety Cabinets, Grants Management Branch, Policy and Procedure Manual at www.justice.ky.gov/departments/gmb .

Review Criteria

1. Project Overview

Provides a brief overview of the agency implementing the grant-funded project, the grant funded project, and staff employed through the grant-funded project.

2. Statement of the Problem

Provides a detailed description of the problem to be addressed by the grant-funded project, including supporting local and state data that describes the problem.

3. Goals, Objectives and Performance Measures

Goals

Discusses the significance of the project and describes how it assists victims of crime. Clearly provides description of long-term effect(s) the proposed project should achieve. Where applicable, describes how project design employs evidence based practices or is based upon research knowledge and/or data.

Objectives

Describes project objectives that are linked to meaningful and measurable outcomes.

Performance Measures

Explains how the program's effectiveness will be demonstrated. Discusses the significance of the program's impact in assisting victims of crime. For each performance measure selected, describe: 1) what data will be collected; 2) how it will be collected; 3) how it will be assessed/analyzed; and 4) the process for reporting the findings and outcomes which will measure the impact of the proposed efforts. Includes innovative approaches which will be used to maximize the programs' impact and cost-effectiveness and how this will help sustain the program when grant funding ends.

4. Project Activities and Operation

Project activities contain a concise summary of the proposed project, including a description of major tasks necessary to fully implement. Provides the who, what, where, when and how of the proposed project. Includes a comprehensive performance timetable identifying milestones to be achieved in this project. Ties activities to goals, objectives and the performance measures applicable to the proposed project.

5. Coordination Narrative

Provides a description of how project staff will coordinate services with other agencies and organizations in delivery of services to victims of crime.

6. Budget Narrative and Budget

Provides a comprehensive budget and budget narrative that are complete, allowable, justified, and clearly related to project goals, objectives and operations. Applicants are strongly encouraged to avoid unsubstantiated equipment purchases.

Victims of Crime Act (VOCA) Victim Assistance Formula Grant Scoring Matrix	
Problem Statement	20
Program Overview	20
Goals, Objectives and Performance Measures	25
Project Operation	25
Coordination Narrative	10
Budget	15
Total Points	115

Evaluation and Monitoring

Each program funded by the Kentucky Justice & Public Safety Cabinet under the VOCA Victim Assistance Formula Grant Program shall contain an evaluation component. Project Reports (required reporting of a subgrantee) will be analyzed for evaluation purposes. Some projects may receive intensive evaluations.

Grants Management Branch monitoring includes desk audits, a review of financial and program reports submitted by the subgrantee on a quarterly basis and periodic on-site monitoring to review grant compliance, assess management controls, evaluate the applicable activities and provide technical assistance. In addition, the subgrantee agrees to maintain and provide any data or information requested for the purposes of monitoring and program evaluation. For additional information, see GMB Management Policies and Procedures Manual, www.justice.ky.gov/departments/gmb/.

GENERAL FINANCIAL REQUIREMENTS

Grants funded under the VOCA Victim Assistance Formula Grant Program are governed by the financial management requirements of the Financial Guide, published by the U.S. Department of Justice, Office of Justice Programs, Office of the Comptroller, <http://www.ojp.usdoj.gov/financialguide/index.htm>, as well as, the Kentucky Justice and Public Safety Cabinet, Grants Management Branch, Policies and Procedures Manual, www.justic.ky.gov/departments/gmb.

All VOCA Victim Assistance awards funded through the Grants Management Branch will be made on a reimbursable basis. Requests for reimbursement may be submitted on a quarterly or monthly basis. Reimbursement payments may be delayed if awardees do not adhere to program and financial reporting requirements.

Matching Requirement

The purpose of matching contributions is to increase the amount of resources available to the projects supported by grant funds. Matching contributions of 20% (cash or in-kind) of the total cost of each VOCA project (VOCA grant plus match) are required for each VOCA-funded project and must be derived from nonfederal sources, except as provided in the [USDOJ OJP Financial Guide](#), effective edition (Part III. Post Award Requirements, Chapter 3. Matching or Cost Sharing). All funds designated as match are restricted to the same uses as the VOCA victim assistance funds and must be expended within the grant period. Match must be provided on a project-by-project basis.

For the purposes of this program, in-kind match may include donations of expendable equipment, office supplies, workshop or classroom materials, work space, or the monetary value of time contributed by professionals and technical personnel and other skilled and unskilled labor, if the services they provide are an integral and necessary part of a funded project. The value placed on donated services must be consistent with the rate of compensation paid for similar work in the subrecipient's organization. If the required skills are not found in the subrecipient's organization, the rate of compensation must be consistent with

the labor market. In either case, fringe benefits may be included in the valuation. The value placed on loaned or donated equipment may not exceed its fair market value. The value of donated space may not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in privately-owned buildings in the same locality.

a. Record Keeping. VOCA recipients and their subrecipients must maintain records that clearly show the source, the amount, and the period during which the match was allocated. The basis for determining the value of personal services, materials, equipment, and space must be documented. Volunteer services must be documented, and to the extent feasible, supported by the same methods used by the subrecipient for its own paid employees.

b. Exceptions to the 20% Match. GMB may request a waiver of the match requirement from OVC if extraordinary circumstances are documented. Subgrantee match waiver requests may be granted at GMB discretion.

Nonsupplanting Requirement

Federal funds cannot be used to supplant state or local funds. All applicants must certify that VOCA grant monies will be used to increase the amount of funds available for victim assistance activities. For personnel involved in a project, these guidelines apply:

- If a new person is going to be hired to conduct project activities (i.e., the department's personnel strength is increased), his/her salary may be charged to the project.
- The salaries of existing personnel transferred to grant activities may be charged to the project as federal expenditures only if the original positions are filled with new personnel.

Prorating Costs

Proration requirements are applicable if program funds are used for projects involving a combination of VOCA Victim Assistance Formula Grant-funded activities and other victim assistance activities.

Fund Raising

Costs of organized fund raising, including financial campaigns, solicitation of gifts and similar expenses solely to raise capital or obtain contributions, may not be charged as costs against the grant. Neither the salary of persons engaged in such activities nor indirect costs associated with those salaries may be charged to the grant. Nothing in this section should be read to prohibit a subgrantee from engaging in fund raising activities, as long as such activities are not financed by federal grant funds.

Expenditures by Budget Categories

NOTE: A budget checklist is provided at the end of these guidelines to assist in completing the VOCA Victim Assistance application.

The following is an overall view of all costs associated with VOCA Victim Assistance Formula Grant Program funds:

I. Personnel

No grants will be made to supplement salaries for existing positions. Salaries for federal funded and match positions shall comply with state, city, county, or other relevant classification systems and shall be documented by appropriate time and attendance records. Charges of the employees' time assigned to grant projects may be reimbursed or recognized only to the extent they are directly and exclusively related to grant purposes. In no case is dual compensation allowable.

Where salaries apply to both project operation and non-project activity, or apply to two or more separate projects, pro-ration of costs to each activity must be made based on time and attendance reports.

Each position must be listed by title (and name of employee, if available), monthly salary rate for the employee, the percentage of the employee's time to be devoted to the project and total employee cost for the project.

Funded part-time positions (positions devoting less than 100% of a standard work shift to the grant project) should be supported by a brief explanation of the incumbent employee's duties outside the grant project or by a statement that the employee is not employed elsewhere by the grantee.

Positions that existed prior to the grant and were funded from any source other than Grants Management Branch grant funds are not eligible for VOCA Victim Assistance grant funds. Existing employees of the applicant may be transferred from other positions to fill the positions in the grant project; however, the new positions vacated must be filled by new hires so that the applicant's full staff of non-grant employees is not reduced in number by the award of the grant.

Payments for fringe benefits are allowable personnel costs and cannot exceed the amount paid by the employer. The fringe benefits must be reasonable and in line with state, city or county rates. Documentation must be submitted with the budget to reflect the actual rates being paid by the employer. The following are considered allowable benefits:

- A. Health, Dental and Life Insurance
- B. FICA
- C. Retirement
- D. Worker's Compensation
- E. Unemployment Insurance

II. Overtime

Overtime pay can be funded for personnel funded by the grant on a full-time basis, whose duties are consistent with the VOCA-funded project. Overtime pay may be approved through the original grant application.

III. Contractual Services

Compensation for individual consultant services is to be reasonable and consistent with that paid for similar services in the market place. The maximum rate for consultants is \$450 (excluding travel and subsistence costs) for an 8-hour day or \$56.25 per hour. An 8-hour day may include preparation, evaluation and travel time in addition to the time required for the actual performance. Additionally, travel and subsistence costs may be paid. A request for compensation for over \$450 per day requires prior approval and additional justification.

Contractual Arrangements with individuals must ensure that:

- A. Dual compensation is not involved (i.e., the individual may not receive compensation from his regular employer and the applicant for work performed during a single period of time even though the services performed benefit both).
- B. The contractual agreement is written, formal, proper and otherwise consistent with the applicant's usual practices.
- C. Time and/or services for which payment will be made and rates of compensation must be supported by adequate documentation.
- D. Travel and subsistence costs are at an identified rate consistent with the cost allowed in Section III, Travel.

IV. Travel and Training

Funds may be used for transportation, subsistence and registration fees for applicants to attend conferences and training seminars. Travel must be approved through the original grant application or a subsequent grant adjustment notice. Requested travel expenses shall not exceed the established mileage and subsistence policy as set forth by the Commonwealth of Kentucky, Finance and Administration Cabinet. Please see 200 KAR 2:006 and <http://finance.ky.gov/internal/travel> for current rates and regulations.

Transportation must be the most economical. Bus, subway and taxi fares are allowed for city travel. Commercial airline travel shall be coach/tourist class. Additional expense for first class travel will not be allowed. The cost of rental cars in lieu of ordinary transportation will be allowed only with acceptable justification. Actual parking, bridge and toll charges are reimbursable. Reasonable expenses for baggage handling, for delivery to or from a common carrier or lodging and for storage are reimbursable. Registration fees required for admittance to official travel meetings are reimbursable. If the fee entitles registrants to meals, claims for subsistence must be reduced accordingly. Telephone, tip charges, and laundry charges are not reimbursable with grant funds.

All expenses shall be supported by documentation that indicates destination, time and purpose of travel.

NOTE: If the travel and reimbursement requirements of the applicant agency are more stringent than that of the Commonwealth, the more stringent of the two must be followed.

V. Operating Expenses

Operating expenses include items necessary and essential for the ongoing operation of the project. Items must be individually listed and approved through the original grant application or in subsequent grant adjustment notices prior to the actual expense.

Confidential fund expenditures are limited to the purchase of evidence (physical), purchase of information (informant fees), and purchase of services (for undercover purposes). Guidelines related to confidential expenditures and management may be obtained from the Kentucky Justice and Public Safety Cabinet, Grants Management Branch. All applications for projects that will utilize funds for confidential expenditures must contain an assurance that the guidelines will be followed.

VI. Capital Equipment

Capital equipment is defined as items with a unit price of \$5,000 and over and usefulness greater than one year. Items with a unit price under \$5,000 should be included under operating expenses. Authorization for equipment will be based on the applicant's demonstration that the requested equipment is necessary and essential to the successful operation of the grant project. The applicant must adhere to the following principles:

- A. No other equipment owned by the applicant is suitable for the effort.
- B. Grant funds are not used to provide reimbursement for the purchase of equipment already owned by the applicant. Equipment that has already been purchased and charged to other activities of the applicant will not be an allowable expense to the grant.
- C. Equipment purchased and used commonly for two or more programs has been appropriately prorated to each activity.

Items of equipment must be individually listed and approved through the original grant application or in subsequent grant adjustment notices prior to the purchase of the equipment.

Title to all expendable and nonexpendable personal property purchased with funds made available under this program shall vest in the organization or agency that purchased the property if it certifies to the Grants Management Branch that it will use the property for allowable purposes. If such certification is not made, title to the property shall vest in the Justice and Public Safety Cabinet which shall seek to have the property used for victim assistance purposes elsewhere in the state prior to using it or disposing of it in any other manner.

Procurement Procedures

Applicants shall use procurement procedures and regulations as set forth by the Commonwealth of Kentucky, Finance and Administration Cabinet. Please see <http://finance.ky.gov/business/eprocurement/state-laws> for more information.

NOTE: If the procurement policy of an agency is more restrictive than the Commonwealth's, the more restrictive of the two must be followed.

BUDGET CHECKLIST

This checklist is for your convenience in preparing your budget, along with a budget narrative, as part of your grant application. It is for your use only and does not need to be submitted.

Section I. PERSONNEL

Yes No N/A

SALARIES

- | | | | |
|--|--|--|--|
| 1. Is the basis for determining each employee's compensation described? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Is each position identified by title? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Will vacant positions be filled by new hires or transfers from within?
If transfers, will replacements be hired? | <input type="checkbox"/>
<input type="checkbox"/> | <input type="checkbox"/>
<input type="checkbox"/> | <input type="checkbox"/>
<input type="checkbox"/> |
| 4. Are time commitments stated? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Is the amount of each employee's annual compensation stated? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Are salary increases anticipated during the grant period? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Are the increases justified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Are any personnel costs dual compensation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

FRINGE BENEFITS

- | | | | |
|--|--------------------------|--------------------------|--------------------------|
| 1. Is each type of benefit indicated separately? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Has the appropriate percentage and calculation been provided? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Is the authority for the percentage provided? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Are the listed benefits provided for all employees of the agency? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Are fringe benefit increases anticipated during the grant period? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Are the increases justified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Section II. CONTRACTUAL SERVICES

- | | | | |
|---|--|--|--|
| 1. Is the type of each service to be rendered described? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. For individuals: | | | |
| a. Is an hourly or daily rate given? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Are base rates justified and reasonable? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Is the total amount for any contract in excess of \$10,000?
If so, has the applicant indicated that services have been or will be obtained by
acceptable procurement procedures? | <input type="checkbox"/>
<input type="checkbox"/> | <input type="checkbox"/>
<input type="checkbox"/> | <input type="checkbox"/>
<input type="checkbox"/> |
| d. Is "sole source" an issue?
If so, is justification included? | <input type="checkbox"/>
<input type="checkbox"/> | <input type="checkbox"/>
<input type="checkbox"/> | <input type="checkbox"/>
<input type="checkbox"/> |

BUDGET CHECKLIST (cont.)

This checklist is for your convenience in preparing your budget, along with a budget narrative, as part of your grant application. It is for your use only and does not need to be submitted.

Section III. TRAVEL

	Yes	No	N/A
1. Is a basis for computation provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the purpose of requested travel project-related?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are per diem, lodging and transportation costs listed separately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Have the most economical costs been provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Have the appropriate project personnel been identified for the travel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section IV. OPERATING EXPENSES

1. Are operating expenses listed by major types (e.g., Supplies, Rent, Postage, Confidential Fund)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are unit costs or monthly estimates provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Will proper procurement procedures be followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section V. EQUIPMENT

1. Are equipment items specified by units and cost?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the requested equipment project-related?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Will the purchased equipment be used 100% in the project? If not, has the cost been prorated and the computation provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is no other equipment owned by the agency suitable for the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Will the appropriate procurement procedures be followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section VI. SOURCE OF MATCH

1. Is the source of match identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the minimum cash match requirement met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section VII. BUDGET SUMMARY

1. Are all line item computations correct and do they equal the category totals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Have the appropriate costs/percentages been identified as federal and match?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are all requested costs in line with actual costs in previous grants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are all requested costs:			
a. Justified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Reasonable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Allowable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

