



---

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is pleased to announce that it is seeking applications from local and tribal partners to plan, implement, and enhance place-based, community-oriented strategies to address neighborhood-level crime issues as a component of or a foundation to a broader neighborhood revitalization or redevelopment initiative. Byrne Criminal Justice Innovation (BCJI) resources will target locations where a significant proportion of crime occurs as compared to the overall jurisdiction. BCJI furthers the Department's mission by leading efforts to enhance the capacity of local and tribal communities to effectively target and address significant crime issues through collaborative cross-sector approaches that help advance broader neighborhood development goals.

## **Byrne Criminal Justice Innovation Program FY 2012 Competitive Grant Announcement**

### **Eligibility**

Eligible entities to serve as fiscal agent include states, unit of local governments, non-profit organizations, and federally recognized Indian tribal governments as determined by the Secretary of the Interior.

Recognizing that community safety is essential to neighborhood revitalization, BCJI resources are targeted specifically at persistently distressed neighborhoods that have significant crime challenges that generate a significant proportion of crime or type of crime within the larger community or jurisdiction impeding broader neighborhood development goals.

The BCJI application requires a consortium of partners (hereinafter referred to as "cross-sector partnership") to work together to design a strategy addressing a targeted crime problem and respond to the scope of this solicitation. The application must also show commitment from the local law enforcement agency, community leaders, and a research partner as part of this cross-sector partnership through detailed letters of support outlining their participation and partnership in the project. This cross-sector partnership must designate one agency or organization as the fiscal agent. Throughout this solicitation, "fiscal agent" and "applicant" are used interchangeably. The fiscal agent will serve as the BCJI applicant and submit the application on behalf of the cross-sector partnership, oversee coordination of the cross-sector partnership if funds are awarded, and manage any subawards for services. The fiscal agent will be legally responsible for complying with all applicable federal rules and regulations in receiving and expending federal funds. The application must demonstrate that the fiscal agent has the capacity, commitment, and community support to serve as fiscal agent. The fiscal agent must demonstrate such capacity by showing experience engaging residents as well as core criminal justice and other partners in the implementation of community justice plans, especially in the targeted community.

The application must contain a strategy that responds to the scope and requirements of this solicitation.

Jurisdictions are strongly encouraged to seek the support of their local U.S. Attorney and local policymakers.

BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations in future years.

## **Deadline**

Applicants must register with [Grants.gov](http://Grants.gov) prior to submitting an application. (See "How To Apply," page 18.) All applications are due by 11:59 p.m. eastern time on June 7, 2012. (See "Deadlines: Registration and Application," page 5.)

## **Contact Information**

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The [Grants.gov](http://Grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com) or by [live web chat](#) . The BJA Justice Information Center hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

**Grants.gov number assigned to announcement:** BJA-2012-3294

**Release Date:** April 9, 2012

# CONTENTS

Overview	4
Deadlines: Registration and Application	5
Eligibility	5
BCJI Program—Specific Information	5
Performance Measures	16
Notice of Post-Award FFATA Reporting Requirement	18
How To Apply	18
What an Application Should Include	21
Information to Complete the Application for Federal Assistance (SF-424)	
Program Abstract	
Program Narrative	
Budget Detail Worksheet and Budget Narrative	
Indirect Cost Rate Agreement (if applicable)	
Tribal Authorizing Resolution (if applicable)	
Additional Attachments	
Other Standard Forms	
Selection Criteria	24
Review Process	30
Additional Requirements	30
Provide Feedback to OJP on This Solicitation	31
Application Checklist	32

# Byrne Criminal Justice Innovation Program (CFDA #16.817)

## Overview

Healthy, vibrant communities<sup>1</sup> are places that provide the opportunities, resources, and an environment that children, youth, and adults need to maximize their life outcomes, including high-quality schools and cradle-to-career educational programs; high-quality and affordable housing; thriving commercial establishments; access to quality health care and health services; art and cultural amenities; parks and other recreational spaces; and the safety to take advantage of these opportunities. Unfortunately, millions of Americans live in distressed neighborhoods<sup>2</sup> where a combination of crime, poverty, unemployment, poor health, struggling schools, inadequate housing, and disinvestment keep many residents from reaching their full potential. The complexity of these issues has led to the emergence of comprehensive place-based and community-oriented initiatives that involve service providers from multiple sectors and disciplines, as well as community representatives from all types of organizations, to work together to reduce and prevent crime and to revitalize communities.

In many ways, public safety is a prerequisite for the regeneration of communities and the revitalization of civic engagement in those communities. This public safety component, however, must not be limited to law enforcement. In order to improve and revitalize communities, there must be a role in public safety for all key stakeholders including: education, housing, health and human services providers, church and religious groups, non-profit organizations, local volunteer and neighborhood groups, local safety and law enforcement groups, residents, and businesses that comprise neighborhood clusters.

Research suggests that crime clustered in small areas, or “crime hot spots,” accounts for a disproportionate amount of crime and disorder in many communities. As a result, the last two decades have seen the development of new evidence-based strategies that target these issues and a separate set of activities designed to address community capacity to prevent and deter future crime as a primary component of neighborhood revitalization. In times of limited resources, local and tribal leaders need tools and information about crime trends in their jurisdiction and assistance in assessing, planning, and implementing the most effective use of criminal justice resources to address these issues. They also need a core foundation of resources and tools to support data-driven strategy development, community-driven capacity building for collaborative problem solving, and assistance to identify and implement evidence-based and innovative strategies to target these drivers of crime. A multi-faceted approach like BCJI targets crime in the locations where most crime is occurring. This approach can have the biggest impact while also building the capacity of the community to deter future crime by

---

<sup>1</sup> BJA uses “neighborhood” and “community” interchangeably. A *neighborhood* is an area that has social meaning to residents and is delineated by major streets or physical topography and is typically less than two miles wide. The neighborhood must encompass a proportion of crime hot spot(s) locations that show a consistent history of crime. This is the geographic area within which the BCJI project activities must take place.

<sup>2</sup> A *distressed neighborhood* is one with hot spots of high crime (overall or types of crime) combined with other key features that may affect a community’s capacity to deter crime including concentrated poverty, high unemployment, low performing schools, and limited infrastructure such as housing, social services and business.

addressing three of the social impacts most likely to impact crime: physical disorder; social economic status and resources; and the “collective efficacy” of the neighborhood.<sup>3</sup>

This new program is a part of the Administration's larger Neighborhood Revitalization Initiative (NRI) that supports local and tribal communities in developing place-based strategies to change neighborhoods of distress into neighborhoods of opportunity. Recognizing that interconnected solutions are needed in order to resolve the interconnected problems existing in distressed communities, the BCJI Program is designed to provide neighborhoods with coordinated federal support in the implementation of comprehensive place-based strategies to effectively reduce and prevent crime by connecting this support to broader comprehensive neighborhood revitalization efforts. This coordinated federal support includes integrated training and technical assistance (TTA) resources for federal grantees involved in planning or implementing a neighborhood revitalization project; the coordination and alignment of performance metrics and reporting requirements across agencies; and providing priority consideration during the application review process to applicants who aim to combine or leverage their funds with other federal, state, local, and private sector resources.

## **Deadlines: Registration and Application**

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on June 7, 2012. See the “How To Apply” section on page 18 for details. Note that while the deadline for submission is 11:59 p.m. eastern time on June 7, 2012, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see “Contact Information” on the page 2 for more information about BJA’s Justice Information Center).

## **Eligibility**

Refer to the title page for eligibility under this program.

## **BCJI Program—Specific Information**

### **Why focus on place-based crime strategies?**

Overall crime levels are at a 30-year low. Despite this good news, there are some jurisdictions that are still experiencing increases in overall crime or specific types of crime. Within these jurisdictions, the crime is occurring in a small number of locations. In some of these places, a disproportionate amount of all crime jurisdiction-wide occurs in “microplaces” (a city block or even smaller). In some communities, less than 10 percent of all city blocks can drive large proportions of calls for service and crime incidents (as much as 30 to 80 percent). Moreover, crime in these hot spots can be very stable over time, creating an opportunity to effectively prevent crime by focusing on these locations.

---

<sup>3</sup> Collective efficacy is the mutual trust and a willingness of a community to intervene, for example, in the supervision of children and the maintenance of public order.

While crime hot spots can be dispersed throughout a jurisdiction, they can also be located in communities that are poor, have a limited infrastructure of affordable housing and retail, lack strong schools, and suffer from a shortage of effective community-based organizations to provide needed human services. These communities may also have high numbers of residents on community supervision from the courts or prison, at-risk youth, and people engaged with behavioral health and social services agencies.

Place-based initiatives seek to strengthen the capacity of neighborhood residents and organizations so that they are able to implement comprehensive strategies that aim to revitalize multiple aspects of an entire neighborhood or community to create lasting change for its residents. These place-based initiatives also create new opportunities for alignment across institutions, including federal and local government, tribal government, the private sector, philanthropic and non-profit organizations, and across issue areas including crime, housing, health, education, workforce development, transportation, and business.

The last two decades have seen the development of new evidence-based, place-based strategies that target crime hot spots through enhanced law enforcement strategies and complementary approaches designed to address a community's capacity to prevent and deter crime.<sup>4</sup> At the same time, community-oriented approaches such as Weed and Seed, community policing, and community prosecution have made collaboration with community residents and leaders a priority, building trust and information sharing, enhancing the perception of the community about the fairness and effectiveness of the interventions, and increasing the willingness of community residents to comply with informal social controls in the community.

The criminal justice field has also led efforts to create and test new community-based collaborations that address criminogenic risk factors<sup>5</sup> through problem-solving courts like community courts, community corrections and diversion programs, and community-based offender reentry strategies. Finally, making it physically more difficult for crime to occur by addressing physical conditions that increase risk can be very effective, using strategies such as crime prevention through environmental design (CPTED<sup>6</sup>), code enforcement and civil nuisance laws, and community revitalization. On OJP's [CrimeSolutions.gov web site](http://CrimeSolutions.gov) there is an index of effective and promising data-driven place-based strategies that applicants are encouraged to consider when developing their strategic plan. These strategies are effective enforcement and intervention strategies that should be employed as part of a comprehensive approach to help the community build protective factors to provide a long-term deterrence to future crime.

### **Why focus on community-oriented crime strategies?**

A critical pillar of the BCJI Program is neighborhood empowerment. By encouraging community residents and leaders to rethink and redefine their civic role as agents for community vitality and

---

<sup>4</sup> Law enforcement strategies such as Hot Spots Policing, CeaseFire, Project Safe Neighborhoods, Drug Marketing Intervention, and Problem Oriented Policing have built on data-driven problem-solving combined with tactical enforcement to address high-risk offenders and crime. Some of these strategies have also employed community engagement efforts.

<sup>5</sup> Criminogenic risk actors are 1) anti-social personality, 2) anti-social attitudes and values, 3) anti-social associates, 4) family dysfunction, 5) poor self-control, 6) poor problem-solving skills, 7) substance abuse, and 8) lack of employment and/or employment skills.

<sup>6</sup> CPTED emphasizes the proper design and effective use of a created environment to reduce crime and enhance the quality of life.

change, BCJI enhances the capacity of communities to address the root causes of the social and political challenges that they face. Indeed, community-oriented approaches build trust, facilitate a mutually beneficial exchange of knowledge and resources, enhance the perception within the community about the fairness and effectiveness of policies and interventions, and increase the willingness of the community and those in the criminal justice system to comply with the social mores in the community. Implementing these efforts without community collaboration and support will likely be unsuccessful and may overlook a neighborhood's unique needs and challenges as well as the ability to develop and implement sustainable neighborhood revitalization. Community leaders and residents are often in the best position to motivate, implement, and sustain change over time and thus, proposals should be developed in collaboration with community members with an eye toward continually building community support for, and responding to, community needs as they evolve over time.

A successful application will include both a data-driven strategy to address crime hot spots while also employing an approach that engages the community and reflects how the neighborhood residents want their neighborhood to change. This strategy must focus on a targeted problem that is the root cause, contributes to, or exacerbates the drivers of crime in the identified community. The fiscal agent must work with its cross-sector partners, the neighborhood residents, and the researcher to validate the targeted problem identified in the application and the interrelated challenges which contribute to the targeted crime concern. Once identified, the fiscal agent must work with its cross-sector partners, the neighborhood residents, and the researcher to identify strategic solutions that directly address the crime problem. The application should propose a targeted set of community-oriented, evidence-based, and data-informed strategies that leverage partnerships with local and regional stakeholders to address the identified crime problem and underlying factors that drive the crime issue. Together, the BCJI strategies should address both the crime problem and the interrelated problems and contribute to a broader plan to revitalize the neighborhood. The plan must clearly outline specific objectives and goals that can be used to measure progress for the identified strategies over time.

### **What is capacity and how does it fit within the BCJI approach?**

The BCJI approach assumes that responsibility for community safety and revitalization belongs to all stakeholders, including community members, service agencies, and government. Therefore, the overall strategy should include all key stakeholders in the problem-solving process and there must be at least basic capacity to engage community-based partners, community leaders, and residents to collaborate in addressing the priority crime issue identified.

Community capacity refers to the ability to mobilize collective action toward defined community goals. This capacity can be developed through the cultivation of relationships among neighborhood residents, community organizations, and institutions. The capacity of organizations and cross-sector partnerships is defined as the ability to bring stakeholders together to exchange ideas, jointly plan, and collaborate in actions intended to increase safety and strengthen the community directly or indirectly. BCJI is designed to develop or enhance both community capacity as well as the capacity of organizations and cross-sector partnerships.

Communities without the basic capacity to cultivate cross-sector partnerships, engage community residents, and/or identify a public safety related problem within that community should consider applying for other grant programs and/or accessing training and technical

**BJA-2012-3294**

resources, including the [Building Neighborhood Capacity Resource Center](#). The Building Neighborhood Capacity Resource Center is currently under development and is anticipated to go live in August 2012.

### **How are NRI and BCJI connected?**

Each year, the federal government funds numerous crime, affordable housing, health, cradle-to-career education, and community and economic development initiatives through an array of programs. Yet, the need for federal money to fund these initiatives has continued to grow, while the federal budget increasingly has been strained by other competing funding priorities. Recognizing that interconnected solutions are needed to resolve the interconnected problems existing in high-poverty neighborhoods, the Neighborhood Revitalization Initiative—a White House-led collaboration between the U.S. Departments of Education (ED), Health and Human Services (HHS), Housing and Urban Development (HUD), Justice (DOJ), and Treasury—is developing a new approach to neighborhood revitalization to better support community-based initiatives that produce significant benefits for distressed neighborhoods as well as surrounding areas.

To facilitate this comprehensive approach, in part, these federal agencies that award place-based grants aim to offer grantees an integrated system of support by breaking down “silos” so that solutions are implemented more effectively and efficiently and communities can access services in a more comprehensive and coordinated way. Moreover, these federal agencies are working together to make it easier for a single community to leverage federal resources and reduce barriers to effective and coordinated implementation of federal grants.

Due to similarities in geographic targets and the inextricable link between housing, education, health, economic development, and public safety, applicants should develop a plan to coordinate BCJI with other existing neighborhood revitalization efforts, such as ED’s Promise Neighborhoods<sup>7</sup> and/or HUD’s Choice Neighborhoods<sup>8</sup> grants whenever these grants are co-located with the area proposed to be targeted with a grant under this solicitation. While coordination with Promise and Choice grants is a priority, DOJ acknowledges that applicants may not be co-located with Promise and/or Choice grants, and co-location with these revitalization efforts, is not a requirement to receive BCJI funding. However, because coordinating funding streams from multiple sources is crucial to achieving sustainable change, all applicants are encouraged to develop plans to coordinate public and private funding streams at the federal, state, and local level.. For a partial list of federal funds available for neighborhood revitalization, see Appendix 1 of the [White House Neighborhood Revitalization Initiative Report](#).

In addition to allowing for more sustainable funding, program coordination acknowledges the interrelatedness of neighborhood assets in rebuilding the neighborhood economy. Wherever possible and appropriate, applicants should consider partnering (by braiding funding streams, contributing to policy development, etc.) with organizations engaged in revitalization of other neighborhood assets. Public safety revitalization is especially suitable for collaboration across assets, as improving public safety can be a prerequisite for creating sustainable change within other neighborhood assets.

---

<sup>7</sup> For more information, go to [www2.ed.gov/programs/promiseneighborhoods/index.html](http://www2.ed.gov/programs/promiseneighborhoods/index.html).

<sup>8</sup> For more information, go to [portal.hud.gov/hudportal/HUD?src=/program\\_offices/public\\_indian\\_housing/programs/ph/cn](http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/cn).



These coordinated efforts should result in the strategic investment of resources into the following key neighborhood assets:

- a. Developmental assets that allow residents to attain the skills needed to be successful in all aspects of life (e.g., educational institutions, early learning centers, and health resources);
- b. Commercial assets associated with production, employment, transactions, and sales (e.g., labor force and retail establishments);
- c. Recreational assets that create value in a neighborhood beyond work and education (e.g., parks, open space, arts organizations, restaurants, movie theatres, and athletic facilities);
- d. Physical assets associated with the built environment and physical infrastructure (e.g., housing, commercial buildings, roads, sidewalks, and bike paths); and
- e. Social assets that establish well-functioning social interactions (e.g., criminal justice, juvenile justice, and community engagement).

By focusing resources in targeted places, and by drawing on the compounding effect of well-coordinated actions, BCJI will support local efforts to build neighborhoods of opportunity.

## **Goals, Objectives, and Program Approach**

The goal of BCJI is to improve community safety by designing and implementing effective, comprehensive approaches to addressing crime within a targeted neighborhood as part of a broader strategy to advance neighborhood revitalization through cross-sector community-based partnerships. To achieve these goals, successful strategies **must** commit to accomplishing the following objectives:

1. Identify a neighborhood with a concentration of crime hot spots which have for a period of time composed a significant proportion of crime or types of crime.
2. Identify and build upon existing planning efforts, if any, to revitalize the neighborhood or address issues that relate to the crime issues identified.
3. Enhance a community-based team with the presence of criminal justice, social service, and neighborhood revitalization partners to implement the project.
4. Offer ongoing community engagement and leadership building support and ensure the community is engaged in the process.
5. Collaborate with local law enforcement and a research partner to conduct an analysis of crime drivers and an assessment of needs and available resources.
6. Develop a strategy that offers a continuum of approaches to address the drivers of crime, including potentially, enforcement, prevention, intervention, and revitalization strategies.
7. Establish effective partnerships both to provide solutions along the continuum and commit resources to sustain what works.
8. Implement a comprehensive and coordinated strategy with support from the BCJI TTA provider.
9. Assess program implementation in collaboration with research partners, and plan for sustainment of effective strategies with private and public state, local, and tribal funding.

To be a successful applicant, the Fiscal Agent **must**:

1. Have capacity to engage residents and critical partners and coordinate the implementation of a comprehensive and coordinated action plan on the ground.
2. Demonstrate support of the local law enforcement agency and a research partner, including letters of support from each.
3. Demonstrate partnerships with cross-sector partners, including at least one letter of support.
4. Demonstrate existing partnerships with community leadership, including at least one letter of support.
5. Demonstrate the existence of a mechanism to engage neighborhood residents (e.g., surveys, focus groups, town halls, regularly scheduled community meetings, etc.).
6. Demonstrate ability to coordinate, collaborate, and advocate among service providers including behavioral health, non-profit and faith-based organizations, community development practitioners, education, businesses, and local government (e.g., by the formation of a diverse advisory board or cross-sector partnership team to address an identified problem).
7. Include details of any existing local initiatives or efforts to revitalize the neighborhood or address issues that relate to the crime issues identified.
8. Support the planning and sustainment of the program through proactive program management tied to rigorous research and data analysis, program assessment, and leveraging of other funding and resources to support the project and its long-term sustainability.

## **Elements of BCJI**

**Place-based strategy:** Targets a neighborhood with high levels of crime or types of crime in order to most effectively target resources and to positively influence multiple social disorganization factors such as concentration of high-risk residents, limited infrastructure, and collective efficacy of community and physical conditions. Specifically, research shows that targeting a neighborhood with a number of geographic “hot spots” of criminal activity is effective in preventing and reducing crime, but should also build upon other existing efforts to revitalize the community by addressing underlying needs of residents, engaging the community in problem solving or improving the physical infrastructure consistent with CPTED principles. An initial strategy to clearly define the nature, extent, and factors of the crime issue and to target the criminal activity with a comprehensive, community-oriented approach is essential. Collaboration building with neighborhood revitalization partners and efforts can build positive infrastructure to prevent future crime and to enhance the legitimacy of strategies.

**EXAMPLE 1:** An identified issue might be drug- and gang-related crime occurring in vacant properties and lots, and an abandoned playground, all near a housing project that is undergoing a plan for revitalization with HUD and other funds. The initial data analysis might show that the prior law enforcement responses had been limited and their impact did not last, in part because the physical location attracted the drug and gang activity and made enforcement challenging. The response could include enforcement efforts by federal and local law enforcement, U.S. Attorneys and local prosecutors to address directly the drug dealing and other gang related crime. The strategy might also employ an assessment of the area and development of a CPTED strategy that includes collaboration with local housing,

public works, and recreation department to clean up the community with residents, secure and renovate vacant houses and lots, redevelop the playground, and develop a public safety strategy as a component of the housing revitalization project.

EXAMPLE 2: Another example might include a community where there are significant and increasing levels of crime. The initial analysis might show that these crimes were driven in part by individuals released from the state prison, and that they and their families compose 30 percent of all residents in the targeted community. The response could include increased presence and community-oriented supervision by parole, coordination with law enforcement, and coordinated reentry support services, including employment, cradle-to-career education, counseling, and treatment. The school could be a critical partner in engaging in community and family partnerships to address the underlying risk factors for these returning residents and in breaking the cycle with their children through prevention and family support efforts including counseling and substance abuse treatment and prevention.

These are just two of many potential examples of how BCJI seeks to comprehensively address a targeted crime issue.

Data-driven problem solving: Local researcher-practitioner partnerships<sup>9</sup> can help a community collaboration to use data and intelligence to clearly define problems, identify evidence-based and innovative strategies, and periodically assess program implementation to refine the approach and enhance the program. They can also help communities assess gaps in services, strategies, and partners. Finally, these approaches seek to identify and reduce the impact of the drivers of crime and locations of crime hot spots, rather than just responding to incidents of crime through traditional arrest, prosecution, and sentencing.

Community-oriented: To catalyze and sustain change, there must be active involvement and leadership of neighborhood residents throughout the revitalization process. Understanding residents' views of the neighborhood, particularly the neighborhood's needs and assets, and how residents want their neighborhood to change, is critical. Tactical enforcement by criminal justice partners are maximized through collaborations with community residents and institutions, building positive social controls that can deter future crime<sup>10</sup> and the legitimacy of police, prosecutors, and other criminal justice partners. This legitimacy can increase a community's potential for collaboration with criminal justice partners, assist them in contextualizing issues, and solve problems more effectively. Engaging in community-oriented strategies should be driven by local data and needs, and address critical issues comprehensively—for example, addressing drug markets and sales through enforcement, treatment, and prevention. Jurisdictions are also strongly encouraged to seek the support of the U.S. Attorney and local policymakers.

Cost effective: Place-based strategies, if implemented correctly, should assist local jurisdictions in maximizing their resources by identifying the drivers of crime in persistently high-crime communities and targeting these drivers through comprehensive strategies. To ensure the

---

<sup>9</sup> Research partnerships can help BCJI grantees better understand the problems in their community and provide the partners with practice- and policy-relevant information while affording researchers the opportunity to contribute to the current body of knowledge.

<sup>10</sup> Examples include previously funded Weed and Seed, community policing, community organizing, and community prosecution.

success and sustainability of place-based efforts, projects should include several critical aspects to their structure and approach:

Planning Based: Implementation of BCJI must include a critical planning period to ensure the engagement of critical partners—such as the community residents, local researcher, and practitioner agencies—and to access accurate data to conduct a data analysis to clearly define the crime locations and drivers, development of research-based and/or innovative strategies, and assess gaps in resources and partners. This data is critical to be able to target the drivers of crime in the hot spots. A 9–12 month planning component should be built into every BCJI implementation grant award which will also allow the team to assess needed resources and partners prior to implementation, and 3–6 months for the BCJI enhancement grant award. BCJI will provide national leadership in partnership with a TTA partner to be selected with the FY 2012 solicitation.<sup>11</sup> The fiscal agent will oversee project assessment and management with the research partner and coordinate efforts to leverage other resources and funding. To ensure a focus on these issues, the funding for the initial planning period will be limited to up to \$150,000 for implementation sites and \$90,000 for enhancement grantees. Of this, at least one third and ideally as much as one half will be committed to the initial data analysis, problem assessment, and identification of evidence-based practices by the research partner. In addition, core program funding will be covered 100 percent for the first 18 months of implementation/enhancement. After that 18-month period, federal funding is limited to 50 percent of the overall budget costs.

Leverages Research and Innovation: To maximize resources, communities should target drivers of crime through research-based strategies. Where there are gaps in research, communities are encouraged to engage in data-driven innovation to build new strategies or test promising interventions. BCJI is designed to assist communities with a strategic revitalization effort that aligns their resources in targeted areas to effectively reduce and/or eliminate risk factors that lead to crime. Resources about evidence-based practices include the CrimeSolutions.gov web site (see more information below), web sites for specific research-based practices and programs, and training to support local researcher-practitioner partnerships. To continue to add to knowledge generation, contingent upon the availability of funding in future fiscal years, BJA plans to evaluate a small number of the grantee sites to enhance knowledge about the effectiveness of these approaches.

Capacity Building: The communities best suited to place-based, community-oriented strategies should have a demonstrated commitment and capacity to form partnerships and work collaboratively, even if they face ongoing challenges in their attempts to identify crime issues and develop a targeted strategy to address those issues.<sup>12</sup> Developing the capabilities of a cross-sector partnership as well as the community at large should be a key strategy of organizations pursuing comprehensive neighborhood revitalization. Investing in and building organization capacity—community engagement, building and managing data systems, recruiting and retaining staff, and developing resources are examples of organizational capacity that take money, time, and energy. Developing these capabilities

---

<sup>11</sup> Technical assistance and training may also be offered to targeted communities who apply, but do not receive funding in FY2012, to aid them in enhancing their plan and increasing success in their applications.

<sup>12</sup> Communities without this basic capacity should consider utilizing the TTA resources, including those available through the companion program, [Building Neighborhood Capacity Program](#).

should be a key strategy of organizations pursuing comprehensive neighborhood revitalization, rather than an afterthought.

## **Evidence-Based Programs or Practices**

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence (generally obtained through one or more outcome evaluations). Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## **Award Categories, Amount, and Length**

In FY 2012, two categories of BCJI applications are solicited. **Category 1** solicits applications to plan and implement a place-based, community-oriented crime strategy in a targeted neighborhood ("Planning and Implementation" grants). **Category 2** solicits applications to enhance an existing community-based initiative by designing and implementing a place-based community-oriented crime strategy in a targeted neighborhood as a component of a broader neighborhood revitalization plan ("Enhancement" grants).

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

### **Category 1: Planning and Implementation. Competition ID: BJA-2012-3296.**

BJA anticipates that it will make up to 6 awards of up to \$1 million each for a 36-month project period, including the planning period.

Category 1 applicants will plan and implement a BCJI strategy that builds partnerships and collaborations in an effort to address a chronic crime issue(s) within the target neighborhood. This category includes applicants who may already have some anti-crime initiatives in place. Applicants with existing anti-crime initiatives will use those initiatives as a platform to plan and implement a BCJI strategy that builds partnerships and collaborations in effort to address a chronic crime issue within the target neighborhood. The crime issue must represent a significant proportion of crime or type of crime within the larger community or jurisdiction. Spearheaded by the fiscal agent, this BCJI strategy should be designed by a cross-sector partnership to include community stakeholders, law enforcement, and local research partner. This cross-sector partnership will complete an integrated planning phase to analyze the crime issue using data and will develop a coordinated response that includes both place-based and community-oriented strategies to address the crime issue. To successfully develop and implement the BCJI strategy, the cross-sector partnership will need to work with public and private agencies, organizations (including philanthropic organizations), and individuals to gather and leverage resources needed to support the financial sustainability of the plan. To achieve the core goal of

BCJI, the cross-sector partnership is encouraged to consider how the BCJI strategy, once implemented, might serve as the platform to a future neighborhood revitalization plan.

Up to 12 months of the total project period can be used to complete the planning phase of the BCJI strategy. The remaining months will be used for implementation of the strategy. During the planning phase, grantees will work closely with their research partner and receive intensive TTA from a BJA TTA provider, and may also access up to \$150,000 of their overall funding. Once the grantee receives approval for the final plan and budget at the end of the planning phase, the remaining grant funds (\$850,000 of the grant award) will be released for use by the grantee. The plan and budget must be approved by BJA prior to release of funds and before any implementation initiatives begin. Grantees must ensure that the core elements of BCJI are in place, and there must be a strong research or data base for proposed place-based programs.

**Category 2: Enhancement. Competition ID: BJA-2012-3297.**

BJA anticipates that it will make up to 9 awards of up to \$600,000 for a 36-month project period, including the planning period.

Category 2 applicants will plan to augment an established partnership and collaboration to address a chronic crime issue(s) within the target neighborhood. The established partnership or collaboration can have either a crime or neighborhood revitalization focus. The crime issue must produce a significant proportion of crime or type of crime within the larger community or jurisdiction. The established partnership will strengthen its coalition by adding other essential partners, such as the local law enforcement agency, other criminal justice partners, the research partner, and revitalization partners. The established partnership will also build resident and community support for and involvement in the development and implementation of the BCJI strategy. This new cross-sector partnership will then designate a fiscal agent and develop a BCJI strategy to comprehensively address crime in targeted hot spots. The BCJI strategy will consist of place-based, community-oriented crime strategies and will include the BCJI program elements as outlined in this solicitation. To successfully develop and implement the BCJI strategy, the cross-sector partnership will work with public and private agencies, organizations (including philanthropic organizations), and individuals to integrate funding streams and high-quality programs into the BCJI strategy, and also leverage resources needed to support the financial sustainability of that strategy. To achieve the core goal of BCJI, Category 2 requires implementation of the BCJI strategy in collaboration with an existing neighborhood revitalization plan.

Up to 6 months of the total project period can be used to complete the planning phase of the BCJI strategy. The remaining months will be used for implementation of the BCJI strategy. During the planning phase, grantees will work closely with their research partner and receive intensive TTA from a BJA TTA provider, and may also access up to \$90,000 of their overall funding. Once the grantee receives approval for the final plan and budget at the end of the planning phase, the remaining grant funds (\$510,000 of the grant award) will be released for use by the grantee. The plan and budget must be approved by BJA prior to release of funds and before any implementation initiatives begin. Grantees must ensure that the core elements of BCJI are in place, and there must be a strong research or data base for proposed place-based programs.

## **Budget Information**

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General (AAG) for OJP. An applicant requesting a waiver should include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

### **Minimization of Conference Costs**

No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be obtained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP web site at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

### **Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits by individuals with limited English proficiency may be allowable costs. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

### Match Requirement

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, the match amount incorporated into the OJP-approved budget becomes mandatory and subject to audit.

### Performance Measures

To assist the Department in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Due to the broad nature of this program and the initial data analysis and planning phase of the grant, these measures are a representative sample of the measures for BCJI, and specific measures for implementation or enhancement grantees will be finalized once the strategies are developed:

Objectives	Performance Measure	Data Grantee Provides
<p>Improve community safety by supporting the development and implementation of comprehensive, coordinated evidence-based strategies that address crime problems and their underlying causes within a targeted neighborhood as part of a broader strategy to advance neighborhood revitalization through cross sector community based partnerships.</p>	<p>Number of programs reporting an increase in community stakeholder collaboration/partnerships</p>	<p>Number and type of partnerships formed with community stakeholders such as law enforcement agencies, criminal justice partners, research institutions, education institutions, health and human service institutions, housing institutions, job training programs, private businesses, parks, non-profits, government partners, and faith-based organizations</p>
	<p>Percent change in the number of resources leveraged for program implementation</p>	<p>Number of resources (time, funds, skills) leveraged for program implementation                      A. During current reporting period                      B. During previous reporting period</p>
	<p>Percent change in collaborative members who are willing to contribute resources to BCJI initiative</p>	<p>Number of collaborative members who are willing to contribute resources (time, funds, skills) to BCJI initiative                      A. During current reporting period                      B. During previous reporting period</p>
	<p>Percentage of communities that use data to inform local decision making</p>	<p>Number of BCJI grantees that report using data and research to validate crime and related community safety issues</p> <p>Number of BCJI grantees that report using data and research to develop a strategy focused on drivers of community crime.</p>



	<p>Number of times research results provided to stakeholders</p>	<p>During the reporting period:</p> <p>Number of times the BCJI strategy objectives are developed, revised, reprioritized, enhanced, and/or expended based on research findings and/or data analysis</p> <p>Number of times research partner provided research results to collaborative members and/or stakeholders</p>
	<p>Participation rate</p> <p>Percent of survey respondents willing to contribute resources</p> <p>Percent change in survey respondents who report feeling safe</p>	<p>Number of residents actively participating in BCJI initiative</p> <p>A. During the current reporting period</p> <p>B. During the previous reporting period</p> <p>Number of residents surveyed</p> <p>Number of residents surveyed who are willing to contribute resources (time, funds, skills) to BCJI initiative</p> <p>Number of residents surveyed who reported feeling safe in the community prior to BCJI initiative</p> <p>Number of residents surveyed prior to BCJI initiative</p> <p>Number of residents surveyed who reported feeling safe in the community after the implementation of BCJI initiative</p> <p>Number of residents surveyed after the implementation of BCJI initiative</p>
	<p>Number of grantees implementing an innovative, evidence-based or data-driven program/practice or strategy</p>	<p>Provide documentation of baseline and ongoing use of innovation, research or data in program policies and strategies</p>
	<p>Percent change in incidents of selected crime</p>	<p>Number of incidents of selected crimes committed in current reporting period.</p> <p>Number of incidents of selected crimes committed in previous reporting period</p>

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for

performance measures. Refer to the section “What an Application Should Include” on page 21 for additional information.

### **Note on Project Evaluations**

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

### **Notice of Post-Award FFATA Reporting Requirement**

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

Note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

### **How To Apply**

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-

**BJA-2012-3294**

time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866–705–5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.817, titled "Byrne Criminal Justice Innovation Program," and the funding opportunity number is BJA-2012-3294.
6. **Select the correct Competition ID. Some OJP solicitations** posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation

with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields.
8. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP’s Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

**Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review the most recent version submitted.

**Experiencing Unforeseen Grants.gov Technical Issues**

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant’s control that prevent submission of its application by the deadline, the applicant must e-mail the BJA Justice Information Center (see page 2 for contact information) **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) the applicant has received. **Note: Requests are not automatically approved by BJA.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant’s computer or information technology (IT) environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## What an Application Should Include

Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by BJA to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Abstract, Program Narrative, Budget Detail Worksheet and Budget Narrative, and Letters of Support. The Budget Narrative and the Budget Detail Worksheet must be combined in one document, and it must contain **both** narrative and detail information.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that resumes be included in a single file.

### 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

### 2. Program Abstract (Attachment 1)

Applicants must provide an abstract identifying the applicant's name, title of project, and category for which the applicant is applying (i.e., Category 1: Planning and Implementation). The abstract must include:

1. Identification of the target neighborhood / neighborhood boundaries
2. A list of partners that comprise the cross-sector partnership
3. The fiscal agent
4. The target neighborhood's need for the Implementation or Enhancement grant
5. Goals of the project
6. A description of the strategies to be used / implemented
7. Length of the project period
8. Total amount of funding being requested

The abstract can be single-spaced, using a standard 12-point font (Times New Roman is preferred) with not less than 1-inch margins, and must not exceed 2 pages.

If the program abstract fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

### 3. Program Narrative (Attachment 2)

The program narrative must respond to the solicitation and the Selection Criteria (1–4) in the order given. The program narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with not less than 1-inch margins, and must not exceed 20 pages. Number pages “1 of 20,” “2 of 20,” etc.

If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

The following sections should be included as part of the program narrative:

A. Statement of the Problem

B. Project Design and Implementation

C. Capabilities and Competencies

D. Evaluation, Sustainment, Plan for Collecting the Data Required for this Solicitation’s Performance Measures

Submission of performance measures data is not required for the application.

Performance measures are included as an alert that successful applicants will be required to submit specific data to BJA as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

### 4. Budget and Budget Narrative (Attachment 3)

Applicants must provide a budget and budget narrative in response to Selection Criteria 5. The fiscal agent will oversee project assessment and management with the research partner and coordinate efforts to leverage other resources and funding. To ensure a focus on these issues, the funding for the initial planning period will be limited to up to \$150,000 for implementation sites and \$90,000 for enhancement grantees. Of this, at least one-third and ideally as much as one-half will be committed to the initial data analysis, problem assessment, and identification of evidence-based practices by the research partner. In addition, core program funding will be covered 100 percent for the first 18 months of implementation for Implementation grantees and the first 24 months for Enhancement grantees. After that, the BCJI federal funding is limited to 50 percent of the overall budget costs. **Applicants must submit a budget detail worksheet and budget narrative in one file.**

#### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

**b. Budget Narrative**

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

**5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

**6. Tribal Authorizing Resolution (if applicable)**

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions (or comparable legal documentation).

**7. Additional Attachments:**

• **Project Timeline and Position Descriptions (Attachment 4)**

Attach a Project Timeline (with an estimated start date of October 1, 2012) with each project goal, related objective, activity, expected completion date, and responsible person or organization; and Position Descriptions for key positions. Do not include materials not requested in this attachment; additional material will not be reviewed.

• **Letters of Support (Attachment 5)**

Each applicant must submit, as part of its application, a Letter of Support, signed by each individual, organization or agency listed below (1-5). Each letter of support must:

- Describe each partner's financial and programmatic commitment.
- Describe how each partner's existing vision and current activities align with those of the BCJI cross-sector partnership.
- For Letters of Support from the law enforcement and research partner, include a commitment to provide crime and arrest data needed to complete the crime analysis described in this solicitation.

Letters of Support must be included from the following people / organizations:

1. Fiscal agent
2. Local law enforcement agency
3. Research partner
4. One cross-sector partner who is essential to the strategy
5. One community leader

## 8. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms:

- a. [Standard Assurances](#)  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)  
Applicants must read, certify and submit in GMS prior to the receipt of any award funds.
- c. [Accounting System and Financial Capability Questionnaire](#) (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and submitted)

## Selection Criteria

The following five selection criteria will be used to evaluate each application, with a different weight given to each based on the percentage value listed below after each individual criteria. For example, the first criteria, "Statement of the Problem," is worth 20 percent of the entire application in the peer review process.

### 1. Statement of the Problem (20 percent of 100)

Within this section all applicants should explain the inability to fund the program adequately without federal assistance. For both implementation and enhancement applicants:

- Clearly define the scope of a crime problem in the distressed neighborhood which the proposed project seeks to impact. Describe the nature and scope of crime in the



targeted neighborhood, including identifying the number and location of the specific city blocks or other hot spots where a large proportion of crime or types of serious crime occur, as compared with crime rates in the overall jurisdiction. Provide any local/state data and a trend analysis (including data, Uniform Crime Reporting (UCR) and calls for service) to support the discussion.

- Describe the geographic boundaries of the targeted neighborhood, as well as the population size and demographic make-up of the population of both the overall jurisdiction and the targeted neighborhood where the BCJI strategy is proposed.

**FOR CATEGORY 2 ENHANCEMENT APPLICANTS ONLY: In addition to the information provided above**, fully describe the neighborhood revitalization project currently have in place into which the BCJI strategy will be incorporated. In doing so:

- Describe the existing partnership and researchers, if any. Describe current partners, duration of the collaboration, and each partner's involvement in the neighborhood revitalization plan, to include financial contributions.
- Describe the mission, goals, objectives, and deliverables of the neighborhood revitalization plan.
- Discuss agency programs and services already in place in the community and how they may support components of BCJI.
- Describe components that will be needed to fully implement the BCJI strategy and why federal funding is required.

## **2. Project Design and Implementation (35 percent of 100)**

Applicants must describe their strategy to address the specific crime problem identified by building a continuum of solutions that can include enforcement, prevention, intervention, and treatment strategies. The BCJI strategy does not need to comprehensively address all crime issues, but should comprehensively address the specific neighborhood challenges identified in the statement of the problem.

The project design and strategy should conform to the BCJI core program elements and should be designed to target the reduction and prevention of crime in the identified crime hot spots. The continuum of solutions must be based on the best available research and evidence-based policies and practices, where available, and can propose to employ research findings in a new way or to a new target population.<sup>13</sup> The Crime Solutions web site, [www.crimesolutions.gov](http://www.crimesolutions.gov), is an excellent catalog of evidence-based and promising practices that applicants are encouraged to incorporate into their strategy. Where there are gaps in knowledge, the application should incorporate data and innovation to develop new or revised strategies.

---

<sup>13</sup> Resources on evidence-based programs and practices are available at both [www.bja.gov/evaluation/evidence-based.htm](http://www.bja.gov/evaluation/evidence-based.htm) and [Crimesolutions.gov](http://Crimesolutions.gov).

Applicants must outline a comprehensive and coordinated strategy as outlined below. In addition, the applicant is required to attach a Time and Task Plan that outlines these areas. The summary narrative of the program strategy should be clearly tied and aligned with the Time Task plan.

- A. **Goals.** Identify the program goals, which define what the applicant intends to achieve through the grant. Overall, the goals should describe the “future vision” for the target neighborhood, specifically addressing how it will address the problems and unmet needs identified in the Statement of the Problem. The goals should be consistent with the elements of BCJI.
- B. **Objectives.** For each goal, identify the major objectives that are precise and measurable and identify strategies, programs, and policies to achieve the goals.
- C. **Planning.** Describe how the planning period will be used to reach critical planning milestones, including specific activities around community engagement, infrastructure start up, engagement of research partner, and collection and analysis of data, to clearly define and confirm crime hot spot dynamics, engage partners and build collaboration infrastructure, develop a continuum of strategies to comprehensively address crime issues, and refine the initial strategy and revise the budget.
- D. **Implementation Strategies and Activities.** Describe the plan to implement the BCJI strategy, identifying the specific strategies and their activities that will be conducted to achieve proposed project goals and objectives.

Each strategy should fall within one of the following categories. See definition of evidence on page 13 and research on page 18.

- **Evidence-Based Policies and Practices:** Describe each evidence-based policy or practice to be employed and how it responds to the issue or need as a place-based strategy and/or with the target population.
- **Research-Based Policies and Practices.** Where there is some promising research, discuss current knowledge and how the promising strategy will be replicated in a new location or offer a strategic enhancements of an existing model by targeting a different population, or modifying it, seeking to build a stronger knowledge base.
- **Innovations:** Where there is very little research knowledge or an emerging issue, applicants should discuss new or innovative strategies or programs, policies, service practices, or other activities that are not well documented in the science literature for the emerging area of criminal justice.

**FOR CATEGORY 2 ENHANCEMENT APPLICANTS ONLY: In addition to the information provided above:**

- a. Describe the plan to enhance an existing partnership and augment the existing neighborhood revitalization plan. Identify specific strategies and activities that will

be conducted to achieve proposed BCJI project goals and objectives in the context of a broader revitalization.

The proposed activities must include enforcement strategies as well as relevant prevention, intervention, and revitalization strategies that are designed to address the criminogenic factors that can prevent crime and build the collective efficacy and physical conditions that can deter future crime.

- b. Describe the plan to integrate funding streams from multiple public and private sources, including leveraging and integrating high-quality programs from the neighborhood revitalization plan into the BCJI strategy.

E. **Resident Engagement.** For each activity/task, describe the strategy and operating structure for ensuring regular and meaningful engagement of neighborhood citizens.

### 3. Capabilities and Competencies (25 percent of 100)

In order to be eligible for BCJI, a cross-sector partnership must be in place and the applicant must demonstrate the neighborhood's capacity, through the partnership, to implement the strategy it proposes. The applicant agency must be able to serve as the lead fiscal agent and oversee coordination of a consortium of agencies, organizations, and community residents, including subcontracts for funding. The application must demonstrate, by citing specific examples, that the applicant has the capacity, commitment, and support from residents in the community to serve as the lead fiscal agent to build organizational capacity, and implement a place-based crime strategy consistent with the requirements of this solicitation. The application must specifically document capacity by providing the following information about the fiscal agent and the cross-sector partnership:

A. Provide a list of the critical criminal justice, community, support service, and revitalization partners needed to implement the strategy. For each partner, describe the role to be played and the resources and contributions they are committing. In particular, describe who will serve as the fiscal agent and who will oversee the required BCJI elements including research, data collection and analysis; planning and strategy development; community engagement; and law enforcement.

- 1) Demonstrate support of the local law enforcement agency and a research partner and include letters of support to be submitted as **Attachment 5**.

- 2) Demonstrate partnerships with cross-sector partners, including at least one letter of support from a partner to be submitted as **Attachment 5**.

- 3) Demonstrate existing partnerships with community leadership, including at least one letter of support from a community leader to be submitted as **Attachment 5**.

B. Discuss the capacity of each critical partner to implement or enhance each of the proposed strategies in the BCJI continuum to improve community safety conditions for community residents, especially in the crime hot spots. This should include the enforcement, prevention, intervention, and revitalization strategies.

C. Describe how the fiscal agent and cross-sector partnership will:

**BJA-2012-3294**

- Monitor strategy implementation and achievement of goals and objectives
- Manage day-to-day tasks and activities during implementation
- Manage and subaward BCJI funds
- Facilitate researcher/practitioner partnership, including how the partners will collect and analyze crime data required in this solicitation
- Govern changes or modifications to the strategy
- Ensure project and fiscal accountability
- Collect, collate, and submit timely performance data, semi-annual progress reports, and quarterly financial reports

**FOR CATEGORY 2 ENHANCEMENT APPLICANTS ONLY: In addition to the information provided above**, describe how the existing partnership has done the following, if any:

- Monitored strategy implementation and achievement of goals and objectives
- Managed day-to-day tasks and activities during implementation
- Managed and subawarded funds
- Facilitated researcher/practitioner partnership and accessed crime data
- Governed changes or modifications to a strategy
- Ensured project and fiscal accountability
- Collected, collated, and submitted timely performance data, semi-annual progress reports, and quarterly financial reports

- D. Discuss capacity to lead resident and community outreach, engage in leadership building skills, including collaboration with community-based organizations. In particular, discuss any experience the partnership has working neighborhood residents.
- E. Describe the fiscal agent's capacity to manage interagency, cross-sector partnerships to effectively implement place-based, community-oriented crime and community revitalization strategies.

**FOR CATEGORY 2 ENHANCEMENT APPLICANTS ONLY: In addition to the information provided above**, provide an overview of the current structure of program management and if applicable, include discussion of how the community, criminal justice, and social service partners currently incorporate any data, evidence, or research-based or data-driven practices and/or innovation in daily operations.

**4. Evaluation, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures (10 percent of 100)**

- A. **Data Collection and Evaluation:** For each strategy objective, identify the evaluation criteria that will determine if objectives have been successfully met and one or more specific measurable outcomes for each strategy objective and the data sources that will be used to determine whether or not the outcome was accomplished

All applicants should describe their current ability to collect and analyze community-level performance and outcome data and to conduct regular assessments of program service delivery and performance as described in the BCJI model. All applicants must indicate their willingness and ability to report performance and outcome data through BJA's

Performance Measurement Tool (PMT) (no personally identifiable information shall be collected through the PMT). Applicants are expected to report on behalf of any subawardees.

Describe the process for measuring project performance. Identify who will collect the data, who is responsible for performance measurement, and how the information will be used to guide and assess the program. Describe the process to accurately report implementation findings.

Describe the steps the fiscal agent will take with the BCJI team to develop a performance management and evaluation plan. The plan should include strategies to collect data, review data, use data to improve program performance, and discuss how the BCJI team will work with the research partner including any evaluation plans.

Describe who will be responsible for the quarterly review of the data, including implementation and impacts on outcomes. The Time Task Plan should reflect when and how the jurisdiction plans to reach their goals, which will be refined during the planning process.

- B. **Sustainability Plan.** Applicants must demonstrate the strategic leveraging of federal, state, local, and tribal funding streams sufficient to ensure sustainability. A sustainability plan acknowledges the intent of the BCJI collaborative partners to continue high impact activities beyond BCJI funding. When developing the sustainability plan, it is important that the cross-sector partnership remain thoughtful in identifying necessary resources and partners that support the strategy. Strong and effective sustainability plans are tied directly to strong, collaborative relationships with neighborhood partners that demonstrate the long-term commitment to the neighborhood change. Because of the importance of this issue, BJA is limiting the proportion of BCJI funding to 50 percent of the program funds during the last 6 months of the up-to-3-year grant period.

Outline a strategy for sustainment when the BCJI grant ends. Include a plan for each project funded by the grant and any collaborative efforts that must be maintained to ensure the continued implementation of those projects. Provide a discussion of innovative approaches that will be utilized to maximize strategy impact and cost-effectiveness.

Define at what stage each project will be fully funded by sources other than BCJI and by what means this will occur. The applicant must show how much of the project costs are borne by BCJI funds. The information should reflect that a plan has been established to ensure the sustainment of each project.

## 5. Budget (10 percent of 100)

All applicants must provide a proposed multi-year budget that is complete, reasonable and allowable, cost effective, and necessary for project activities. Applicants must provide a separate itemized budget for each year of grant activity. While a match is not required, in-kind contributions are strongly encouraged and will evidence the commitment of the applicant and the increased potential for sustainability. To ensure a focus on these issues, the funding for the initial planning period will be limited to up to \$150,000 for implementation sites and \$90,000 for enhancement grantees. Of this, at least one third and ideally as much

**BJA-2012-3294**

as one half will be committed to the initial data analysis, problem assessment, and identification of evidence-based practices by the research partner. In addition, core program funding will be covered 100 percent for the first 18 months of implementation for Implementation grantees and the first 24 months for Enhancement grantees. After that, the BCJI federal funding is limited to 50 of the overall budget costs. Applicants must submit the budget detail worksheets and budget narrative in one file.

## **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. BJA reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications under this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities including NRI, sustainability, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with BJA, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General (AAG), who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Faith-Based and Other Community Organizations

- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

## **Provide Feedback to OJP on This Solicitation**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, application submission process, and/or the application review/peer review process. Feedback can be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

## **Application Checklist**

### **FY 2012 Byrne Criminal Justice Innovation Program**

This application checklist has been created to assist in developing an application.

#### **Eligibility Requirement:**

- \_\_\_\_\_ Eligible entities to serve as fiscal agent include units of state, local governments, non-profit organizations, and federally recognized Indian tribal governments as determined by the Secretary of the Interior.
- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$1 million for Category 1 and \$600,000 for Category 2

#### **What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 21)
- \_\_\_\_\_ Program Abstract\* (see page 21)
- \_\_\_\_\_ Program Narrative\* (see page 22)
- \_\_\_\_\_ Budget Detail Worksheet\* (see page 22)
- \_\_\_\_\_ Budget Narrative\* (see page 23)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 20)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 23)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 23)
- \_\_\_\_\_ Additional Attachments (see page 23)
  - \_\_\_\_\_ Project Timeline and Position Descriptions
  - \_\_\_\_\_ Project Timeline
  - \_\_\_\_\_ Letters of Support\*
- \_\_\_\_\_ Other Standard Forms as applicable (see page 24), including:
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)

\* These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.