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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications from eligible entities to plan and implement place-based, community-oriented strategies to address targeted crime issues within a neighborhood as a part of a broader neighborhood revitalization initiative. Byrne Criminal Justice Innovation (BCJI) resources will target hot spots of crime 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 2015 Competitive Grant Announcement**

### **Eligibility**

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

For this solicitation, community is defined broadly as a geographic area that has social meaning to residents. In urban areas, the term community may be used interchangeably with neighborhood to describe a specific geographic area that is delineated by major streets or physical topography. In urban areas, a community is typically less than two miles wide, while in rural and tribal areas it is often larger and part of an entire county.

The BCJI application requires a consortium of partners (hereinafter referred to as "cross-sector partnership") to plan or implement a targeted strategy addressing crime in a specific community. The cross-sector partnership must designate one eligible entity to serve as the fiscal agent.<sup>1</sup> The fiscal agent must ensure that the cross-sector partnership is committed to and can successfully oversee key enforcement, prevention, intervention, and community engagement strategies AND access and analyze key data (crime and other) with regular input from the research and law enforcement agency partners.

The fiscal agent will oversee coordination of the cross-sector partnership 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

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<sup>1</sup> Throughout this solicitation, "fiscal agent" and "applicant" are used interchangeably.

showing experience engaging residents as well as core criminal justice and other partners in the implementation and sustainment of community justice strategies, especially in the targeted area.

Jurisdictions are strongly encouraged to coordinate with and 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.

For additional eligibility information, see Section [C. Eligibility Information](#).

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 21, 2015.

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How To Apply](#) in Section [D. Application and Submission Information](#).

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How To Apply](#) section.

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [responsecenter@ncjrs.gov](mailto:responsecenter@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

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# Byrne Criminal Justice Innovation Program (CFDA #16.817)

## A. Program Description

### Overview

Healthy, vibrant communities are places that provide the opportunities, resources, and an environment that children 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 communities<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. Research suggests that crime clustered in small areas, or crime “hot spots,” accounts for a disproportionate amount of crime and disorder in many communities. 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, 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, community safety and crime prevention are prerequisites to the transformation of distressed communities, including the revitalization of civic engagement. Addressing community safety is the role of criminal justice agencies, the community, and its partners as a whole. To improve and revitalize communities, all relevant stakeholders should be included: law enforcement and criminal justice, education, housing, health and human services, community and faith-based non-profits, local volunteers, residents, and businesses.

Given the significant needs and limited resources of some of these communities, 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. The criminal justice field has been creating new evidence-informed and evidence-based strategies designed to prevent and deter future crime in hot spots.

This program is funded pursuant to the “Consolidated and Further Continuing Appropriations Act, 2015” under the Edward Byrne Memorial criminal justice innovation program appropriation (P.L. 113-235). The Byrne Criminal Justice Innovation (BCJI) program was created as part of a larger, interagency effort across multiple federal agencies to assist distressed communities to both build capacity and revitalize neighborhoods. For more details on these interagency programs, see the section titled “How does BCJI fit within larger place-based and neighborhood revitalization efforts across federal agencies?” on page 7.

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<sup>2</sup> A distressed community or 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.

## **Program-Specific Information**

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

While overall crime levels are at a 30-year low, some jurisdictions still experience increases in overall crime or specific types of crime. In some urban places, for example, a disproportionate amount of all crime jurisdiction-wide occurs in “microplaces” (a city block or even smaller). In urban, rural, and tribal communities, small geographic areas can drive large proportions of calls for service and crime incidents (in urban areas, as much as 30 to 80 percent). Moreover, crime in these hot spots can be very stable over time, creating an opportunity to prevent crime by focusing on these locations.

While crime hot spots can be disbursed throughout a jurisdiction, they can also be concentrated 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 can strengthen the capacity of residents and organizations so that they are able to implement comprehensive strategies to revitalize an entire neighborhood or community to create lasting change for its residents. In rural and tribal communities as well, place-based work brings critical resources and capacity to places that often lack information and resources to advance their shared priorities. These efforts also create new opportunities for alignment across institutions and governments, including federal and local agencies, tribes, the private sector, philanthropic and non-profit organizations, and across issue areas including crime, housing, health, education, workforce development, transportation, and business.

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

A critical pillar of the BCJI Program is neighborhood empowerment. Community-oriented approaches build trust, facilitate a mutually beneficial exchange of knowledge and resources, enhance the community’s perception of 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 approaches without strong community collaboration will likely be unsuccessful and may overlook a community or neighborhood’s unique needs and challenges as well as the ability to develop and implement sustainable change. Community leaders and residents are often in the best position to motivate, implement, and sustain change over time; therefore, applications should be developed in close collaboration with community members to build community support for community needs as they evolve over time and indicate how community residents will be involved as full partners throughout the project.

### **How can research and data aid place-based crime strategies?**

Research has shown that the development of researcher-practitioner partnerships is an effective evidence-based practice for providing practitioners with the skills and tools to create proven, yet practical solutions to their criminal justice problems (Latessa, 2004; Gerardi and Wolff, 2008; Bradley and Nixon, 2009). In BJA’s Strategic Plan (2013-2016), there is a clear focus to support the integration of evidence-based, research-driven strategies into the day-to-day operations of and in the programs BJA supports. In recent years, BJA has developed a “Smart Suite” of programs that promote and require a strategic partnerships between criminal justice practitioners and local research partners to identify and select the most effective strategies to reduce and prevent crime. This model is evident in the following BJA supported

programs: Project Safe Neighborhoods, Smart Policing, Smart Prosecution, Smart Pretrial, Smart Supervision, and BCJI.

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>3</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 led efforts to create and test new community-based collaborations that address criminogenic risk factors<sup>4</sup> through problem-solving courts like community courts, community corrections and diversion programs, and community-based offender reentry strategies. Making it physically more difficult for crime to occur by addressing physical conditions that increase risk can be very effective, using crime prevention through environmental design (CPTED<sup>5</sup>), related civil legal strategies such as code enforcement and civil nuisance laws to prevent or reduce crime or problems that impact quality of life,<sup>6</sup> and community revitalization. *See page 10 for a list of resources for finding evidence-based strategies for crime reduction.*

### **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 basic capacity to engage community-based partners, community leaders, and residents to collaborate in addressing the priority crime issue identified.

Community capacity is the ability to mobilize collective action toward defined community goals. This capacity can be developed through the cultivation of relationships among 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.

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<sup>3</sup> Law enforcement strategies such as Hot Spots Policing, CeaseFire, Project Safe Neighborhoods, Drug Market 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>4</sup> Criminogenic risk factors 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>5</sup> CPTED emphasizes the proper design and effective use of a created environment to reduce crime and enhance the quality of life.

<sup>6</sup> Related civil legal remedies might include enforcement of nuisance and drug abatement laws to address problem properties using creative strategies like eviction, land/property use laws, improvements, and tenant screening by the neighborhood association; use of restraining orders to combat batterers, gangs, or delinquent youth; enforcing local ordinances through injunctions against loitering and gang member congregations; and banning of drug paraphernalia, billboards, and spray paint. The use of planning principles including CPTED in connection with these legal tools and technology can provide powerful ways to discourage a range of criminal activity from assaults to drug dealing. Joint community-criminal justice problem solving and communication of community expectations can result in improvement to health and safety violations, enforced clean-up and upkeep of blighted properties, eviction of problem tenants, and improved property management, with a resulting efficiency in crime abatement.

Communities without the 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 resources, including the [Building Neighborhood Capacity Resource Center](#).

### **How does BCJI fit within larger place-based and neighborhood revitalization efforts across federal agencies?**

The federal government funds numerous crime, affordable housing, health, cradle-to-career education, and community and economic development initiatives through an array of programs. Through coordinated federal support, there are growing interagency efforts to align a comprehensive range of federal programs across several agencies, including Departments of Education (ED), Justice, Health and Human Services (HHS), Housing and Urban Development (HUD), Agriculture (USDA), Interior, and Treasury to both build capacity and revitalize the nation's most distressed communities.

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 community and regional revitalization efforts—such as ED's Promise Neighborhoods,<sup>7</sup> HUD's Choice Neighborhoods,<sup>8</sup> USDA's Stronger Economies Together (SET) regions, and/or HHS's Community Health Center<sup>9</sup> grants, or Treasury's Community Development Financial Institutions (CDFI)<sup>10</sup> funds, or a Promise Zone's<sup>11</sup> designation—whenever these resources are directed to locations proposed to be targeted with a grant under this solicitation.

*For current and future Promise Zones designees and partner organizations, please reference the "What an Application Should Include section" item #7 Additional Attachments for further guidance on certification forms.*

Applicants are also encouraged to go to the [BJA web site](#) for potential resources to support community safety goals, including grants and training and technical assistance (TTA).

Consistent with this approach, wherever possible and appropriate, applicants should partner (by braiding funding streams, contributing to policy development, etc.) with organizations engaged in revitalization of other community assets. These coordinated efforts should result in the strategic investment of resources into the following key 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);

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<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).

<sup>9</sup> For more information, go to [www.bphc.hrsa.gov/about/index.html](http://www.bphc.hrsa.gov/about/index.html).

<sup>10</sup> For more information, go to [www.cdfifund.gov](http://www.cdfifund.gov).

<sup>11</sup> For more information, go to [www.hudexchange.info/promise-zones/](http://www.hudexchange.info/promise-zones/)

- 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).

### **Goals, Objectives, and Deliverables**

The goal of BCJI is to reduce crime and improve community safety as part of a comprehensive strategy to advance neighborhood revitalization. Through a broad cross-sector partnership team, including neighborhood residents, BCJI grantees target neighborhoods with hot spots of violent and serious crime and employ data-driven, cross-sector strategies to reduce crime and violence.

Since its launch in FY 2012, the BCJI program—and the TTA to support the model—has been developed around four core objectives:

1. *Place-based strategy: To better integrate crime control efforts with revitalization strategies*  
Efforts to reduce crime are rooted in broader revitalization activities in recognition of the inextricable link between housing, education, health, economic development, and public safety. BCJI sites target a specific geographic area within a community with high levels of crime or types of crime in order to most effectively direct 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.
2. *Data-driven: To improve the use of data and research to problem solve and guide program strategy*  
Every BCJI site is working with a local researcher or research team to conduct a broad examination of the drivers of crime around hot spots, and then to consider appropriate evidence based or innovative strategies to address these drivers.

Local researcher-practitioner partnerships can help a community assess program implementation and intended program impacts as well as assess gaps in services, strategies, and partners.

**NOTE:** To continue to add to the knowledge base about what works in crime prevention and reduction, contingent upon the availability of funding, BJA plans to evaluate a small number of the grantee sites to enhance knowledge about program effectiveness. Applicants should be prepared to cooperate in an evaluation of their BCJI project efforts if selected.

3. *Community-Oriented: To increase community and resident engagement in shaping crime prevention and revitalization efforts*  
BCJI champions the role that residents and neighbors play in keeping communities safe, and highlights the importance of building collective efficacy and trust of law enforcement to enhance community safety in the long term. To catalyze and sustain change, there must be active involvement and leadership of neighborhood residents throughout the revitalization process. Understanding residents' views of neighborhood change is critical. Engaging in

community-oriented strategies should be driven by local data and needs, and address critical issues comprehensively.

4. *Partnerships and Capacity Building: To promote sustainable collaboration with cross-sector partners to tackle problems from multiple angles*

Partners including individual leaders, organizations and agencies from criminal justice, social service and community development arenas are working together in BCJI to investigate crime drivers, select appropriate strategies, and implement responses.

Developing these capabilities of a cross-sector partnership as well as the community should be a key strategy of organizations pursuing comprehensive revitalization.<sup>12</sup> Applicants should have a demonstrated commitment and capacity to form partnerships and work collaboratively, and ensure community members have the right knowledge and skills to contribute meaningfully, even if they face ongoing challenges in their attempts to identify crime issues and develop a targeted strategy to address those issues.

To ensure effectiveness in achieving program goals and objectives, current and future BCJI grantees work closely with BJA and BJA's competitively selected TTA partner (currently the Local Initiatives Support Corporation) to participate in information sharing sessions, facilitate peer-to-peer exchanges of information, and administer subject matter expertise that is relevant to BCJI neighborhood efforts.

The BCJI TTA coordinator provides various templates and guidance to assist BCJI sites with achieving grant planning and implementation efforts. Specific guidance on project deliverables, implementation plans, suggested project milestones, and sample work plans are available at: [www.lisc.org/csi/byrne\\_criminal\\_justice\\_innovation\\_\(bcji\)/bcji\\_news\\_&\\_events/bcji\\_planning\\_and\\_implementation\\_guide.php](http://www.lisc.org/csi/byrne_criminal_justice_innovation_(bcji)/bcji_news_&_events/bcji_planning_and_implementation_guide.php).

For more information on LISC and current BCJI grantees, a map of site locations, resources, and tools, visit: [www.lisc.org/BCJI](http://www.lisc.org/BCJI).

Specific information about expected deliverables are outlined in the "Federal Award Administration Information" section below, outlined by category of funding.

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

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- Improving the quantity and quality of evidence OJP generates
- Integrating evidence into program, practice, and policy decisions within OJP and the field
- Improving the translation of evidence into practice

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

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<sup>12</sup> As stated on page 6, *community capacity* is the ability to mobilize collective action toward defined community goals. The *capacity of organizations and cross-sector partnerships* is the ability to bring residents and stakeholders together to exchange ideas, jointly plan, and collaborate in actions intended to increase safety and strengthen the community.

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. The [OJP CrimeSolutions.gov](http://www.ojp.gov/crimesolutions) 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.

### **Helpful Resources: Finding Evidence-Based Strategies for Crime Reduction, Including Examples of Successful Research-Practitioner Collaborations in Urban, Rural, and Tribal Communities**

Resources about evidence-based practices include OJP's [CrimeSolutions.gov](http://www.ojp.gov/crimesolutions) web site in addition to several other web sites that offer examples of research-based practices and programs, and training to support local researcher-practitioner partnerships.

#### Bureau of Justice Assistance

- Research Reviews: [www.bja.gov/ProgramDetails.aspx?Program\\_ID=70](http://www.bja.gov/ProgramDetails.aspx?Program_ID=70)
- Smart Policing Initiative web site: [www.smartpolicinginitiative.com/](http://www.smartpolicinginitiative.com/)
- Police Quarterly, Special Issue: Smart Policing <http://pqx.sagepub.com/content/16/3.toc>
- What Works in Reentry Clearinghouse: <http://whatworks.csgjusticecenter.org/>

#### Promise Zones

- Resources for Rural and Tribal Communities: [www.hudexchange.info/promise-zones/rural-tribal](http://www.hudexchange.info/promise-zones/rural-tribal)

#### Tribal Resources

- Office of Tribal Justice, DOJ: [www.justice.gov/otj](http://www.justice.gov/otj)
- Center for Court Innovation Tribal Justice: [www.courtinnovation.org/topic/tribal-justice](http://www.courtinnovation.org/topic/tribal-justice)

#### National Institute of Justice

- Findings from a Researcher-Practitioner Partnerships Study  
[www.ncjrs.gov/pdffiles1/nij/grants/243911.pdf](http://www.ncjrs.gov/pdffiles1/nij/grants/243911.pdf)

#### Community Oriented Policing Services (COPS) Office:

- Center for Problem Oriented Policing (POP), POP Guides: [www.popcenter.org/guides/](http://www.popcenter.org/guides/)

#### George Mason University, Center for Evidence-Based Crime Policy

- <http://cebcp.org/evidence-based-policing/>

#### Michigan State University

- Project Safe Neighborhoods [www.psnmsu.com/psn-resources/](http://www.psnmsu.com/psn-resources/)
  - Research Partner Orientation Course Resource List
  - Identifying and Working with a Research Partner Q & A

#### The Police Foundation

- [www.policefoundation.org/](http://www.policefoundation.org/)

#### Substance Abuse and Mental Health Services Administration (SAMHSA)

- [www.samhsa.gov/ebpwebguide/](http://www.samhsa.gov/ebpwebguide/)

## B. Federal Award Information

BJA solicits applications in two categories: 1) Planning, and 2) Implementation. Under Category 1, BJA estimates that it will make up to 15 awards of up to \$175,000 each for up to an 18-month project period, beginning on October 1, 2015. Under Category 2, BJA estimates that it will make up to 3 awards of up to \$1,000,000 for up to a 36-month project period, beginning on October 1, 2015.

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

*Please note: At this time, there are no exclusions or specific eligibility requirements for either of these two categories. As the Planning category was new in FY 2014, BJA is still growing the pool of BCJI Planning only grantees.*

*In future years, depending upon the availability of funding, BJA may include specific eligibility requirements for different categories. For example, if funding is available, a future solicitation may include an Implementation category to which eligible applicants may only be previous recipients of a BCJI Planning grant. For the FY 2015 solicitation, the decision to apply to either category is a local decision but the below clarifications are meant to assist jurisdictions in making that decision.*

*The purpose of the Planning category is to provide critical resources to communities who need assistance in pursuing, building, and convening appropriate stakeholders, along with community residents, and a research partner or team, to collect and analyze data to design and complete a strategic, collaborative, and community-oriented plan to reduce crime in a target neighborhood or community.*

*The purpose of the Implementation category is to provide critical resources to communities that have well established, cross sector partnerships in place, have begun or been engaged in strategic planning for improving community safety within a neighborhood or community, and have access to a range of data to understand crime drivers within the specific target area.*

In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, types of crime addressed, underserved populations, geographic diversity, strategic priorities including Promise Zones designations, NRI<sup>13</sup> (Promise, Choice, Community Health Centers), sustainability, past performance, and available funding.

Under BOTH categories, with a broad cross-sector partnership team, including residents, BCJI applicants will target communities with a concentration of chronic hot spots of violent and serious crime and employ data-driven, cross-sector strategies (enforcement, prevention, and intervention) to reduce crime and violence. **Spearheaded by the fiscal agent, the cross-sector partnership team must include law enforcement, neighborhood residents, a local**

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<sup>13</sup> See page 7 for a discussion of these programs and links to federal program web sites.

**research partner or research team<sup>14</sup>, and relevant community stakeholders.** The crime issue(s) must represent a significant proportion of crime or type of crime within the larger community or jurisdiction.

In addition to the above, to achieve BCJI program goals and objectives, successful **applications must** commit to accomplishing the following:

- 1) Work closely with the BCJI TTA provider to plan and/or implement (*dependent upon category of funding*) a comprehensive and coordinated strategy to address issues that relate to the crime issues identified, including neighborhood revitalization.
- 2) Ensure that community residents are full partners in the process and offer ongoing community engagement and leadership building support.
- 3) Collaborate with local law enforcement and a research partner/team to conduct an analysis of crime drivers and an assessment of needs and available resources.<sup>15</sup>
- 4) Establish effective partnerships both to provide solutions and commit resources to sustain what works.

To achieve BCJI program goals and objectives, the **fiscal agent must** commit to accomplishing the following:

- 1) Ensure meaningful engagement of residents and other partners, including coordination in the development or implementation of a comprehensive and coordinated strategic plan.
- 2) Demonstrate commitment of the partners, including the local law enforcement agency and a research partner or team, to support the data collection and analysis throughout the life of the grant.<sup>16</sup>
- 3) Demonstrate ability to coordinate and collaborate among service providers (e.g., by the formation of a diverse advisory board or cross-sector partnership team to address an identified problem).
- 4) Facilitate, as appropriate, collaboration with relevant local, state, or federal initiatives (e.g., National Youth Forum, Project Safe Neighborhoods, Promise Zones, anti-gang programs, or other neighborhood revitalization programs) located in, adjacent, or overlapping the jurisdiction that addresses issues that relate to the crime issues identified.
- 5) Support the planning and sustainment of the program through proactive program management tied to rigorous research and data analysis, program assessment, and leverage other funding and resources.

**Category 1: Planning Grant. Competition ID: BJA-2015-4096**

BJA estimates that it will make up to 15 awards of up to \$175,000 each for up to an 18-month project period, beginning on October 1, 2015.

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<sup>14</sup> Both BJA and the BCJI TTA partner will provide existing and new BCJI grantees with tools, trainings, and resources that define researcher roles and responsibilities and demonstrate the value of these partnerships. See page 10 for some examples of the current resources.

<sup>15</sup> Both BJA and the BCJI TTA partner will provide existing and new BCJI grantees with tools, trainings, and resources that define researcher roles and responsibilities and demonstrate the value of these partnerships. See page 10 for some examples of the current resources.

<sup>16</sup> Documentation should include signed agreements or memoranda of understanding, detailing roles and responsibilities for these partners.

Applicants will *design* and *complete* a strategic, collaborative, and community-oriented plan to reduce crime in a target neighborhood or community. Applicants will use planning funds to:

- Identify, verify, and prioritize crime hot spots within identified neighborhood
- Work with cross-sector partners/management team to develop a strategy, drawing on a continuum of approaches to address crime drivers.
- Pursue community partnerships and leadership, building support to ensure the community and residents are active in the process.
- Collaborate regularly with local law enforcement, a research partner or research team, and the community to conduct analysis of crime drivers and an assessment of needs and available resources.
- Support planning and proactive outreach to garner new and/or leverage resources or funding, necessary to implement strategies identified in the strategic plan.

Category 1 deliverables:

- *Develop a comprehensive strategic plan to reduce crime in the identified neighborhood or community.* The strategic plan is a narrative report that includes the analysis and methodology findings, in addition to a plan articulating a range of strategies that the BCJI cross sector partners plan to pursue.
- *Identify and complete an early action project.* An early action project can be any activity that helps to build confidence among community members and other partners in the BCJI process and that illustrates the kind of neighborhood or community improvements that could be achieved through the BCJI process and beyond.

Examples of early action projects may include, but are not limited to: community clean-ups, block parties or a community festival, an art/mural project, creating a place for community interaction and youth engagement, or improving lighting around a hot spot. Other examples that might be effective in Indian Country would include consultation with tribal elders in the development of the plan or incorporating tribal culture or traditional art methods in an art or mural project. More examples of similar type of smaller action or learn while doing projects can be found on the [LISC BCJI web site](#) or in the [Building Neighborhood Capacity program resource center](#).

To assist with completion of **Category 1 Planning** deliverables, grantees will receive intensive technical assistance from the BCJI TTA provider and will be required to complete and participate in any needs assessment processes and development of logic models or work plans and/or planning tools, provided by the BJA TTA provider. These activities will guide each grantee in developing a strategic plan that incorporates resident input and evidence-based or data driven programs, policies, and practices. Please view the LISC [Planning and Implementation Guide](#) to read about suggested project milestones and timelines to assist grantees with conducting planning activities and preparing their strategic plans.

Funds awarded under Category 1 in this solicitation are for planning purposes only, and may not be used for implementation (with the exception of the early action projects, since they are designed to support the community engagement and planning strategies). Category 1 grantees will receive intensive technical assistance from BJA's selected TTA provider to support their planning efforts and completion of grant deliverables.

**Category 2: Implementation Grant (with Required Planning Phase). Competition ID: BJA-2015-4097**

BJA estimates that it will make up to 3 awards of up \$1,000,000 for up to a 36-month project period, beginning on October 1, 2015.

Applicants will *complete* a new strategic, collaborative, and community-oriented plan to reduce crime in a target neighborhood and then *begin* implementation of the plan during the project period. Applicants should view the BCJI [Planning and Implementation Guide](#) for more specific and detailed guidance on suggested project milestones and timelines to assist grantees with conducting planning activities and preparing their implementation plans.

Applicants will use Implementation funds to:

1. Engage in a required 9 to 12 month planning phase to:
  - Identify, verify, and prioritize crime hot spots within the identified neighborhood.
  - Work with cross-sector partners and management team to develop a strategy, drawing on a continuum of approaches to address crime drivers.
  - Pursue community partnerships and leadership, building support to ensure the community is active in the process.
  - Collaborate regularly with local law enforcement, a research partner, and the community to conduct analysis of crime drivers and an assessment of needs and available resources.
  - Develop a comprehensive implementation plan to reduce crime in the identified neighborhood or community that includes the analysis and methodology findings and a plan that articulates the range of strategies that the BCJI cross sector partners plan to pursue.
2. Upon completion of the planning phase, engage in an implementation phase to:
  - Convene regular, ongoing meetings with cross-sector partners and management team;
  - Share regular input/discussions with research partner and assess program implementation;
  - Modify strategies, as appropriate;
  - Identify and develop a sustainability strategy for longer term implementation of BCJI program core principles;
  - Build capacity of cross-sector management team to continue to coordinate research.

Category 2 Implementation deliverables

- *Completion and submission of Implementation plan to BJA TTA provider and BJA.*  
As previously described, at the completion of the planning phase, Category 2 grantees must submit an Implementation for approval to BJA. The process for submitting this plan is described below and through guidance from the BJA TTA provider [here](#).
- *Produce a final written summary report that outlines the collaborative process undertaken and describes results and lessons learned.*

Separate from the Implementation plan which is submitted to BJA, Category 2 grantees must produce a final written summary report outlining the project's goals, challenges, and achievements so as to share findings and lessons learned with the broader criminal justice and community development fields. While there may be some support from the

BJA TTA provider to assist sites with completion of these reports, applicants should describe how they plan to prepare and produce this report regardless of TTA support.

To assist with completion of the **Category 2 Implementation** deliverable, grantees will receive intensive technical assistance from the BCJI TTA provider and will be required to complete and participate in any needs assessment processes, development of logic models or work plans, and/or planning tools, provided by the BJA TTA provider. These activities will guide each grantee in developing an implementation plan that incorporates resident input and evidence-based or data driven programs, policies, and practices.

### **Special Withholding Condition for Category 2 Implementation Awards ONLY**

During the planning phase, Implementation grantees will only have access to funds of up to \$150,000 of the total award for planning activities.

### **Category 2 Implementation Timeline for Project Activities**

Allotting time to convene all cross sector partners, collect and analyze a broad range of data, and obtain resident input is critical to the BCJI program. Therefore, the planning phase *must* last a minimum of 9 to 12 months.

Implementation plans must be approved by BJA in writing (in consultation with the TTA provider), in order for the grantees to begin their implementation phase and gain access to the remainder of grant funds. Grantees will have the opportunity to provide additional feedback, clarification, and data regarding their implementation plans, if requested by BJA and/or the TTA provider. However, applicants should be aware that if, after a reasonable exchange of information and feedback occurs, an implementation plan may not receive BJA approval, and grantees therefore may not receive access to the remaining grant funds for implementation or an extension of their grant award.

During review of the Implementation plan, grantees will have an opportunity to address any issues or concerns in the revised implementation strategy. In this strategy, grantees must ensure that the core elements of BCJI are in place; that they have collected appropriate data; and that there is a strong research or evidence base for proposed place-based programs or interventions.

### **Type of Award<sup>17</sup>**

BJA expects that it will make any award from this solicitation in the form of a grant.

### **Financial Management and System of Internal Controls**

If selected for funding, the award recipient must:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

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<sup>17</sup> See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the non-federal entity's compliance with statute, regulations and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or the non-federal entity considers sensitive consistent with applicable federal, state, and local laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

## **Budget Information**

### **Cost Sharing or Match Requirement**

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

### **Pre-Agreement Cost Approvals**

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more 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, recipients may not use federal funds to pay total cash compensation (salary plus cash 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.<sup>18</sup> The 2015 salary table for SES employees is available on the Office of Personnel Management [web site](#). Note: A recipient may compensate an employee at a greater 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.)

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<sup>18</sup> This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the 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 the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, 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.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on conference approval, planning, and reporting available at [www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm](http://www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

### **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 for individuals with limited English proficiency may be allowable. 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 under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For additional eligibility information, see Title page.

### **Cost Sharing or Match Requirement**

For additional information on cost sharing and match requirement, see Section [B. Federal Award Information](#).

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How To Apply](#).

## D. Application and Submission Information

### What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated 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: Project Abstract, Program Narrative, Budget Detail Worksheet, Budget Narrative, and MOUs/Letters of Support. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the “Note on File Names and File Types” under [How To Apply](#) to be sure applications are submitted in permitted formats.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP’s Grants Management System (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).

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

#### 2. Project Abstract

Applicants must provide an abstract identifying the applicant’s name and project title. The abstract **must** include:

1. Identification of the target neighborhood/neighborhood boundaries **and** zip code(s).
2. Identification of whether the target neighborhood receives funding from any federal investments that occur, serve, or overlap the target neighborhood such as other Department of Justice federal grant programs such as Project Safe Neighborhoods, Smart Policing Initiative, or Community Based Violence Prevention Program, Department of Education’s Promise Neighborhood; Department of Housing and Urban Development’s Choice Neighborhood; a recipient of Department of Health and Human Services’ Community Health Center grant; or a recipient of Department of the Treasury’s Community Development Financial Institution (CDFI) funds. If the applicant is a Promise Zone designee or Promise Zone partner organization, a certification form is required (please see Additional Attachments for further details).

3. A list of partners that comprise the cross-sector partnership.
4. A brief description of why the target neighborhood needs federal funds, including any crime data and/or community survey data about problems within the target location proposed for the grant.
5. Project goals.
6. For **Category 2 Implementation**: A brief description of the proposed strategies to be implemented, including a short description of planning phase activities.
7. Total funding requested.
8. Other resources identified that will support the BCJI efforts.<sup>19</sup>

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 3 pages.

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

### 3. Program Narrative

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 no less than 1-inch margins, and must not exceed 15 pages. Number pages "1 of 15," "2 of 15," etc.

If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance 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. Plan for Collecting the Data Required for this Solicitation's Performance Measures  
To assist the Department with 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. Post award, recipients will be required to submit quarterly performance metrics through BJA's online Performance Measurement Tool (PMT), located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). Applicants should review the complete list of BCJI program performance measures at: [www.bjaperformancetools.org/help/BCJIPerformanceIndicatorgrid.pdf](http://www.bjaperformancetools.org/help/BCJIPerformanceIndicatorgrid.pdf).

BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

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<sup>19</sup> Do not include these items in the budget. The purpose is to show support, but will not be tracked as a match.

### **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 Funding Resource Center](http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page ([ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm](http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that Web page.

## **4. Budget Detail Worksheet and Budget Narrative**

### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at [www.ojp.gov/financialguide/index.htm](http://www.ojp.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. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, 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.

Budget for travel to grantee meetings:

- **For Category 1 Planning:** Applicants must budget funding to travel to DOJ-sponsored BCJI training meetings. Applicants should estimate the costs of travel and accommodations for up to two personnel to attend at least one meeting in Washington, D.C. during the life of the grant. Approval from BJA is required prior to any use of travel funds outside of DOJ-sponsored BCJI training meetings.
- **For Category 2 Implementation:** Applicants must budget funding to travel to DOJ-sponsored BCJI training meetings. Applicants should estimate the costs of travel and accommodations for up to three personnel to attend at least two meetings in Washington, D.C. during the life of the grant. Approval from BJA is required prior to any use of travel funds outside of DOJ-sponsored BCJI training meetings.

Budget for small action projects:

- **For Category 1 Planning REQUIRED:** Applicants must budget for funding (up to \$15,000) for an early action project (as defined on page 13).
- **For Category 2 Implementation OPTIONAL:** While it is not required, Category 2 applicants may choose to budget for a small action project during their planning phase.

Budget for planning phase activities:

- **For Category 2 Implementation ONLY:** As described on pages 14-15, Implementation awardees will only have access of up to \$150,000 for planning phase activities (minimum of 9 to 12 months) and must budget accordingly. 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 data –driven, evidence-based practices, or innovative approaches as suggested by the research partner. The overall budget must also include costs for the ongoing research partner role throughout the entire grant period.

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

**d. Pre-Agreement Cost Approvals**

For information on pre-agreement costs, see Section [B. Federal Award Information](#).

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

Indirect costs are allowed only if the applicant has a current federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their 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. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

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

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance 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 an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **7. Applicant Disclosure of High Risk Status**

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high risk;
- Date the applicant was designated high risk;
- The high risk point of contact name, phone number, and email address, from that federal agency; and
- Reasons for the high risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

## **8. Additional Attachments**

### **a. Time and Task Plan and Position Descriptions**

Attach a Time and Task Plan Timeline (with an estimated start date of October 1, 2015) 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.

**b. Memorandums of Understanding (MOUs) and Letters of Support**

Each applicant must submit, as part of its application, a Memorandum of Understanding, signed by each individual, organization, or agency listed below (1-3). For sample MOUs, please visit [www.lisc.org/BCJI](http://www.lisc.org/BCJI).

As relevant and applicable to your applicant category (Planning vs. Implementation) each MOU 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 MOUs from the law enforcement partner, include a commitment to provide crime and arrest data needed to complete the crime analysis described in this solicitation in addition to specific staff that will oversee this effort.

MOUs must be included from the following individuals/organizations:

1. Fiscal agent\*
2. Local law enforcement agency
3. One cross-sector partner

Applicants should provide Letters of Support from community leaders (as defined by the local jurisdiction) and any other key members of the cross sector partnership team or other entities that will be key partners in the BCJI strategy.

\*NOTE: To minimize duplication, if the fiscal agent is also the law enforcement agency, the MOU should indicate how the law enforcement agency will lead the effort and include the specified items listed above.

**c. Research Partnership: Letter of Participation**

Qualifications, Expertise, and Letter of Participation

The Research Partner (RP) or Research Team (RT) should provide a brief biographical statement about their qualifications in conducting field research. At a minimum, the letter should include the following: highest degree earned, year, and institution; years of experience in conducting research and evaluation (specifically as it relates to criminal justice and neighborhood revitalization topics); and a list of no more than three publications relevant to policing and/or evaluation. The RP or RT should demonstrate knowledge of community-oriented, place-based crime strategies, evaluation methods, and describe any history of a relationship and familiarity with the police agency (has he/she worked with the fiscal agent and/or police agency in the past or is this a new endeavor.)

Additionally, the RP or RT should indicate its capacity to assist the police agency with data collection issues and analysis. The letter should include a brief paragraph about the evaluation methods that will be used for the project.

Memorandum of Agreement

If the application is selected to receive a grant award, the fiscal agent, police agency (if not the fiscal agent), and the RP or RT will be asked to include a Memorandum of Agreement that outlines specific roles, responsibilities, and expectations. The MOA should be signed by the RP or RT and the designated officials within the fiscal agent and police department, if separate agencies.

**d. Promise Zones Certification Form, if applicable.**

As a participant in the Administration’s Promise Zone Initiative, HUD is cooperating with the Department of Agriculture and 10 other federal agencies to support comprehensive revitalization efforts in 20 of the highest poverty urban, rural and tribal communities across the country. Applicants that submit a certification ([HUD Form 50153](#)) signed by an authorized representative of the lead organization of a Promise Zone designated by HUD or the Department of Agriculture supporting the application are eligible for priority consideration. To view the list of designated Promise Zones and lead organizations please go to [www.hud.gov/promisezones](http://www.hud.gov/promisezones).

**e. Applicant Disclosure of Pending Applications**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency
- The solicitation name/project name
- The point of contact information at the applicable funding agency.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending

applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**f. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:

a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by BJA grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:

- a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

#### **9. Financial Management and System of Internal Controls Questionnaire**

In accordance with [2 CFR 200.205](#), Federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a Federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

#### **10. Disclosure of Lobbying Activities**

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

#### **How To Apply**

Applicants must register in, and submit applications through Grants.gov, a "one-stop storefront" to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should 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-time process; however, **processing delays may occur, and it can**

**take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

BJA strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ' )
Hyphen ( - )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Space	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Period ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;amp;” format.</b>		

Grants.gov is designed to forward successfully submitted applications 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.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

- 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 a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating 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. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. **The information transfer from SAM to Grants.gov can take up to 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.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 an organization can have more than one AOR.
- 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 number for this solicitation is 16.817, titled "Byrne Criminal Justice Innovation Program," and the funding opportunity number is BJA-2015-4095.
- 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. Submit a valid 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 two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

### **Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

### **Experiencing Unforeseen Grants.gov Technical Issues**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) to report the technical issue and receive a tracking number. Then applicant must e-mail the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time
- Failure to follow Grants.gov instructions on how to register and apply as posted on its web site
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology 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.gov/funding/Explore/CurrentFundingOpportunities.htm](http://www.ojp.gov/funding/Explore/CurrentFundingOpportunities.htm).**

## **E. Application Review Information**

### **Selection Criteria**

#### **1. Statement of the Problem (25 percent)**

All applicants should explain limitations on funding the program adequately without federal assistance.

- Describe the nature and scope of crime in the targeted community, including identifying the number and location of the specific city blocks or other hot spots where a large proportion of crime or types of crime occur, as compared with crime rates in the overall jurisdiction. Provide any local/state data and a trend analysis **for the specific target area** (including data, Uniform Crime Reporting (UCR), calls for service, and survey results from target area residents) to support the discussion. Provide additional information about what is causing the crime to occur in the crime hot spots (e.g. the crime drivers).

- Describe the geographic boundaries of the targeted neighborhood or community, the zip code, 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.

Planning Applicants (Category 1) in addition to the above:

- Discuss the efforts (identifying any barriers or challenges) that have been made to date to design a strategic, collaborative, and community-oriented plan to reduce crime in a target neighborhood.

## 2. Project Design and Implementation (40 percent)

All applicants:

- Goals and Objectives.** Identify the program goals and describe the “future vision” for the target neighborhood/community, specifically describing how this vision will address the problems and unmet needs identified in the Statement of the Problem. For each goal, identify the major objectives that are precise and measurable and identify strategies, programs, and policies to achieve the goals.

If applicable, describe the strategy (or proposed strategy) to address the specific crime problem(s) identified by building a continuum of solutions that can include enforcement, prevention, intervention, and treatment strategies.

The project design and strategy should conform to the BCJI core program elements and should 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>20</sup> The resources listed on page 10 provide 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 applicant should incorporate data and innovation to develop new or revised strategies.

- Planning and Research Partner (RP) or Research Team (RT) Role.** Describe how the planning process or planning phase will be used to reach critical planning milestones; BCJI grantees will be guided through this phase with the BJA TTA provider’s Planning and Implementation guide. Examples of such milestones may include community and resident engagement, regular meetings with the research partner, data collection and analysis, building partnership and collaboration infrastructure, and identification of crime reduction strategies budget revisions.
  - Describe specifically how the project will accomplish expected outcomes by providing the goals, objectives, and the performance measures applicable to the project. Include a comprehensive timeline that identifies milestones, numerically lists deliverables, and identifies who is responsible for each activity (Time and Task Plan attachment).

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<sup>20</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).

- Describe the RP or RT roles and responsibilities throughout the entirety of the BCJI grant. At a minimum, the research partner should: assist in problem description and definition; participate in solution development; provide ongoing analysis, monitoring, and assessment of the solution(s) impact; and for **Category 2 Implementation** assist with the production of the final summary report.
  - Please see page 10 under “**Helpful Resources: Finding Evidence-Based Strategies for Crime Reduction Including Examples of Successful Research-Practitioner Collaborations**” for useful guidance in establishing the roles and responsibilities of the research partner in your BCJI strategy.
  - Describe and provide evidence of the types and quality of data sources available to the cross sector partnership to conduct appropriate analysis. For example: access to multiple sources of data across partner agencies specific to the identified problem(s)?
    - Does the fiscal agent or other partners have the ability to integrate data from different sources?
- c. **Resident Engagement.** For each activity/task, describe the strategy and operating structure for ensuring regular and meaningful engagement of neighborhood citizens.
- d. **Implementation Strategies and Activities (Category 2 Applicants ONLY).** With the required Planning phase in mind, describe the initial 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 the definition of “evidence” on page 9 and “research” on page 20.

- **Evidence-Based or Evidence-Informed 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 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.

### 3. Capabilities and Competencies (20 percent)

A cross-sector partnership must be in place and the applicant must demonstrate the capacity, through the partnership, to implement the proposed planning and/or implementation efforts. The applicant entity must be able to serve as the fiscal agent and oversee coordination of a consortium of agencies, organizations, and community residents, including but not limited to, oversight of subawards of funding. The application must

demonstrate, by citing specific examples, its capacity, commitment, and support from residents in the community to serve as the lead fiscal agent. 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 committed or to be committed. 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. Describe the management structure and proposed staffing to implement the project and describe their roles and responsibilities including decision making as well as those of any co-applicants or partners, if applicable.
- b. Discuss the capacity of each critical partner to improve community safety conditions for community residents, especially in the crime hot spots. This discussion should include the enforcement, prevention, intervention, and revitalization strategies.
- c. Describe how the fiscal agent and cross-sector partnership will:
  - 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.
- d. Discuss capacity to lead resident and community outreach and engage in leadership building skills, including collaboration with community-based organizations. In particular, discuss any experience the partnership has working with 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.

#### **4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5 percent)**

- a. **Performance Management:** For each project goal, identify the criteria that will determine how and if objectives have been successfully met and one or more specific measurable outcomes and the data sources that will be used to determine whether or not the outcome was accomplished.
  - All applicants must indicate their willingness and ability to collect and 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. If applicable, 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 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.

**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.

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

## 5. Budget (10 percent)

Budgets should be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate how applicants will maximize cost effectiveness of grant expenditures, and deliver the best value. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>21</sup>

### 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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant

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<sup>21</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

- Applications must request funding within programmatic funding constraints (if applicable)
- Applications must be responsive to the scope of the solicitation
- Applications must include all items designated as “critical elements”
- Applicants will be checked against the General Services Administration’s Excluded Parties List

For a list of critical elements, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

BJA may use internal peer reviewers, external peer reviewers, or a combination, to review the applications. 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. 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 (see page 7), past performance under prior BJA and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-federal entities
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those 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, who may consider factors including, but not limited to, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP award notification will be sent from GMS. Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical

signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

### **Administrative, National Policy, and other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>22</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

### **General Information about Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Future awards and fund drawdowns may be withheld if reports are delinquent.

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<sup>22</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative obligations of the recipient or the program.

## **G. Federal Awarding Agency Contact(s)**

For additional Federal Awarding Agency Contact(s), see the Title page.

For additional contact information for Grants.gov, see the [Title page](#).

## **H. Other Information**

### **Provide Feedback to OJP**

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

**IMPORTANT:** This e-mail is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

## Application Checklist FY 2014 Byrne Criminal Justice Innovation Program

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

### What an Applicant Should Do:

*Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 27)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 28)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 28)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 28)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 28)
- \_\_\_\_\_ Select the correct Competition ID (see page 28)
- \_\_\_\_\_ Download Funding Opportunity and Application Package)
- \_\_\_\_\_ Sign up for Grants.gov email notifications (optional) (see page 27)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

*After application submission, receive Grants.gov email notifications that:*

- \_\_\_\_\_ (1) application has been received,
- \_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 28)

*If no Grants.gov receipt, and validation or error notifications are received:*

- \_\_\_\_\_ contact the NCJRS Response Center regarding experiencing technical difficulties (see page 29)

### General Requirements:

- \_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s).

### 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
- \_\_\_\_\_ Applicant(s) meet the eligibility requirements listed on the title page.

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 18)
- \_\_\_\_\_ \*Project Abstract (see page 18)
- \_\_\_\_\_ \*Program Narrative (see page 19)
- \_\_\_\_\_ \*Budget Detail Worksheet (see page 20)
  - \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 16)
  - \_\_\_\_\_ Read OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm)

- \_\_\_\_\_ \*Budget Narrative (see page 20)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 26)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 22)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 22)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 22)
- \_\_\_\_\_ Additional Attachments (see page 22)
  - \_\_\_\_\_ Time and Task Plan and Position Descriptions
  - \_\_\_\_\_ Project Timeline
  - \_\_\_\_\_ \*MOUs/Letters of Support
  - \_\_\_\_\_ Research Partner Letter of Participation
  - \_\_\_\_\_ Promise Zones Certification Form (if applicable)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (if applicable) (see page 25)

\* 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.