

**U.S. Department of Justice**  
Office of Justice Programs  
Bureau of Justice Assistance



---

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for the Justice Information Sharing Training and Technical Assistance (JIS TTA) Program. This program furthers the Department's mission by assisting state, local, and tribal jurisdictions in reducing crime and improving the functioning of the criminal justice system through more effective information sharing, multi-agency collaboration, and implementation of data-driven, evidence-based strategies.

## **Justice Information Sharing Training and Technical Assistance (JIS TTA) Program FY 2015 Competitive Grant Announcement**

### **Eligibility**

Eligible applicants are limited to: public<sup>1</sup> agencies that perform criminal justice functions; and public or private entities (including, but not limited to, for-profit (commercial) and non-profit organizations (including tribal non-profit and for-profit organizations), faith-based and community organizations, federally recognized Indian tribal governments (as determined by the Secretary of the Interior) that perform law enforcement functions, and institutions of higher education (including tribal institutions of higher education)) that support, on a national level, initiatives to improve the functioning of the criminal justice system. For-profit organizations must agree to forgo any profit or management fee.

Before an applicant develops a full application, it may contact BJA with questions regarding eligibility to receive funding. Responses will be limited in scope to questions regarding preliminary eligibility. In any event, applicants should submit any and all documentation it deems relevant in support of its assertions of eligibility.

BJA welcomes applications that involve two or more separate entities; however, one eligible entity must be designated as the responsible applicant, with any partners proposed as subrecipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

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.

---

<sup>1</sup> Public agency means "any State, unit of local government, combination of such States or units, or any department, agency, or instrumentality of the foregoing." 42 U.S.C. § 3791(a)(6). See also, definition of State (42 U.S.C. § 3791(a)(2)) and Unit of local government (42 U.S.C. § 3791(a)(3)), which includes, inter alia, "an Indian Tribe that performs law enforcement functions, as determined by the Secretary of the Interior.

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 July 30, 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 email 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 email 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 requirement 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 at [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.

Grants.gov number assigned to this announcement: BJA-2015-4204

Release date: June 15, 2015

# Contents

A. Program Description .....	4
Overview .....	4
Program-Specific Information .....	4
Goals, Objectives, and Deliverables .....	4
Evidence-Based Programs or Practices .....	5
B. Federal Award Information .....	11
Type of Award .....	12
Financial Management and System of Internal Controls .....	12
Budget Information .....	12
Cost Sharing or Match Requirement .....	12
Pre-Agreement Cost Approvals .....	13
Limitation on Use of Award Funds for Employee Compensation; Waiver .....	13
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	13
Costs Associated with Language Assistance (if applicable) .....	14
C. Eligibility Information .....	14
Cost Sharing or Match Requirement .....	14
Limit on Number of Application Submissions .....	14
D. Application and Submission Information .....	14
What an Application Should Include .....	14
How to Apply .....	24
E. Application Review Information .....	26
Selection Criteria .....	26
Review Process .....	28
F. Federal Award Administration Information .....	29
Federal Award Notices .....	29
Administrative, National Policy, and other Legal Requirements .....	29
General Information about Post-Federal Award Reporting Requirements .....	30
G. Federal Awarding Agency Contact(s) .....	30
H. Other Information .....	30
Provide Feedback to OJP .....	30
Application Checklist .....	32

# Justice Information Sharing Training and Technical Assistance (JIS TTA) Program (CFDA # 16.610, 16.752)

## A. Program Description

### Overview

This FY 2015 competitive grant program seeks to support the efforts of state, local, and tribal criminal justice agencies to adopt innovative justice information sharing solutions through the provision of TTA services. Initiatives supported under this solicitation must adopt strategies consistent with the DOJ Global Standards Package (GSP) and support criminal justice policies, practices, and programs that are data-driven and evidence-based. Funding is being made available under two priority JIS TTA categories which BJA has identified below. Specific tasks and deliverables are unique to each category, and prospective applicants are encouraged to fully research and understand the scope of the underlying criminal justice challenges prior to applying. Applicants must adhere to all national guidelines and expectations as set forth by BJA under each category description.

For more information on the GSP, see [www.it.ojp.gov/gsp](http://www.it.ojp.gov/gsp). For more information about evidence-based programs and solutions, visit OJP's' [CrimeSolutions.gov](http://CrimeSolutions.gov) web site.

This program is funded through the Department of Justice Appropriations Act, 2015 (Pub. L. No. 113-235, 128 Stat. 2130, 2192), 42 U.S.C. § 3796h, and via funding provided by the Program Manager for the Information Sharing Environment.

### Program-Specific Information

#### Goals, Objectives, and Deliverables

Efficient and effective sharing of information between criminal justice agencies and their partners is critical to preserving public safety and ensuring the fair and expeditious administration of justice. In the current fiscal environment of reduced resources at all levels of government, the ability to share information and collaborate across organizations remains one of the most important factors that enables communities to address their most pressing criminal justice problems in cost-effective ways.

BJA's commitment to providing effective implementation support to state, local, and tribal partners is reflected in the diversity and depth of its TTA programs. While each program category seeks to address a unique challenge facing criminal justice practitioners, each will promote innovation, improved efficiency and cost effectiveness, and leverage the collective evidence-based practices known to BJA and its research partners. Ultimately, the goal in every case is to enhance criminal justice policies and practice in ways that promote public safety and improve public trust.

#### Leveraging Global Justice Information Sharing Initiative (Global) Tools

It is BJA's expectation that grantees under this program will fully understand, promote, and assist in the implementation of DOJ's Global Standards Package, which includes the Global Reference Architecture, the National Information Exchange Model (NIEM), Global Federated

Identity and Privilege Management, and the Global Privacy Technology Framework. For more information about the GSP, visit [www.it.ojp.gov/gsp](http://www.it.ojp.gov/gsp).

In addition, JIS TTA grantees may be utilized to support particular implementation sites across the country—including active BJA grantees—to promote the successful completion of project deliverables utilizing Global tools and methodologies that have been proven to enable effective multi-jurisdictional collaboration and data sharing.

### **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 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://OJP.CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **National Scope Requirement**

In order to be eligible for funding under this solicitation, applicants must submit proposals that describe projects that are national in scope. For the purpose of this solicitation, “national in scope” is defined as projects whose goals and proposed TTA services are relevant to criminal justice agencies and their partners throughout the country, without restriction to geographic area or a particular jurisdiction.

### **Program Deliverables**

Program deliverables must include the following, in addition to the specific requirements addressed in the funding category descriptions:

- A TTA service delivery plan that describes project purpose and subject matter, proposed services catalog, request/response model, and evaluation model as applicable. This plan should also enable BJA to determine the degree to which the successful applicant understands the existing TTA environment and has proposed organizational partnerships which complement current resources available to the field.
- Development of artifacts (reports, white papers, webinars, etc.) that document individual TTA efforts and highlight issues of national importance from a policy, legal, technology, or implementation standpoint.

All applicants acknowledge that deliverables may include tasks assigned by DOJ for the purpose of ensuring adequate security controls and privacy protection mechanisms are in place for web sites, in particular those within the .gov domain, and especially those that may include any personally identifiable information (PII) or involve direct communication with external users. This may include but not be limited to certification and accreditation (C&A), quarterly certification statements, or other artifacts requested by OJP's Office of the Chief Information Officer.

**CATEGORY 1: STATE CYBERSECURITY TECHNICAL ASSISTANCE PROGRAM. Grant maximum: \$200,000. Project period: 12 months. Competition ID: BJA-2015-4205**

With cyber threats escalating in their frequency and complexity, it has become apparent that cybersecurity must become a priority for government and the private sector alike in order to protect individual citizens and the nation as a whole. To help address this challenge, BJA is seeking a TTA provider to facilitate collaboration among national cybersecurity experts, technologists, and state information technology (IT) executives to improve state government prevention and response to a variety of cyber threats. State government has never been more digital than it is today, with investments moving forward in data systems (especially cloud services), integration, and information sharing. This movement toward online government services is a boon to citizens, but can also introduce vulnerabilities for cyber criminals. Investments in IT must carefully examine the security considerations necessary to protect government services, and identify the steps which must be taken to secure these systems against threats both internal and external.

The successful applicant will propose a TTA strategy that will engage state Chief Information Officers (CIOs), Chief Security Officers (CSOs), their staff, and other IT executives at the state and local levels in order to identify and address the greatest needs concerning cybersecurity within their communities. This strategy should include a holistic view of the problem that starts with planning, focuses on investments in security and prevention, and speaks to tactical needs with respect to dealing with security breaches in progress or after the fact. The applicant should also propose methods of collaboration that will enable peers to communicate regarding best practices, sharing policies/procedures and software, and identification of common threats to improve governmental responses to known attackers.

The TTA strategy should consider information dissemination methods such as technical assistance engagements, trainings, documentation of best practices, delivery of webinars and/or focus groups, creation of issue briefs or development guides, and participation in conferences or other events. Ultimately, the TTA provider's role is to enable states to manage their data (and the systems that house it) as a strategic asset to strengthen cybersecurity, identify and investigate cybercrime, and improve secure data sharing across the criminal justice system. Partnerships with criminal justice stakeholders, such as cybercrime investigators and task forces, is strongly encouraged. All solutions must follow DOJ Global guidelines, including compliance with the [Global Standards Package \(GSP\)](#).

Responsibilities and deliverables, at a minimum, include:

- Establishing a comprehensive cybersecurity TTA program targeting chief executives in state IT agencies and their staff.
- Working with states to implement Cybersecurity Disruption Response Plans that detail protocols, tools, roles, and responsibilities in the immediate aftermath of a suspected cyber incident, with a corresponding CIO checklist.

- Developing and implementing state guidelines across the country in the effective use of cyber threat analytics, working in collaboration with BJA and its cyber partners, DOJ's Global, government cybersecurity experts, and private industry.

**CATEGORY 2: IMPLEMENTING PRIVACY AND CIVIL LIBERTIES PROTECTIONS FOR INFORMATION SHARING PRACTITIONERS. Grant maximum: \$1,250,000. Project period: 12 months. Competition ID: BJA-2015-4206**

Improving information sharing and safeguarding capabilities is vital to the security of the United States. The proper management of information flow allows federal, state, local, and tribal entities to work together, in conjunction with the designated fusion centers and private sector entities, to protect our nation from terrorism. Yet, unless properly managed, these efforts have the potential to infringe on the privacy, civil rights, and civil liberties of Americans. Success of these information sharing initiatives depends on preserving these qualities as a critical foundation of any information sharing partnership.

Section 1016(d) of the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA), as amended, established the dual mandate of sharing terrorism-related information and, in consultation with the Privacy and Civil Liberties Oversight Board, of protecting privacy, civil rights, and civil liberties (P/CRCL) in the development and use of the ISE. The Program Manager for the Information Sharing Environment (PM-ISE), in consultation with the Information Sharing and Access Interagency Policy Committee (ISA IPC), has the statutory duty under IRTPA to plan for and oversee the implementation and management of the ISE, which is accomplished through ISE mission partners. To date, the PM-ISE has ensured that ISE mission partners have the tools and resources necessary to enable their efforts to fulfill the dual mandates established under IRTPA.

In December 2005, a Presidential Directive required that the information privacy and other legal rights of Americans be protected in the development and use of the ISE and instructed the development of further guidelines to address the acquisition, use, and storage of personally identifiable information (PII) in the ISE. To meet these mandates, the Guidelines to Ensure That the Information Privacy and Other Legal Rights of Americans Are Protected in the Development and Use of the Information Sharing Environment ([ISE Privacy Guidelines](#)) were released by the PM-ISE in December 2006 and are being implemented by federal, state, local, and tribal agencies and private sector entities participating in the ISE.

The 2007 National Strategy for Information Sharing (NSIS) further built upon this Presidential Directive by requiring coordinated information sharing among and between federal, state, local, tribal, territorial, international, and private sector partners, while protecting the privacy and other legal rights of Americans, and by integrating the ISE with counterterrorism and national security. This strategy was enhanced by the [2012 National Strategy for Information Sharing and Safeguarding \(NSISS\)](#).

The successful applicant will demonstrate the ability to support the ISE and related initiatives in the full implementation of the ISE Privacy Guidelines. The applicant will be responsible for providing expert advice and substantive input on the entire array of P/CRCL requirements for PM-ISE as defined by IRTPA and other relevant authorities; supporting the Privacy and Civil Liberties subcommittee of the ISA IPC to implement the NSISS and other related ISE initiatives; establishing and sharing best practices for privacy policy adoption at the federal, state, and local

levels of government and the private sector; and implementing tools to standardize and streamline ISE agency compliance monitoring.

The successful applicant must demonstrate subject matter expertise in both development and practical execution of privacy policies. The applicant must also demonstrate the capacity to provide research, and support for development and implementation of P/CRCL-related national policy. Expected areas of programmatic support include, but are not limited to, preparation and logistical needs for staffing meetings, strategic planning focus groups, trainings, and technical assistance engagements that support the shared mission of PM-ISE and BJA. Engagements will be planned as far in advance as practical; however, the applicant should expect that many activities will be performed at the request of PM-ISE and/or BJA, and therefore should propose a flexible TTA provisioning structure that can easily accommodate the rapidly changing needs of the field. Legal analysis and conclusions are reserved to the appropriate federal agencies.

Responsibilities and deliverables, at a minimum, include:

- Establishing and operating a comprehensive TTA program to provide expert advice to advance P/CRCL requirements; support the P/CRCL subcommittee of the Information Sharing and Access Interagency Policy Committee (ISA IPC); enable state, local, federal, and private sector implementation of privacy policies; respond to request for assistance from ISE stakeholders; and implement tools to support ISE compliance with such policies and guidelines.
- Coordinating mission critical processes that support development and implementation of ISE P/CRCL initiatives, including developing reports, conducting outreach and communication, reviewing content, and providing expertise to ISE staff and stakeholders.
- Maintaining and disseminating ISE Privacy Guidelines and assist with compliance monitoring activities by supporting the P/CRCL subcommittee, conducting reviews of information sharing agreements, and implement/monitor the Compliance Review Self-Assessment tool to streamline agency adoption.
- Providing P/CRCL expertise to inform updates and enhancements to ISE Core Awareness Training, developing an ISE P/CRCL core curriculum, and inventory analysis of relevant available training resources.
- Educating state and local agencies, as well as the private sector, about ISE Privacy Guidelines and established best practices. This support may include supporting outreach, training events, meeting hosting/facilitation, website content creation, and other activities required to enable non-federal involvement in P/CRCL initiatives.
- Coordinating all TTA service engagements with PM-ISE and BJA, and serving as a direct responder to inquiries for information and requests for assistance from federal, state, local, and tribal government agencies and private sector entities in support of P/CRCL implementation.

**CATEGORY 3: REGIONAL INFORMATION SHARING SYSTEMS (RISS) SUPPORT. Grant maximum: \$4,071,000. Project period: 12 months. Competition ID: BJA-2015-4292**



The RISS Technology Support Center (RTSC) provides the technology support backbone to the six RISS Centers. Operational responsibilities include 24/7 hosting and maintenance of the RISSNet infrastructure, including database administration, application deployment, and system monitoring. In addition to the RTSC, the RISS Centers also require policy support to include research, policy, evaluation, program analysis, and other administrative functions. RISS provides critical services to federal, state, local, tribal, and territorial public safety agencies to include investigative support and criminal intelligence information sharing (per 28 CFR Part 23). This is a federally funded program that is regionally managed through the six RISS Centers. These services include, but are not limited to, the development and dissemination of information sharing tools, training, investigative support, and case preparation.

BJA is seeking applicants to provide both technical and policy support to the RISS Program. The successful applicant will be able to perform a wide range of duties that are directly responsive to the needs of the RISS Program and its stakeholders. These duties include coordination of certain activities related to RISS Policy Board Group meetings, its subcommittees, and the RISS Directors Association (RDA). RISS Policy Board Group meeting responsibilities include development of agendas, policy research and recommendations, and outreach deliverables.

Applicants must be able to demonstrate the capacity to support the complete RISS mission and the services provided, fulfill the grant reporting requirements for BJA, and have the capability to develop comprehensive reports by aggregating information from the six RISS Centers.

The successful applicant must have the technical knowledge, skills, and experience to manage current RISSNet operations and connections, implement required enhancements as needed for the RISSNet secure infrastructure, and facilitate expansion of the variety of data sources currently provided over the network (e.g., RISSafe, RISSGang, RISSIntel, etc.). The applicant's skill set must also include knowledge on how to maintain and enhance technical services specifically involving identity management, encrypted virtual private network (VPN) connections, secure e-mail systems, and leveraging the Global Standards Package (GSP), which includes the National Information Exchange Model (NIEM). An overview of RISS, RISSNet, and the services provided is available at [www.riss.net/Default/Overview](http://www.riss.net/Default/Overview).

Applicants must be familiar with event deconfliction and the three existing deconfliction systems: RISSSafe, which is operated by RISS and used by RISS member law enforcement agencies, including some High Intensity Drug Trafficking Areas (HIDTA), fusion centers, and other entities; Case Explorer, which is operated by the Washington/Baltimore HIDTA and used by other HIDTAs and law enforcement agencies around the country; and SAFETNET, which is also used by some HIDTAs throughout the country. Event deconfliction is the process of determining whether multiple law enforcement entities are conducting an enforcement action in close proximity to one another during a specified time period. When certain elements are matched, it is referred to as a positive hit or conflict. The process includes timely notification of each involved agency's personnel of the identified conflict. The three deconfliction systems have different users and stakeholders, but must be able to interconnect using a NIEM-conformant specification. The systems are not duplicative but rather work together to help ensure nationwide event deconfliction coverage. Applicants will be expected to assist in the development of an outreach component to educate agencies and officers about event deconfliction, its ease of use and availability, and its importance in their operations.

Responsibilities and deliverables, at a minimum, include:

- Conducting reviews, policy evaluation, and program analysis to inform RISS operational functions, improve RISS levels of service to the field, and provide a basis for strategic planning of future capabilities.
- Facilitating collaborative efforts with RISS partner organizations to support national and regional meetings and events to include scheduling and coordination of the RISS Directors Meetings.
- Coordinating and facilitating RISS Policy Board Group and other working group meetings, committee meetings, and project meetings as directed by the RISS Directors and BJA to include assisting with agenda development, identifying meeting locations, sending meeting invitations, and other meeting management responsibilities.
- Developing RISS national reports and submitting aggregated RISS Center statistics as required by the performance measures set forth by BJA in the RISS Center grant awards.
- Planning and collaborating with RISS Center Directors to support national and regional meetings and events to include scheduling, identifying meeting locations, sending invitations to attendee, and meeting management. This would include RISS National Policy Board and information technology meetings with the RISS Directors, technical staff, partners, and other representatives.
- Developing deliverables and publications for the RISS Program, RISS data sources, and working groups when specifically identified by RISS or BJA or where RISS is a partner in the project. This would include, but not be limited to, print and electronic materials, document printing and distribution, CDs/DVDs, online seminars (webinars), and other tools. This would also include the continued management of the public RISS web site and other online materials.
- Maintaining, at a minimum, all online content pertaining to the RISS National Policy Board, RISS national initiatives, and other RISS-related materials and reports.
- Developing and disseminating outreach materials as directed by the RISS Directors and BJA to RISS Centers and national groups upon request. These materials shall be informative about the RISS Program and/or a specific RISS project (e.g., RISSafe, RISSGang, etc.).
- Serving as the fiscal agent on behalf of the RISS Policy Board for RISS Technology with responsibility for payroll, health benefits, pension, travel for RTSC staff, purchase of hardware/software or other technology services, signature of lease agreements for RISS facilities, and provision of legal services.
- Operating, maintaining, and upgrading RISSNET; supporting member connectivity and access; maintaining and enhancing the functionality, resources, and capabilities of the RISS portal and infrastructure; and other services as needed to further enhance RISS applications as directed by the RDA members and the RDA Chair.

- Collaborating with partners to coordinate national programs where RISS is a partner or participant to include the secure sharing of information with other secure but unclassified (SBU) systems. This would also include connecting additional intelligence data sources to the existing RISS nationwide federated intelligence search tool.
- Developing a web-based online registration process (OLR) for the purposes of creating a law enforcement Identity as a Service (IDaaS) to support law enforcement vetting options, creating electronic workflows that aid in the vetting process, and creating the capability to create accounts from the initial registration site, post-vetting process.
- Developing an event deconfliction multimedia (video) outreach training piece that will be distributed and posted to various locations and sites, can be leveraged for roll call purposes, and will be used for training and other educational opportunities. It is anticipated that this video will be 4-5 minutes in length and will incorporate professional voice-over services, a combination of photos and live video, interviews with officers/users, and other elements.

## **B. Federal Award Information**

BJA estimates that under Category 1 it will make one award of up to \$200,000 for a 12-month project period; for Category 2 one award of up to \$1,250,000 for a 12-month project period; and for Category 3 one award of up to \$4,071,000 for a 12-month project period. The project period for all awards should begin on September 1, 2015. Each application must clearly identify the funding category being addressed, and a single application may not seek to address multiple categories. Applicants are free to submit applications for each category separately.

Due to the high profile nature of the work and national scope focus, grantees may be asked to participate in TTA coordination efforts including BJA's Justice Information Sharing Training and Technical Assistance Committee (JTAC) and/or [National Training and Technical Assistance Center \(NTTAC\)](#). NTTAC also serves as the coordinator for the TTA reporting portal, which assists BJA in performance measurement of TTA initiatives.

Applicants should note that one or more awards made from this solicitation may contain funding contributed by Inter-Agency Agreement (IAA) from other federal agency sources. As such, there may be requirements with respect to progress reporting and task approval that are in addition to BJA's own requirements. Such stipulations will be communicated to the grantee shortly after awards are announced.

BJA may, in certain cases, provide supplemental funding in future years to awards under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

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

## **Type of Award<sup>2</sup>**

BJA expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if BJA expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

## **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).

(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.

---

<sup>2</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)).

### **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% 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>3</sup> The 2015 salary table for SES employees is available at the Office of Personnel Management [website](#). 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.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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 <http://www.ojp.gov/funding/confcost.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.

---

<sup>3</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.

### **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 [OJP's Funding Resource Center](#).

## **C. Eligibility Information**

For additional eligibility information, see title page.

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

For organizational eligibility restrictions, please see Title page.

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: Program Narrative, Budget Detail Worksheet, and Budget Narrative. 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 **is** subject to [Executive Order 12372](#). Applicants may find the names and addresses of their state's Single Point of Contact (SPOC) at the following website: [www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/). Applicants whose state appears on the SPOC list must contact their state's SPOC to find out about, and comply with, the state's process under Executive Order 12372. In completing the SF-424, applicants whose state appears on the SPOC list are to make the appropriate selection in response to question 19 once the applicant has complied with their state's E.O. 12372 process. (Applicants whose state does not appear on the SPOC list are to make the appropriate selection in response to question 19 to indicate that the "Program is subject to E.O. 12372 but has not been selected by the State for review.")

## 2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be—

- Written for a general public audience
- Submitted as a separate attachment with "Project Abstract" as part of its file name
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

**Permission to Share Project Abstract with the Public:** It is unlikely that BJA will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

## 3. Program Narrative

The Program Narrative must respond to the solicitation (see JIS TTA Program-Specific Information) and the Selection Criteria (described below) in the order given. The Program Narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 10 pages. Number pages “1 of 10,” “2 of 10,” 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. Recipients will be required to submit performance metric data quarterly through BJA’s online Training and Technical Assistance Reporting Portal located at [www.bjatraininq.org](http://www.bjatraininq.org). To assist applicants in developing their plans for collecting and reporting performance measurement data that will meaningfully evaluate progress, the following measures are the core performance measures for the Justice Information Sharing Training and Technical Assistance (JIS TTA) Program.

Objective	Catalog ID	Performance Measures	Data Grantee Provides
Improve the quality and effectiveness of criminal justice practices by expanding the use of information sharing to improve decision making at multiple levels of government	458	Number of trainings conducted	For the current reporting period:
	228	Number of participants who attend the training	Number of trainings (by type):
	239	Percentage of participants who successfully completed the training	<ul style="list-style-type: none"> <li>• In-person</li> <li>• Web-based</li> <li>• CD/DVD</li> <li>• Peer-to-peer</li> <li>• Workshop</li> </ul>
	235	Percentage of participants who rated the training as satisfactory or better	Number of individuals who:
	215	Percentage of participants trained and subsequently demonstrated performance improvement	<ul style="list-style-type: none"> <li>• Attended the training (in-person) or started the training (web- based)</li> <li>• Completed the training</li> <li>• Completed an evaluation at the conclusion of the training</li> <li>• Completed an evaluation and rated the training as satisfactory or better</li> <li>• Completed the post-test with an improved score over their pre-test</li> </ul>
	237	Percentage of scholarship recipients surveyed who reported that the training provided information that could be utilized in their job.	
		Number of curricula developed	



	144 520 521	Number of curricula that were pilot tested  Percentage of curricula that were revised after pilot testing	For the current reporting period, number of individuals who: <ul style="list-style-type: none"> <li>• Received a scholarship</li> <li>• Completed the training</li> <li>• Completed a survey at the conclusion of the training</li> <li>• Reported the training provided information that could be utilized in their job</li> </ul> Number of training curricula: <ul style="list-style-type: none"> <li>• Developed</li> <li>• Pilot tested</li> <li>• Revised after being pilot tested</li> </ul>
	12 11	Percentage of requesting agencies who rated services as satisfactory or better  Percentage of requesting agencies that were planning to implement one or more recommendations	For the current reporting period: <ul style="list-style-type: none"> <li>• Number of onsite visits completed</li> <li>• Number of reports submitted to requesting agencies after onsite visits</li> <li>• Number of requesting agencies who completed an evaluation of services</li> <li>• Number of agencies who rated the services a satisfactory or better <ul style="list-style-type: none"> <li>○ in terms of timeliness</li> <li>○ quality</li> </ul> </li> <li>• Number of follow-ups with requesting agencies completed 6 months after onsite visit</li> <li>• Number of agencies that were planning to implement at least one or more recommendations 6 months after the onsite visit</li> </ul>
	247 246 526	Percentage of peer visitors who reported that the visit to the other agency was useful in providing information on policies or practices  Percentage of peer visitors that were planning to implement one or more policies or practices 6 months after they were observed at the visited site  Percentage of requesting agencies of other onsite services who rated the services provided as satisfactory or better	<ul style="list-style-type: none"> <li>• Number of peer-to-peer visits completed</li> <li>• Number of peer visitors who completed an evaluation</li> <li>• Number of peer visitors who reported that the visit was useful in providing information on policies or practices</li> <li>• Number of follow-ups with the requesting peer visitor completed 6 months after the peer-to-peer visit</li> <li>• Number of peer visitors who were planning to implement at least one or more recommendations 6 months after the onsite visit</li> </ul>

			<ul style="list-style-type: none"> <li>• Number of other onsite services provided</li> <li>• Number of requesting agencies who completed an evaluation of other onsite services</li> <li>• Number of agencies who rated the services a satisfactory or better</li> </ul>
Increase information provided to BJA and the criminal justice community	147	Number of conferences or advisory/focus groups held	For the current reporting period: <ul style="list-style-type: none"> <li>• Number of conferences or advisory/focus groups held</li> <li>• Number of conference or advisory/focus group attendees who completed an evaluation</li> <li>• Number of conference or advisory/focus group attendees who rated the advisory/focus group as satisfactory or better</li> <li>• Number of publications/resources developed</li> <li>• Number of publications/resources disseminated <ul style="list-style-type: none"> <li>○ Number of web sites developed.</li> <li>○ Number of web sites maintained.</li> </ul> </li> </ul>
	493	Percentage of advisory/focus groups evaluated as satisfactory or better.	
	144	Number of publications developed	
	145	Number of publications disseminated	
	492	Number of web sites developed	

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.

**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 [OJP's Funding Resource Center](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page ([www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm](http://www.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. The Budget Detail Worksheet should be broken down by year.

Applicants should also budget travel/lodging expenses for visits to the Washington, DC area to meet with federal officials and/or take part in BJA-sponsored grantee meetings as directed.

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.

##### **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 <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.

Applicants unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, BJA will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

**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
- 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. Project Timeline**

Applicants should attach a project timeline with each project goal, related objective, activity, expected completion date, and responsible person or organization.

**b. Position Descriptions/Resumes**

Applicants should attach position descriptions for key positions and resumes for current staff.

**c. 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

<b>Federal or State Funding Agency</b>	<b>Solicitation Name/Project Name</b>	<b>Name/Phone/Email for Point of Contact at Funding Agency</b>
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.”).

**d. 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 C.F.R .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/web/grants/register.html](http://www.grants.gov/web/grants/register.html).
- 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 numbers for this solicitation are CFDA #16.752, titled "Economic High-Tech and Cyber Crime Prevention," and 16.610, titled "Regional Information Sharing Systems," and the funding opportunity number is BJA-2015-4204.
- 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](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicant must email the BJA contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** and request approval to submit their application. The email 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 website
- 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 <http://ojp.gov/funding/index.htm>.

## **E. Application Review Information**

### **Selection Criteria**

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

Describe the specific crime/criminal justice problem the applicant seeks to address through this program category. Describe the process used to assess or determine the nature of the crime/criminal justice problem. Include data and information that has been used to identify and assess the problem, and that demonstrates that the applicant understands the nature and dimension of the problem.

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

- a) Describe the proposed TTA approach to address the identified problem and how positive outcomes will be evaluated.
- b) Explain the criminal justice context in which the problem exists, and how the applicant is suited to be able to address the problem within the context of the grant program.
- c) Describe the current level of readiness to implement the proposed solution. Identify any issues or challenges related to implementation readiness, and explain how these will be addressed through this project.
- d) Explain how identified evidence-based practices (or those practices requiring further study) will be identified and explored in partnership with BJA and other federal partners to encourage broader adoption of proven strategies.
- e) Identify additional resources necessary for successful project completion, such as outside organizational partners, state/local practitioner groups, etc.

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

Fully describe the capabilities present to implement the project successfully and the competencies of the staff assigned to the project. In addition, applicants should demonstrate sound knowledge of the GSP and describe any current or previous experiences using the GSP to enhance information sharing.

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

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 evaluate the impact of the program. Describe the process to accurately report implementation findings and, specifically, the impact of the solution on criminal justice operational practices. Applicants should identify and describe both outputs and outcomes they anticipate as a result of their proposed implementation strategy, and a process for measuring these.

**5. Budget (15 percent)**

Provide a proposed budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should detail how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>4</sup> In the narrative, applicants must fully explain why the proposed expenditures are necessary to support implementation of the technical solution described in the Program Narrative.

---

<sup>4</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.

Applicants should also budget travel/lodging expenses for visits to the Washington, DC area to meet with federal officials and/or take part in BJA-sponsored grantee meetings as directed.

### **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
- 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 assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. 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, 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 [OJP's 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's 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>5</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

---

<sup>5</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)).

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 [OJP's Funding Resource Center](#).

As stated above, BJA anticipates that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJA.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on conference approval, planning, and reporting.

#### **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 C.F.R. Part 200. TTA program recipients are also required to submit quarterly performance metric data through BJA’s online Training and Technical Assistance Reporting Portal located at [www.bjatrain.org](http://www.bjatrain.org). Future awards and fund drawdowns may be withheld if reports are delinquent.

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 [title page](#).

For additional contact information for Grants.gov, see [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 email 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 email 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 email your resume to [ojpeerreview@lmbps.com](mailto:ojpeerreview@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 2015 Justice Information Sharing Training and Technical Assistance (JIS TTA)**  
**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 25)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 25)

*To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 25)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 25)

*To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 25)

\_\_\_\_\_ Select the correct Competition ID (see page 25)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 25)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 24)

\_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

\_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm](http://ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm) (see page 13)

*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 26)

*If No Grants.gov Receipt, and Validation or Error Notifications are Received:*

\_\_\_\_\_ contact BJA regarding experiencing technical difficulties (see page 26)

**General Requirements:**

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

**Scope Requirement:**

\_\_\_\_\_ The application requests a funding amount and a period of performance equal to or less than what is described under the relevant category description (and that category is clearly identified)

**Eligibility Requirement:** see title page

**What an Application Should Include:**

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 14)

\_\_\_\_\_ Project Abstract (see page 15)

\_\_\_\_\_ \*Program Narrative (see page 15)

\_\_\_\_\_ \*Budget Detail Worksheet (see page 19)

\_\_\_\_\_ \*Budget Narrative (see page 19)



- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 20)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 20)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 20)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Project Timeline (see page 21)
  - \_\_\_\_\_ Position Description/Resumes (see page 21)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 21)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 22)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (if applicable) (see page 23)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 24)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 13)

\* 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.