

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for the implementation of innovative and replicable projects that combat precipitous increases in crime. 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.

## **Technology Innovation for Public Safety (TIPS): Addressing Precipitous Increases in Crime FY 2016 Competitive Grant Announcement**

**Applications Due: April 20, 2016**

### **Eligibility**

There are two categories under this solicitation: (1) innovative technology implementation to address precipitous increases in crime and (2) training and technical assistance to assist grantees in project implementation and collection of data to assist BJA in identifying promising practices. Eligible applicants, for Category 1, are limited to public agencies of state governments, units of local government, and federally recognized Indian tribal governments that perform law enforcement functions (as determined by the Secretary of the Interior) (or government agencies acting as fiscal agents for one of the previously listed eligible applicants); and, for Category 2, national and regional public and private entities, including for-profit (commercial) and nonprofit organizations (including tribal nonprofit or for-profit organizations), faith-based and community organizations, and institutions of higher education (including tribal institutions of higher education) that support initiatives to improve the functioning of the criminal justice system. For-profit organizations must agree to forgo any profit or management fee.

**To be eligible for funding in category 1, applicants must propose solutions that will be deployed to jurisdictions that are currently experiencing precipitous or extraordinary increases in crime, in accordance with 42 U.S.C. § 3756(b)(1) to assist them in addressing these increases.**

BJA welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). 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, a subrecipient may be part of multiple proposals. 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. The approval of the application or award does not automatically approve the sole sources over the threshold.

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

## Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 20, 2016.

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 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncirs.gov](mailto:grants@ncirs.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-2016-8994

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# **Technology Innovation for Public Safety (TIPS): Addressing Precipitous Increases in Crime (CFDA #16.738)**

## **A. Program Description**

### **Overview**

While many jurisdictions are making significant progress implementing justice information-sharing solutions to address critical gaps in coordinating crime prevention across organizations and jurisdictions, there remain significant challenges that inhibit the ability of the criminal justice system to respond to threats to public safety, especially when it comes to stemming violent crime and homicide. For this solicitation, justice information-sharing technology refers to any technology (hardware and/or software, hosted residentially or remotely) that plays a role in the collection, storage, sharing, and analysis of criminal justice data. Funding under this program is provided to assist state, local, territorial, and tribal jurisdictions in enhancing their information-sharing capacity through the use of innovative technological solutions such that they may more effectively address disproportional and precipitous increases in crime.

The goals of the funding program include:

1. Promoting information sharing and collaboration within and among criminal justice agencies that have a role in preventing and investigating crime.
2. Developing and enhancing policies and practices that leverage technology to promote improved decision making which results in crime reduction.
3. Supporting implementation of information-sharing solutions at the local, regional, state, tribal, and/or national levels that have a measureable positive impact on the crime trends identified by the applying jurisdiction.
4. Assisting agencies with implementation by providing a national training and technical assistance (TTA) provider to support program goals.

This program is funded under the Edward Byrne Memorial Justice Assistance Grant (JAG) Program. The JAG Program (42 U.S.C. § 3750 et seq.) is the primary provider of federal criminal justice funding to state, local, and tribal jurisdictions, and JAG funds support all components of the criminal justice system. The JAG Program authorization also provides that up to 5 percent of the funds available to carry out subpart 1 of Title I, Part E of the Omnibus Crime Control and Safe Streets Act of 1968 may be granted, among other reasons, for one or more of the purposes specified in 42 USC § 3751 upon a determination that it is necessary “to combat, address, or otherwise respond to precipitous or extraordinary increases in crime, or in a type or types of crime.” 42 U.S.C. § 3756(b)(1).

Additionally, this solicitation seeks applications for one national training and technical assistance (TTA) provider to build national capacity in support of project implementations, data collection, and sharing of promising practices.

### **Program-Specific Information for Category 1 (Competition ID: BJA-2016-9345): Innovative Technology Implementation to Address Precipitous Increases in Crime**

For Category 1, BJA estimates that it will make 5 awards of up to \$432,600 for an estimated total of \$2,163,000 for an 18-month project period, beginning on October 1, 2016. In order to be considered for an award under this category, applicants must clearly identify how the applied-for funding will directly address a precipitous or extraordinary increase in crime or in a type or types of crime in the applicant's own jurisdiction, or in the case of TTA service applicants, in the population(s) to be served by the services identified in the application. Applicants must:

- Identify a crime or type(s) of crime that have precipitously increased within the jurisdiction and that will be addressed by the proposed solution;
- Identify the period of time during which the relevant category of crime increased;
- Provide evidence substantiating the claimed increase. Examples of such evidence include statistics, research findings, or other objective evidence as appropriate;
- Prior to award consideration, BJA will verify the applicant meets this requirement based on the information provided in the application and other available crime statistics.

The TIPS program is designed to enable strategic information sharing across crime-fighting agencies to address specific local or regional crime problems. Often these efforts will require a multidisciplinary response, involving law enforcement, analysts/investigators, information technology staff, public safety/first responders, adjudications/courts, corrections, human services organizations, and other stakeholders. Applicants are encouraged to propose comprehensive plans that include coordination among multiple stakeholder agencies, shared investment and use of technology services, or regional planning as appropriate.

The following list includes several examples of concrete implementation targets that could address particular crime problems (such as violent crime, recidivism rates, cybercrimes, or increased drug trafficking) that would fall within scope of the TIPS solicitation (applicants are not limited to these areas):

- Criminal Justice System Improvements - Where precipitous or extraordinary increases in crime can have a substantial impact on the functioning of the criminal justice system responding to such increases, it is important to invest in data-sharing technology that improves efficiency and effectiveness of information systems. Collaboration among law enforcement, prosecutors, courts, and corrections can result in more effective crime control and identify system wide opportunities for improvement. Enhancing the capacity of criminal justice system partners to share and analyze information seamlessly across organizational and jurisdictional borders is critical in responding to emerging crime threats.
- Reducing Violent Crime - Implementation of information-sharing technology solutions that enable agencies to effectively identify, assess, and respond to specific violent crime challenges. Depending on community needs, this may include targeting gun violence, aggravated assault and robberies, domestic violence, witness intimidation, or addressing violent offender recidivism and rehabilitation. DOJ's Violence Reduction Network (VRN) can provide insights into the challenges being faced by some of the country's most at-risk communities: <https://www.bja.gov/Programs/VRN.html>. In addition, BJA's Smart Policing Initiative (SPI) promotes effective gun violence reduction strategies (among other topics): [www.smartpolicinginitiative.com/ta/spotlight/gun-violence-spotlight](http://www.smartpolicinginitiative.com/ta/spotlight/gun-violence-spotlight).
- Crime Analysis and Predictive Analytics - Even agencies that are able to share and collect information effectively often face challenges with understanding how to leverage that data for both tactical and strategic operations. Crime analysis is a critical tool that can help law

enforcement interpret and take action on information from a variety of sources to be more responsive to spikes in certain types of crime or crime within certain geographical areas. Predictive analytics, often employed by real-time crime centers, take this concept one step further by using the data to extrapolate future trends. The capacity for an agency to adequately analyze data is critical to take full advantage of investments in records management systems, data integration, and software analytical tools.

- Prescription Drug and Opioid Abuse - The abuse and diversion of prescription drugs, increase in heroin use, and consequent spike in opioid overdose rates are having a profound impact on the criminal justice system. Prescription Drug Monitoring Programs (PDMPs) and High-Intensity Drug Trafficking Areas (HIDTAs) are just two examples of existing programs seeking to address this issue in different ways. Agencies facing precipitous increases in drug-related crime may seek ways to advance their technology around data analytics and information sharing with PDMPs, HIDTAs, and other partners (such as drug courts) to deploy innovative tools and methods to make a real difference fighting an age-old problem. Proposals should be specific in how drug use has translated to increased crime in their communities, and how proposed strategies will directly mitigate related criminal justice challenges.
- The Economic, Cyber, High-Tech Crimes – Programs designed to enhance the capacity of state, local, territorial, and tribal criminal justice systems to prevent, investigate, and provide enforcement for economic, cyber, and high-tech crimes by implementing or enhancing programs. Emerging issues of interest to BJA include, but are not limited to, combating the commission of crimes using social networking websites, hand-held devices (e.g., cell phones, smart phones, etc.), proactive efforts to support infrastructure protection, and responsiveness should an intrusion occur. The successful applicant is expected to work with BJA's TTA provider and other partners. This relationship will provide real life examples to the TTA providers to develop and enhance digital evidence resources and make them available to help educate the High-Tech Crimes community. Applicants should address ethical and statutory requirements for collection of digital evidence, preparation of case materials for testimony, and proper format and evidence authenticated for introduction in court.
- Other Crime Problems and Strategies - As determined by the applicant. Each applicant will be asked to define its unique challenges, the impacts on local communities, and a comprehensive implementation plan for using justice information-sharing technology to reduce or mitigate the crime problem(s). BJA and its partners have identified some of the more common technology challenges being faced by criminal justice practitioners today with respect to information sharing. BJA encourages applicants to address one or more such topic areas in their applications, and set targeted goals for how to enable or improve these capabilities across organizations. Applicants should note that the goal of TIPS is not to support equipment purchases or police officer overtime, the goal is to support innovative applications of technology.
- Technology Integration - Connection of existing systems to share, reuse, and collaborate across agencies and systems. This could include data sharing enhancements to existing records management systems, case management systems, state or regional data sharing networks, analytical tools, and mobile technology platforms. Agencies may also seek to improve information flow between criminal justice system partners to improve completeness of records on offenders, warrants, cases, and incidents.

- Data Linking and Identity Management - When combining data sources or providing access to multiple data systems, a thoughtful approach is required. Access control rules must be considered and implemented to ensure appropriate access to sensitive information, and protocols for linking records across information silos is needed to ensure that records are complete and free from errors or duplication.
- Mobile Operation - To promote data sharing between officers and investigators in the field, enhancing mobile technologies to allow access to data and analytics remotely, particularly case management-based information, is crucial. Leveraging the force multiplier aspects of mobile data terminals by the integration of innovative applications involving mobile devices enable not only data access, but data entry as well. Better mobile tools result in more time in the field and more efficient personnel management. This is an example where equipment alone does not produce innovation: the convergence of technology and process is critical to innovation.
- National Repositories - Numerous resources exist at the regional and national levels that can assist with investigations that only require minor integration or modification to current practices. For example, the National Integrated Ballistic Information Network (NIBIN) and eTrace from the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) can provide assistance in matching data obtained from gun crime scenes to link weapons and suspects. Participation in the Federal Bureau of Investigation's (FBI) National Data Exchange (NDEx) or similar systems offers a nationwide incident-based database to compile tips, leads, and referrals to advance investigations.
- Social Network Analysis (SNA) - Social network analytics can provide valuable information for law enforcement investigators. SNA is the process of investigating social structures through the use of network and graph theories.<sup>1</sup> It characterizes networked structures in terms of nodes (individual actors, people, or things within the network) and the ties or edges (relationships or interactions) that connect them. Examples of social structures commonly visualized through social network analysis include social media networks, friendship and acquaintance networks, kinship, disease transmission, and sexual relationships.<sup>2</sup> Tools that perform social network analysis are steadily improving in sophistication and capability. They can serve law enforcement agencies by providing venues for greater collaboration within and outside their organizations and serve as a means of bringing insights and tips/leads from large and chaotic data sets. Social network analytics may not be limited to traditional tools available to the public, but include private forums designed to facilitate joint investigations, offer deconfliction services, or provide access to supplementary data resources such as pawn/salvage repositories to gain insights into linked criminal behavior within a jurisdiction.
- Expanding Analytical Capacity - Establishing or enhancing a crime analysis center (CAC), real-time crime center (RTCC), or fusion center (FC) can prove a valuable investment, particularly on a regional basis where such a center can offer critical insights based on a larger view of the data than is available within a single agency. Such centers are also uniquely situated to procure and use advanced technology tools such as geographic

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<sup>1</sup> Otte, Evelien; Rousseau, Ronald (2002). "Social network analysis: a powerful strategy, also for the information sciences." *Journal of Information Science* 28: 441–453.

<sup>2</sup> Pinheiro, Carlos A.R. (2011). *Social Network Analysis in Telecommunications*. John Wiley & Sons. p. 4. ISBN 978-1-118-01094-5.

information systems, facial recognition, and software analytics packages. In some cases they can also offer criminal intelligence functions by employing predictive analytic techniques.

- Emerging Technology Evaluation - BJA has established a Criminal Justice Technology Forecasting Group (CJTFG) to help identify areas where technology has the potential to outpace the criminal justice system's readiness to implement with appropriate care and established policy. For more information on the CJTFG, go to [https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=98](https://www.bja.gov/ProgramDetails.aspx?Program_ID=98).

### **Priority Considerations for Category 1**

BJA identifies priority considerations to guide peer-reviewers in developing scores during evaluation; additionally, BJA uses the priority considerations when making final funding considerations:

1. Evidence of precipitous increase in crime(s) as identified under [Eligibility](#).
2. Correlation between stated application goals and identified precipitous increase in crime(s).
3. Innovations that integrate technologies with enhanced processes and the promotion of data sharing and analytics between systems and partners.
4. Identified processes to measure impact of stated application goals.

### **Program-Specific Information for Category 2 (Competition ID: BJA-2016-9346):**

The primary goal of Category 2: Technology Innovation for Public Safety (TIPS) Addressing Precipitous Increases in Crime Training and Technical Assistance (TTA) Provider, is to provide a comprehensive array of TTA to assist grantees and working in collaboration with other key stakeholders in innovative technical implementations.

The successful applicant will demonstrate a well-rounded knowledge and understanding of the state, local, and federal criminal justice systems and the ability to direct the relevant partners in successfully delivering TTA to the broad spectrum of agencies impacted by new technologies, analytics, and information sharing.

The expected award will be no more than \$500,000, and will include the following two major purpose areas:

1. Direct Training and Technical Assistance; and
2. Support for Data Collection and Analysis to Help Identify and Advance Promising Practices, and Assessments of Grant-funded Programs.

### **DELIVERY OF TTA SERVICES**

- Serve as the prime technical assistance provider for TIPS grantees, providing technical assistance through remote and onsite assistance, peer-to-peer consultations, and online tools and resources.
- Provide training sessions and educational publications developed and conducted by relevant subject matter experts.
- Plan and execute one national meeting in the Washington, DC area.
- Develop and implement national solutions and standards and provide technology

- expertise to support program implementation in the field.
- Serve as a national resource for TIPS grantees and other stakeholders providing information and online access to resources such as:
  - sample operational materials/forms;
  - sample vendor Requests for Proposals (RFP);
  - procedures for data collection and storage;
  - manuals that describe the function and operations of TIPS components; and
  - information about state statutes, regulations, and guidelines.

## **IDENTIFICATION & ADVANCEMENT OF PROMISING PRACTICES**

- Play a leadership role, working with BJA, to support data collection and analysis to inform successful program implementation strategies and assessments.
- Provide and distribute analyses of research findings to the field.
- Prepare and distribute documents that highlight TIPS grantee promising practices and lessons learned.
- Target TTA services to TIPS grantees to increase the availability of research findings.
- Engage national experts regularly to help inform program content and set priorities for future direction on assessing TIPS effectiveness.
- Assist TIPS grantees in collecting and reporting on required BJA program performance measures.
- Conduct and report out on data analysis of grantees' performance measure data semi-annually.
- Support TIPS programs, as well as national and federal partners, by responding to requests for information and materials on an as-needed basis.
- Provide analysis and summaries of key information from states' statutes, regulations, and other programmatic functions regarding TIPS.

Given the national scope and expected number of implementation awards that will be made, BJA requires TTA applicants to demonstrate their ability to manage a program of this magnitude and complexity. BJA expects a team approach will be necessary and encourages applicants to engage subrecipients as subject-matter experts (SMEs) who are capable of fully meeting all program support requirements.

Priority consideration will be given to applicants that demonstrate a high degree of experience collaborating and building partnerships with other organizations that possess the skills and expertise in areas covered under this solicitation. Subrecipients might be selected for their expertise in a particular aspect of the project to ensure success in meeting BJA's expectations for this initiative. Applicants should include detailed documentation of subrecipients' expertise and their planned contribution to the project. Applicants are strongly encouraged to include letters of intent or signed memorandum of understanding with key project partners indicating their support for the proposal and commitment to carrying out the project's goals and objectives.

BJA is seeking a TTA provider with skills and experience in the following areas:

1. Providing proactive, comprehensive, and responsive technical assistance services.
2. Creating and executing technical assistance strategies that include, but are not limited to: developing publications; hosting meetings, teleconferences, and webinars; facilitating peer-to-peer consultations; performing onsite technical assistance; and supporting ongoing technical assistance by phone and e-mail.

3. Advancing the field by focusing on the assessment of law enforcement programs, identifying promising practices, and facilitating adoption of proven strategies.
4. Recruiting, maintaining, coordinating, and managing a cadre of SMEs to assist agencies with technical assistance needs; scheduling and organizing training venues; marketing trainings and recruiting participants; administering and overseeing training delivery; and formally partnering with other organizations when an agency or grantee's needs are best met with resources, expertise, or experience not present within the primary TTA provider team.
5. Implementing programs in a planned and phased approach that first achieves broad stakeholder and community engagement so collective input and agreements can be leveraged to address policy, training, and procurement related requirements.

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

Efficient and effective sharing of information between and among 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.

The funding available through this program represents BJA's commitment to support the implementation of justice information-sharing solutions at the state, local, territorial, and tribal levels in ways that result in significant cost and time savings, and enhance criminal justice policies and practices that promote public safety and reduce crime.

Successful applicants will demonstrate a clear need in the field (a problem statement supported, as appropriate, through data and information that have been collected and documented) and a readiness to address the problem. In addition, applicants must propose implementation of innovative solutions promoting "cross-boundary" justice information sharing (e.g., interstate information sharing; intrastate information sharing between localities and states, localities and counties, etc.; or information sharing across agencies and functional disciplines within the same jurisdiction).

Because the primary focus of this program is implementation, evidence of cross-agency collaboration and a high level of commitment from participating agencies and entities should be received and documented via memoranda of understanding or other appropriate mechanisms prior to pursuing funding under this solicitation. Such commitment should be described in the application narrative, and relevant documentation submitted as additional attachments within the application.

During the 18-month program period, selected applicants will receive oversight and guidance from BJA, and will be required to achieve the following goals, objectives, and deliverables, including but not limited to:

**Goal 1:** Identify solutions that target preventing, investigating, prosecuting, and responding to precipitous increases in crime.

**Objective 1:** Use innovative, cost-effective solutions that develop new resources or leverage existing resources to address the articulated need described in the application.

Objective 2: Expand, update, and improve resources that focus on preventing, investigating, and responding to address precipitous increases in crime.

Deliverable: Applicants will implement the proposed solution.

Goal 2: Adopt, partner, join or leverage existing providers and practices to enhance the applicants' ability to respond to crimes within their jurisdiction.

Objective: Improve communications and training strategies that educate their communities and build awareness among the general public about crime reduction strategies being implemented.

Deliverable: Applicants will collaborate with stakeholders and their communities to build awareness and help reduce crime.

For more information about and current research that focuses on these purpose areas and additional topics of national importance, applicants are encouraged to review:

- Information about OJP's Topics and its Strategic Plan: [www.ojp.usdoj.gov/about/strategicplan.htm](http://www.ojp.usdoj.gov/about/strategicplan.htm)
- National Institute of Justice website: [www.nij.gov](http://www.nij.gov)
- Crime Solutions website: [www.CrimeSolutions.gov](http://www.CrimeSolutions.gov)
- BJA's Strategic Plan, Fiscal Years 2013-2016: [www.bja.gov/About/BJAStrategicPlan.pdf](http://www.bja.gov/About/BJAStrategicPlan.pdf)

This program is designed to provide an important opportunity for BJA to support efforts that use innovative technology solutions to address serious crime problems. Applicants are, therefore, encouraged to consider the relevance of such technology in addressing the challenges they propose to address. Such applications must also clearly indicate that purpose, provide data which substantiates an increase in crime, and explain the solution to address the problem.

Applicants are also strongly encouraged to propose the development and implementation of technical solutions that can be replicated or reused by other agencies and organizations nationwide that are facing similar criminal justice challenges. This factor should be addressed in the application abstract.

### **Leveraging Global Justice Information Sharing Initiative (DOJ's Global) Tools**

It is BJA's expectation that the justice information-sharing solutions implemented under this program will leverage the components of the Global Standards Package (GSP), which includes the Global Reference Architecture, the National Information Exchange Model, 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, successful applicants must be willing to work with a BJA-designated national technical assistance provider to ensure the appropriate Global- or BJA-recommended justice information-sharing standards and tools are effectively applied in the solution used to address the stated business need(s).

Furthermore, it is BJA's expectation that the justice information-sharing solutions implemented under this program will be based on comprehensive privacy policies, where applicable. Privacy impact assessments and public discourse on the potential public impact of data collection activities are strongly encouraged to foster trust and acceptance by the public. At minimum,

applicants must address the privacy considerations of their proposal, and identify whether or not a privacy policy will be used to govern the use of collected or shared data to include compliance with 28 CFR Part 23 as appropriate. Those systems that BJA finds to be “criminal intelligence systems” under Part 23 will need to comply with the requirements of that part. For more information on privacy guidance available from BJA visit [www.bja.gov/publications.aspx](http://www.bja.gov/publications.aspx) and search for “privacy.”

### **Program Deliverables**

Program deliverables must include, at a minimum, the following:

- Successful implementation of an information-sharing solution at the state, local, regional, tribal, or national level that leverages the GSP and has a measurable positive impact on the crime trends cited as the problem(s) to be addressed; and
- Development of a BJA-branded report that documents the successful implementation process, as well as appropriate project outputs, outcomes, and performance measures, to support replication and adoption of the technical solution and related policies and practices to support other jurisdictions experiencing the same or similar challenges.

### **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.

In light of BJA’s and OJP’s focus on evidence-based and data-driven criminal justice strategies, successful applicants will be required to measure the impact of the solutions they implement on their criminal justice policies, procedures, and practices. Applicants must be prepared to share data regarding project outputs and outcomes to assist future initiatives designed to replicate best practices and innovative technology solutions nationwide.

## **B. Federal Award Information**

For Category 1: Innovative Technology Implementation to Address Precipitous Increases in Crime, BJA estimates that it will make 5 awards of up to \$432,600 for an estimated total of \$2,163,000 for an 18-month project period, estimated to begin on October 1, 2016.

For category 2: Training and Technical Assistance, BJA estimates that it will make 1 award for up to \$500,000 for an 18-month project period, estimated to begin on October 1, 2016.

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>3</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

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>4</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) 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 recipient's (and any subrecipient's) compliance with statutes, 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 recipient (or any subrecipient) considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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<sup>3</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]).

<sup>4</sup> For purposes of this solicitation (or program announcement), "pass-through entity" includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

In order to better understand administrative requirements and cost principles, 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 Matching Requirement

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

### Pre-Agreement Cost (also known as Pre-award Cost) Approvals

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

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

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>5</sup> The 2016 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

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<sup>5</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

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://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.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 conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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

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

For additional information, see the "Civil Rights Compliance" section under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For additional eligibility information, see [title page](#).

For additional information on cost sharing or matching requirements, 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 Bureau of Justice Assistance designated to be critical, will neither proceed to peer review

nor receive further consideration. Under this solicitation, Bureau of Justice Assistance 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,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés 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 the OJP 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).

### Category 1

**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.”)

### Category 2

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

## 2. Project Abstract

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 applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding 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 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 requirements (see TIPS 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 15 pages. The pages should be numbered in the following format: "1 of 15," "2 of 15," etc. If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

To demonstrate program progress and success, as well as 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. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Post award Category 2 recipient (TTA recipient) will be required to submit performance metric data monthly by email to BJA and quarterly through BJA's online Training and Technical Assistance Reporting Portal located at [www.bjatraining.org](http://www.bjatraining.org).

Performance measures for this solicitation for Category 1 and Category 2 are as follows:

## Performance Measures for Category 1

Objective	Category ID	Performance Measure(s)	Data Grantee Provides
Supporting implementation of information-sharing solutions at the local, regional, state, tribal, and/or national levels that have a measureable positive impact on the crime trends identified by the applying jurisdiction.	448	Percent decrease in the number of crimes that occurred in the target area	Baseline statistical data reflecting number of incidents of crime (by type) reported in the target area (Data collection follows the federal UCR guidelines; Part I and Part II crimes)  During the current reporting period, number of incidents of crime (by type) reported in the target area
	533	Number of new cases investigated	Number of new cases investigated
	643	Percentage of investigated cases referred for prosecution	Number of leads identified as a result of regional or multi-agency partnerships/collaboration  Of the cases investigated, the number referred for prosecution or to a prosecutor
	332	Percentage of referred cases prosecuted	Of the cases referred for prosecution, the number of cases prosecuted
Promoting information sharing and collaboration within and among criminal justice agencies that have a role in preventing and investigating crime.	322	Percent increase in the number of agencies/entities participating in the collaborative governance process	Number of agencies/entities participating in the collaborative governance process (baseline)  Number of agencies/entities participating in the collaborative governance process during the reporting period  Types of agencies/entities participating in the collaborative governance process
	32	Number of agencies/organizations who commit participation formally through a Memorandum of Understanding (MOU)	Number of new formal agreements/partnerships (e.g. MOUs) established with other agencies (courts, corrections agencies, police departments, health and human service agencies etc.)  Number of agencies/organizations that commit formally through a Memorandum of Understanding (MOU) and informally as a letter of commitment.
	573	Percent increase in the number of agencies/organizations receiving and sharing information within and among criminal justice agencies	Number of agencies/organizations receiving and sharing information within and among criminal justice agencies <u>prior to</u> the implementation of the technical solution  Number of agencies/organizations receiving and sharing information within and among criminal justice

			agencies due to the implementation of the technical solution
	32	Number of formal information data and information-sharing agreements with identified key organizations	Number of formal information data and information-sharing agreements with identified key organizations
	146	Percent increase in the number of governance meetings conducted among agencies	Number of governance meetings conducted within and among agencies during the prior reporting period  Number of governance meetings conducted within and among agencies during the current reporting period
	280	Number of new policy or procedure templates, guidelines, or publications developed, revised, and/or rescinded	Number of new policy or procedure templates, guidelines, or publications developed, revised, and/or rescinded during the reporting period
	321	Percent increase in the number of justice information-sharing programs that implement an evidence-based practice	Number of justice information-sharing programs implementing an evidence-based program or practice model during the prior reporting period (baseline)  Number of justice information-sharing programs implementing an evidence-based program or practice model during the current reporting period
To develop and enhance policies and practices that leverage technology to promote improved decision making which results in crime reduction.	569	Number of GSP components leveraged to support technical solution implementation	Number and type of GSP components leveraged to support technical solution implementation
	635	Number of personnel hired to implement the technology solution	Date of full implementation of Global-supported technical solution  Number of personnel (analysts) hired to process and analyze the data
	393	Number of personnel trained to process and analyze data	Number of IT personnel hired to develop and maintain the data collection/sharing technology
	454	Number of internal and/or external training conducted that were attended by staff	Number of personnel trained to process and analyze the data  Number of internal and/or external training attended by staff
	23	Percent increase in the number of automated criminal justice and related information exchanges (database traffic)	Number of automated criminal justice and related cross-boundary information

	571	<p>Percent increase in the number of data requests/inquiries that can be made as a result of implementing the technical solution</p>	<p>exchanges occurring (for example, database traffic) due to the implementation of the technical solution during the reporting period</p> <p>Number of data requests/inquiries that could be made prior to the implementation of the technical solution (baseline)</p> <p>Number of data requests/inquiries that can be made as a result of implementing the technical solution</p>
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## Performance Measures for Category 2

Objective	Category ID	Performance Measure(s)	Data Grantee Provides
Improve the knowledge and capacity of state, local, and tribal law enforcement on: identifying potentially deadly encounters before they occur and prevent them, or survive them; responding to active shooter events by training law enforcement throughout the nation; increasing the knowledge of the criminal justice community on law enforcement safety and wellness issues.	454 228 238 493 215 237 370 520 521	<p>Number of trainings conducted</p> <p>Number of participants who attend the training</p> <p>Percentage of participants who successfully completed the training</p> <p>Percentage of participants who rated the training as satisfactory or better</p> <p>Percentage of participants trained and subsequently demonstrated performance improvement</p> <p>Percentage of scholarship recipients surveyed who reported that the training provided information that could be utilized in their job.</p> <p>Number of curricula developed</p> <p>Number of curricula that were pilot tested</p> <p>Percentage of curricula that were revised after pilot testing</p>	<p>For the current reporting period: Number of trainings (by type):</p> <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> <p>Number of individuals who:</p> <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> <p>For the current reporting period, number of individuals who:</p> <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> <p>Number of training curricula:</p> <ul style="list-style-type: none"> <li>• Developed</li> <li>• Pilot tested</li> </ul>

			<ul style="list-style-type: none"> <li>Revised after being pilot tested</li> </ul>
Increase the criminal justice agency's ability to solve problems and/or modify policies or practices as a result of training and technical assistance interventions,	12	Percentage of agencies that rated services as satisfactory or better	<ul style="list-style-type: none"> <li>Number of other onsite services provided</li> <li>Number of requesting agencies who completed an evaluation of onsite services</li> <li>Number of requesting agencies who rated services as satisfactory or better in terms of</li> </ul>
	11	Percentage of agencies that implemented one or more recommendations	<ul style="list-style-type: none"> <li>Number of agencies receiving technical assistance</li> <li>Of those agencies, number that implemented one or more recommendations resulting from the technical assistance</li> </ul>
Increase information provided to BJA and the criminal justice community.	146  493  144  145  491  492  486  354	Number of conferences or advisory/focus groups held  Percentage of advisory/focus groups evaluated as satisfactory or better.  Number of publications developed  Number of publications disseminated  Number of websites developed  Percent of websites maintained.  Percent increase in the number of visits to websites  Percentage of information requests responded to	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</li> <li>Number of websites developed.</li> <li>Number of websites maintained.</li> <li>Number of visits to websites during the current reporting period</li> <li>Number of visits to websites during the previous reporting period</li> <li>Number of information requests received</li> <li>Number of information requests responded to</li> </ul>
Increase the knowledge of criminal justice practitioners through the development and/or revision of training curricula	370  520	Number of training curricula developed  Percentage of curricula that were pilot tested	Number of training curricula developed  Number of training curricula pilot tested

	521	Percentage of curricula that were revised after pilot testing	Number of training curricula revised after being pilot tested
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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.

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

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

A sample Budget Detail Worksheet can be found at <http://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. If the link does not open, try downloading the file and opening it with the system viewer.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at <http://ojp.gov/financialguide/DOJ/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 under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant is eligible to use and elects to use the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

Attach a copy of the current 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 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://ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>6</sup>

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

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

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

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

- The federal agency that currently designated the applicant as high risk

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<sup>6</sup> See 2 C.F.R. § 200.414(f).

- 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. Disclosing 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. 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 Budget Detail Worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

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

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

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

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

Applicants should include the table as a separate attachment to their application. The file should be named “Disclosure of Pending Applications.”

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 Budget Detail Worksheet in the application under this solicitation.”).

### **b. 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 subrecipients) 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 its staff, consultants, and/or subrecipients 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 subrecipients) 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 subrecipients 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 subrecipients 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 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 the Part 200 Uniform Requirements as set out at 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 primary source 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 Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please ensure all required documents are attached in the mandatory category.

**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 the OJP 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 organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov 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.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2, and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget (OMB) 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. SAM registration and renewal can take as long as 10 business days to complete.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **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 for organizations, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <https://apply07.grants.gov/apply/IndCPRegister>.
- 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. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.738, titled “Edward Byrne Memorial Justice Assistance Grant (JAG) Program,” and the funding opportunity number is BJA-2016-8994.

- 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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 20, 2016.

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 applicants must email the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The 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. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- 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 for Category 1: Field Implementations

1. Statement of the Problem (20%)
  - a. See section ["Program Specific Information for Category 1"](#)
  - b. Identify the specific crime/criminal justice problem to be addressed through this program. 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 (35%)
  - a. Describe the collaborative governance and project management processes that will be put into place to oversee the proposed project to address the identified problem, and the specific roles to be carried out by the governance group(s)/committee(s)/team(s).
  - b. Explain the proposed solution to be implemented that will address the identified problem, and enable information sharing between two or more independent systems/agencies/entities that play key roles in crime-fighting efforts. Include a summary of how the solution will leverage the Global Standards Package (GSP).
  - 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. Address whether and how the proposed solution to be implemented is relevant to other jurisdictions/agencies across the nation.
  - e. Identify the resources at the state/local/tribal level that will be used to support the proposed initiative.
3. Capabilities and Competencies (20%)
  - a. Fully describe the capabilities of the applying agency and its partners (if applicable) to implement the project successfully and the competencies of the project staff.
  - b. Demonstrate sound knowledge of the GSP and describe any current or previous experiences using the GSP to enhance information sharing.
  - c. Applicants are also encouraged to include (via attachment or by reference) information pertaining to relevant privacy policies, governance documents, contractual agreements, etc. that help establish implementation readiness. It is acceptable if no such documentation exists, but in that event applicants are strongly encouraged to include a plan for establishing strong project governance within the Project Design and Implementation section.
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)
  - a. Describe the process for measuring project performance.
  - b. 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.
  - c. Describe the process to accurately report implementation findings and, specifically, the impact of the solution on criminal justice operational practices.

- d. 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%)
- a. Provide a proposed budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget Narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>7</sup>
  - b. Applicants should identify general procurement target dates.
  - c. Applicants should identify procurement process risks such as required council or board approvals, sole source expectations or other potential issues that could delay project expectations.
  - d. Applicants should also budget travel/lodging expense for teams of individuals who share responsibility for the project management and implementation efforts to attend one 2 day meeting during the 18-month project period in the Washington, DC area.
6. Program Continuity (5%)
- a. Applicants should describe the steps take to secure the ongoing management and administration of the project after federal funds are depleted.

### **Selection Criteria for Category 2: Training and Technical Assistance Provider**

1. Statement of the Problem (20%)  
a. See section ["Program Specific Information for Category 2"](#)
2. Project Design and Implementation (35%)  
a. Describe methods that deliver services to facilitate the implementation of new technologies.  
b. Identify how existing implementations of similar technologies will be leveraged to maximize and ensure successful projects.  
c. Identify how technical assistance will leverage resources at the state/local/tribal level that will be used to support the proposed initiative.  
d. Describe the methodology for subject matter expertise to be identified to work with grantees on such a wide range of projects.  
e. Describe how training will be requested, developed, implemented, and tracked.  
f. Describe how project management principles will be leveraged to ensure project success.  
g. Fully describe the applicant's ability to implement national conferences and examples if available.  
h. Fully describe the applicant's ability to identify, develop, and disseminate best practices and lessons learned to promote, replicate, and leverage the awarded projects.
3. Capabilities and Competencies (20%)  
a. Fully describe the capabilities of the applying agency and its partners (if applicable) to implement the project successfully and the competencies of the project staff.  
b. Demonstrate sound knowledge of the GSP and describe any current or previous experiences using the GSP to enhance information sharing.  
c. Applicants are also encouraged to include (via attachment or by reference) information pertaining to relevant privacy policies, governance documents, contractual agreements, etc. that help establish implementation readiness. It is acceptable if no such

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<sup>7</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.

documentation exists, but in that event applicants are strongly encouraged to include a plan for establishing strong project governance within the Project Design and Implementation section.

4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)
  - a. Describe the process for measuring project performance.
  - b. 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.
  - c. Describe the process to accurately report implementation findings and, specifically, the impact of the solution on criminal justice operational practices.
  - d. 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 (20%)
  - a. Provide a proposed budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget Narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.

### **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 System for Award Management (SAM).

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 award recipients
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 sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

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

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

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms

in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>8</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP 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 the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

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<sup>8</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 [FFATA]).

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

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

For Federal Awarding Agency Contact(s), see title page.

For 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 résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your résumé. **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**

## Technology Innovation for Public Safety (TIPS)

### Addressing Precipitous Increases in Crime

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 28)
- Acquire or renew registration with SAM (see page 28)

##### *To Register with Grants.gov:*

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

##### *To Find Funding Opportunity:*

- Search for the Funding Opportunity on Grants.gov (see page 28)
- Select the correct Competition ID (see page 29)
- Download Funding Opportunity and Application Package (see page 29)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 27)
- 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/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 15)

##### *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 29)

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

- contact BJA regarding experiencing technical difficulties (see page 29)

#### **General Requirements:**

- Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.
- Ensure application meets precipitous increase in crime(s) eligibility requirement.

#### **Scope Requirement:**

- The federal amount requested is within the allowable limit(s) of \$432,600 for category 1 and \$500,000 for category 2.

**Eligibility Requirement:** For eligibility information, see [title page](#).

**What an Application Should Include:**

- Application for Federal Assistance (SF-424) (see page 16)
- Intergovernmental Review (see page 16)
- Project Abstract (see page 16)
- Program Narrative (see page 17)
- Budget Detail Worksheet (see page 22)
- Budget Narrative (see page 22)
- Indirect Cost Rate Agreement (if applicable) (see page 23)
- Tribal Authorizing Resolution (if applicable) (see page 23)
- Applicant Disclosure of High Risk Status (see page 23)
- Additional Attachments
  - Applicant Disclosure of Pending Applications (see page 24)
  - Research and Evaluation Independence and Integrity (see page 25)
- Financial Management and System of Internal Controls Questionnaire (see page 26)
- Disclosure of Lobbying Activities (SF-LLL) (see page 26)
- Employee Compensation Waiver request and justification (if applicable)  
(see page 14)