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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 funding to support strategic and innovative field-initiated programs. This program furthers the Department's mission by contributing to the development of strategic and innovative programs and strategies that will improve the criminal justice system; reduce crime, recidivism, and unnecessary confinement; and promote a safe and fair criminal justice system.

## Encouraging Innovation: Field-Initiated Programs FY 2013 Competitive Grant Announcement

### Eligibility

**Category 1:** Eligible applicants are limited to state and/or local public or private entities, including for-profit (commercial) and nonprofit organizations, faith-based and community organizations, institutions of higher education, federally-recognized Indian tribal governments (as determined by the Secretary of the Interior), and units of local and state government. For-profit organizations must agree to waive any profit or fees for services.

**Category 2:** Eligible applicants are limited to public or private entities, institutions of higher education, including national for-profit (commercial) and nonprofit organizations. For-profit organizations must agree to waive any profit or fees for services.

**This solicitation includes a two-step process:**

- 1. Concept Paper: Applicants must apply through [Grants.gov](#).**
- 2. Full Application: Selected applicants only, as outlined in this solicitation, will be invited via e-mail to provide a more detailed application through OJP's Grants Management System (GMS).**

**It is recommended that applicants ensure registration is complete and up to date for both [Grants.gov](#) and GMS.**

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

### Deadline

**For Step 1—Concept Paper Submission: [Grants.gov](#)**

Applicants must register with [Grants.gov](#) prior to submitting a concept paper. Concept papers are due by 11:59 p.m. eastern time on April 12, 2013. (See "Deadlines: Registration and Application (Concept Paper and Full Application)," page 4.)

## **For Step 2—Full Application Submission for Selected Applicants Only: GMS**

Applicants must register in [OJP's Grants Management System](#) (GMS) prior to submitting a full application for this funding opportunity. Select the "Apply Online" button associated with the solicitation title. (See "How To Apply," page 20.) All registrations and applications are due by 8:00 p.m. eastern time 30 days from the date applicants receive e-mail notification to submit full applications. (See "Deadlines: Registration and Application (Concept Paper and Full Application)," page 4.)

## **Contact Information**

- **Step 1—Concept Paper:** For technical assistance with submitting a concept paper, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to [support@grants.gov](mailto:support@grants.gov).

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

- **Step 2—Full Application:** For technical assistance with submitting a full application (invited applicants only), contact the Grants Management System Support Hotline at 888-549-9901, option 3 or via e-mail at [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov).

**Note:** The GMS support hotline hours of operation are Monday–Friday from 6:00 a.m. to midnight eastern time, except federal holidays.

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

Grants.gov number assigned to announcement: BJA-2013-3554

Release Date: March 14, 2013

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# Encouraging Innovation: Field-Initiated Programs (CFDA #s 16.751 and 16.738)

## Overview

Under this solicitation, BJA seeks to prevent and reduce crime and enhance the criminal justice system through collaboration with the field to identify, define, and respond to emerging or chronic crime problems and systemic issues. BJA is looking for proposed strategies to address these issues, including trying new approaches, addressing gaps in responses, building or translating research knowledge, or building capacity to address the issues. Applications under this program should not duplicate other BJA-funded programs.

BJA's Field-Initiated Programs solicitation provides opportunities to support a small number of local, state, tribal, and national projects that bring fresh perspectives and ideas to enhance practice and prevent crime in the field.

Applications are sought in two areas:

Category 1: Applications that propose to test a strategy at the state, local or tribal level, documenting implementation and developing tools to support national replication.

Category 2: Applications to develop targeted and national or regional strategies that will make an impact in addressing a critical need or gap in the field. Regional projects must show that they are a model that is specific to a regional need or could be implemented effectively regionally and replicated elsewhere.

In both categories, the applicants must propose innovative strategies or strategies that are aligned with the [BJA Strategic Plan](#) and are consistent with the goals of this solicitation.

Applications can address one or more areas of the criminal justice system:

- Crime prevention.
- Law enforcement.
- Prosecution, courts, and indigent defense.
- Corrections and reentry.
- Crime related to substance abuse and/or mental health.
- Efforts to enhance criminal justice system capacity building, such as strategic planning and analysis; research and evaluation; integration of research, evidence, or data in programs; information sharing and technology; and/or sustainability of programs and strategies.

This program is funded under both the Edward Byrne Memorial Competitive Grant Program (Byrne Competitive Program) and the Edward Byrne Memorial Justice Assistance Grant (JAG) Program (42 U.S.C. 3751(a)) set-aside provision for training and technical assistance. The Byrne Competitive Program helps local communities improve the capacity of state and local justice systems and provides for national support efforts including training and technical assistance programs strategically targeted to address local needs. Under the JAG Program, there is a 3 percent set-aside for training and technical assistance programs. Additionally, funds may be used from other existing appropriations to fund applications under this solicitation.

BJA-2013-3554

## **Deadlines: Registration and Application (Concept Paper and Full Application)**

### **For Step 1—Concept Paper Submission: Grants.gov**

Applicants must register with [Grants.gov](http://Grants.gov) in order to submit a concept paper. OJP encourages applicants to **register several weeks before** the application submission deadline. The deadline to submit concept papers under this announcement is 11:59 p.m. eastern time on April 12, 2013. See “How To Apply: Grants.gov” on page 10 for details.

### **For Step 2—Full Application Submission for Selected Applicants Only: GMS**

Applicants must register in [GMS](#) prior to submitting a full application for this funding opportunity. The deadline to register in GMS is 8:00 p.m. eastern time 30 days from the date applicants receive e-mail notification to submit full applications, and the deadline to apply for funding under this announcement is 8:00 p.m. eastern time 30 days from the date applicants receive e-mail notification to submit full applications. See “How to Apply: GMS” on page 20 for details.

### **Timeline**

- April 12, 2013: Deadline to submit concept papers in Grants.gov (30 days from solicitation posting date)
- May 11, 2013: Selected applicants will be notified via e-mail that their concept paper has been accepted by BJA, and will have 30 days from the date the e-mail is sent to submit full applications. Note: This notification date is an approximation and is dependent on the number of applications received.

## **Eligibility**

Refer to the title page for eligibility under this program.

## **Encouraging Innovation: Field-Initiated Programs—Specific Information**

As a national leader in criminal justice policy, BJA’s success is based upon its guiding principles, which include:

- Emphasizing local control.
- Building relationships in the field.
- Providing training and technical assistance in support of efforts to prevent crime, drug abuse, and violence at the national, state, and local levels.
- Developing collaborations and partnerships.
- Promoting capacity building through planning.
- Creating accountability for projects.
- Encouraging innovation.
- Communicating the value of justice efforts to decision makers at every level.

Since FY 2009, BJA has issued a solicitation that partners with the field to leverage existing ideas and expertise to address critical gaps in BJA programs and strategies.

BJA has funded a number of successful projects, including:

- The replication of a holistic public defender approach in the Bronx.
- A cost benefit knowledge bank for policymakers.
- Tools to integrate risk and needs research in community corrections planning.
- A Resource Center on Women Involved in the criminal justice system.

In FY 2013, BJA is adding two new aspects to the Field-Initiated Programs solicitation:

1. BJA released its Strategic Plan for Fiscal Years 2013-2016. The plan is based on one overarching guiding principle statement: to reduce crime, recidivism, and unnecessary confinement, and promote a safe and fair criminal justice system. Recognizing the need to be innovative, yet evidence-based and results-driven, BJA will focus on major strategic areas during this 5-year period. Both Category 1 and 2 applicants must propose a strategy that is in line with the goals and strategies outlined in the BJA Strategic Plan. To learn more about the specific goals and strategies that will guide the BJA's efforts in the future, read [BJA's Strategic Plan](#).
2. Recognizing significant interest in the field, but with limited resources to fund these projects, BJA is piloting a concept paper approach to reduce workload required to prepare a submission while also developing the most effective process to identify the proposals that best respond to the intention and purpose of this solicitation. Using a two-part concept paper and full application process, BJA seeks to reduce the time and resource burden to the field by only asking those applicants that are most likely to be considered for funding to prepare a full application for funding.

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

The purpose of the Field-Initiated Programs is to develop and implement strategic and/or innovative strategies that build or enhance the capacity of state, tribal, or local criminal justice systems to prevent and respond to emerging and/or chronic crime problems that affect many communities in the United States.

Specifically, BJA is first seeking concept paper proposals from eligible agencies and organizations to develop and implement strategic and/or innovative strategies that respond to at least one of the innovative and/or strategic elements below, which apply to both Category 1 and Category 2 applicants.

### **For a concept paper proposal to be considered “innovative,” it must:**

- Propose a strategy or response that has not been implemented previously yet is supported by research, data, or evidence and responds to one or more of the priorities of the BJA Strategic Plan; or
- Propose a new modification to an existing strategy or response that has not been implemented previously yet is supported by research, data, or evidence.

**For a concept paper proposal to be considered “strategic,” it must:**

- Propose a strategy or response that responds to one or more of the priorities identified in BJA’s Strategic Plan, is not currently being addressed by BJA, and is supported by research, data, or evidence; or
- Propose a new approach to delivering promising or evidence-based strategies or responses that has not been implemented previously and has the potential to reduce costs and increase efficiencies within an agency or system (including organizational developments and changes that may make the approach more effective or provide greater potential for sustainability of the approach in the long term).

**Category 1 Applicants (Competition ID: BJA-2013-3555):**

Projects funded will test a strategy in the field at the state, local, or tribal level and evaluate or assess the results of the project. As part of the test, the applicant must document implementation and develop tools to support replication, consistent with the overall goals of the solicitation.

BJA recommends that Category 1 applicants include a research partner that can assist with (a) problem assessment, (b) strategy development, (c) data collection and analysis; and (d) monitoring and evaluating performance. The research partner can be an independent consultant, or located in an academic institution, in a state Statistical Analysis Center (SAC), or in a research organization. The research partner should have demonstrated expertise conducting the type of work proposed. Tools and materials should be developed that document the program model and implementation, and provide training materials for criminal justice practitioners and policymakers, such as a training manual and/or curricula, program assessments/evaluations, policy-relevant documents, guidebooks, or toolkits.

**Category 2 Applicants (Competition ID: BJA-2013-3556):**

Projects funded will develop targeted and national or regional strategies that will make an impact in addressing a critical need or gap in the field, consistent with the overall goals of the solicitation. The strategy must document how it will be used to benefit the field by offering tools, products, or research or evaluation results that will facilitate implementation or replication. Regional projects must be designed as a model that is specific to a regional need, or could be implemented effectively regionally and replicated elsewhere. Tools and materials should be developed for use by other criminal justice practitioners and policymakers, including but not limited to, program manuals, program assessments/evaluations, training curricula, policy-relevant documents, guidebooks, and toolkits.

**Amount and Length of Awards**

Both Category 1 and 2 applicants may request up to \$400,000 in funding. Applicants are encouraged to be realistic in their budget proposals, as the amount budgeted will be evaluated against the local or national benefits identified to ensure efficient utilization of resources. Applications should be submitted for a project period of not less than 15 months and not exceeding 36 months. The project start date should be on or after October 1, 2013. Projects that are awarded and subsequently demonstrate strong performance may receive continuation funding in future fiscal years, depending on demonstrated need and availability of funding.

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

## Application Process

Applications for the FY 2013 Encouraging Innovation: Field-Initiated Programs solicitation will be processed through a **two-step process**:

- Step 1: Submission of a Concept Paper
- Step 2: Submission of a Full Application (invited applicants only)

Instructions on how to submit both a concept paper and a full application are outlined in the following sections. **Note: Step 2 will only be applicable to selected applicants who will receive a specific e-mail from BJA inviting them to submit a full application following systematic review of concept papers submitted during Step 1 of the selection process.**

## Step 1—Submission of a Concept Paper: What a Concept Paper Must Include

BJA's decision to request a concept paper recognizes limitations on available funding and the substantial time and effort necessary for agencies to submit full applications. Applicants should expect that failure to submit a concept paper that contains all of the specified requirements, outlined below, will negatively affect the review of the concept paper.

### Concept Paper Requirements

1. **Page limit:** The concept paper narrative must not exceed 4 pages and must incorporate all of the information listed below.
2. **Narrative:**
  - a. Agency information: contact name, and all key personnel (if not known, please provide position titles) assigned to the proposed project.
  - b. Specify which category the applicant is applying for (1 or 2).
  - c. Specify which program area(s) or discipline(s) is the primary focus for the application:
    - Crime prevention
    - Law enforcement
    - Courts
    - Corrections
    - Crime related to substance abuse and/or mental health
    - Strategic planning
    - Research/Evaluation
    - Use of Research, Evidence or Data
    - Information sharing and Technology



- d. Briefly describe the nature, scope, and extent of the emerging, chronic, and/or systematic challenge(s) the applicant proposes to address.
  - e. Provide summary data and evidence that support the urgency or importance of the crime issue and/or criminal justice topic to be addressed.
  - f. Provide a short description of the proposed strategy to address the problem or issue, including key activities and target audience and location.
  - g. Describe how the proposed project is innovative or strategic, consistent with the definition of innovative or strategic, as defined on pages 6-7.
3. **Budget:** Applicants must provide cost estimates for major budget categories (i.e., salaries, contracts, etc.). Review OJP's financial guide at:  
[www.ojp.gov/financialguide/PDFs/OCFO\\_2012FinancialGuide.pdf](http://www.ojp.gov/financialguide/PDFs/OCFO_2012FinancialGuide.pdf).

### Concept Paper Review and Selection Process

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

Concept papers will be reviewed by a working group composed of internal reviewers from BJA and other components within OJP with relevant BJA subject matter expertise. The working group will review concept papers based on the criteria described below and determine which applicants will be invited to submit a full application to the FY 2013 Encouraging Innovation: Field-Initiated Programs solicitation.

*Concept papers will be rated on the following project design features:*

1. Is the proposed project innovative and/or strategic per guidance provided in the solicitation?
2. Does the applicant propose a strategy that is aligned with the BJA Strategic Plan?
3. Does the applicant address a demonstrated gap in the functions and knowledge base of the justice system and/or address a need for which there currently are limited or no services?
4. Will the applicant's proposed project provide knowledge, tools, and materials that will be likely to have a significant impact, value, and/or benefit to criminal justice practitioners and policymakers?
5. Is the applicant building or translating research knowledge or building capacity to address emerging, chronic, and/or systematic criminal justice challenges and/or needs?

*All decisions relating to the application process, and specifically regarding invitations to submit full applications (Step 2), will be made by and within the sole discretion of BJA. All applicants will be notified of the outcome of the concept paper review process by May 11, 2013.*

## How To Apply: Grants.gov (Concept Papers ONLY)

Applicants must submit concept papers through Grants.gov. Applicants must first register with Grants.gov in order to submit an application through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note:** BJA 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 email updates will be notified.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or 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 to 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 replaces the **Central Contractor Registration (CCR) database** as 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. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records have already been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) numbers for this solicitation are 16.751, titled "Edward Byrne Memorial Competitive Grant Program," and 16.738, titled "Edward Byrne Memorial Justice Assistance Grant (JAG) Program," and the funding opportunity number is BJA-2013-3554.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
8. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether OJP has received and validated the application, or rejected it, with an explanation. **Important:** 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.

**Note: Grants.gov only permits the use of specific characters in names of attachment files. Valid file names may only include the following characters: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, and period. Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

### **Note: Duplicate Applications**

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

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the *BJA* contact identified in the Contact Information on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, OJP will reject the application as untimely.

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

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

## **Step 2—Submission of a Full Application (Selected Applicants Only)**

**Step 2 will only be applicable to selected applicants who will receive a specific e-mail from BJA inviting them to submit a full application following systematic review of concept papers submitted during Step 1 of the selection process. Applicants should only respond to Step 2 if they have been notified by BJA that their concept paper has been accepted.**

Following a systematic review of concept papers as outlined in Step 1, *BJA* will formally invite selected applicants, via e-mail, to submit a full application in response to this solicitation. Invitations to submit a full application will be sent to the official points of contact listed on the applicant's SF-424 form. Applications will be processed and reviewed following the standard OJP competitive review process.

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 access to or use of 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 application elements that *BJA* has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, *BJA* has designated the following application elements as critical: Program Narrative, and 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 document, it must contain **both** narrative and detail information.

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

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

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

### 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.
- Identify the category under which the application is being submitted
- Specify which program area or discipline is the primary focus for the application:
  - Crime prevention
  - Law enforcement
  - Courts
  - Corrections
  - Crime related to substance abuse and/or mental health
  - Strategic planning
  - Research/Evaluation
  - Use of Research, Evidence or Data
  - Information sharing and Technology
- Amount of federal funds requested and proposed project period.
- Goals and objectives for the project.
- Deliverables and Tools proposed.
- Name of the research partner for Category 1 applications
- 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 [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

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

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

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

### **3. Program Narrative**

The program narrative must respond to the solicitation and the Selection Criteria (1-5 the order given below). Emphasis must be placed on meeting the requirements of the solicitation as described in the Encouraging Innovation: Field-Initiated Programs—Specific Information section.

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. Number pages "1 of 15," "2 of 15," etc.

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

The following sections should be included as part of the program narrative (see Selection Criteria for further information):

- 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 and Project Sustainment  
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 to BJA as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how the applicant 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 [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

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

**b. Budget Narrative**

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. 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 demonstrate 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.

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the rate approval 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. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

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

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, then the application should include appropriate legal documentation, as described above, from all tribes that would receive services/assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

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

**7. Additional Attachments**

**a. Project Time and Task Plan, Memoranda/Letters of Support, Job Descriptions, and Resumes**

Attach a Project Time and Task Plan with each project goal, related objective, activity, expected completion date, and responsible person or organization; Memoranda of Understanding or Letters of Support, if applicable; Job Descriptions that outline the roles, responsibilities, and qualifications for all key positions; and Resumes for staff identified for these positions, if known. Category 1 applicants, please include the resume of your proposed research partner, which highlights their expertise for conducting the type of work proposed.

**b. Applicant disclosure of pending applications**

Applicants are to disclose whether they have pending applications for Federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will be sub-awarding Federal funds).

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

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

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

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

Applicants should include the table as separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page. (e.g. “[Applicant Name] does not have pending applications within the last 12 months for Federally funded assistance that include requests for funding or support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”)



## 8. Other Standard Forms

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

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

\*These OJP Standard Assurances and Certifications are forms which applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

## Full Application Selection Criteria

### 1. Statement of the Problem (15 percent of 100)

#### a. Category 1 applications supporting state, local, or tribal projects:

Describe how the project addresses:

- (1) A critical emerging or chronic crime problem, or systemic issues faced by one or more components of the criminal justice system for which there currently are no resources, or resources are limited or insufficient. Include any relevant data, background, and any other information to show the significance and importance of the issue, using data that is pertinent to understanding the identified problem.
- (2) The need for testing of the proposed strategy in the field and gaps in capacity to address the issue.

Ensure that any reviewer of the proposal, regardless of background, understands the problem and the need for requesting federal funds.

#### b. Category 2 applications supporting national or regional projects:

Describe how the project addresses a demonstrated gap in areas within the justice system or in the knowledge base of justice system practitioners or state and local policymakers for which there currently are no resources, or resources are limited or insufficient. Include any relevant data, background, and any other information to show the significance and importance of the issue, using data that is pertinent to understanding the identified problem. For regional projects, show how the issue is specific to a regional need, or the model could be implemented effectively regionally and replicated elsewhere.

Ensure that any reviewer of the proposal, regardless of background, understands the problem and the need for requesting federal funds.

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

### **a. Category 1 applications supporting state, local, or tribal projects:**

- Describe the program model or strategy to be implemented.
- Describe the process for the testing of a strategy and how the applicant will document implementation and develop tools to support replication.
- Describe how the innovative strategies or strategies that are aligned with the BJA Strategic Plan are consistent with the goals of this solicitation
- Describe your specific strategy in detail, including:
  - Key program elements and implementation;
  - How the proposed innovative project is based upon and/or may contribute to evidenced-based strategies or promising practices;
  - Describe the role of the research partner in the project;
  - How project outcomes could serve as a model that could be replicated nationwide; and
  - How the project will provide knowledge, tools, and materials that will be of significant value and benefit to criminal justice practitioners and policymakers.

### **b. Category 2 applications supporting national or regional projects:**

- Describe how the innovative strategy addresses the problems, gaps, or limited resources identified in the Statement of the Problem.
- Describe how the innovative strategies or strategies that are aligned with the BJA Strategic Plan are consistent with the goals of this solicitation
- Describe your specific strategy in detail, including:
  - Key program elements and implementation;
  - How the proposed innovative project is based upon and/or may contribute to evidenced-based strategies or promising practices;
  - How the value or lessons learned from the project upon completion will be communicated and disseminated;
  - How project outcomes could serve as a model that could be replicated nationwide; and
  - How the project will develop practical tools and materials for the field that will assist state and local practitioners in adopting promising and strategic solutions.

For regional projects, how the projects will use a model that is could be implemented effectively regionally and replicated elsewhere.

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

Category 1 and Category 2 applicants: Fully describe the applicant(s) capabilities to implement the project and the competencies of the staff assigned to the project and the organization overall. Describe the management structure and proposed staffing to implement the project and describe the roles and responsibilities of any co-applicants or

partners, if applicable. Demonstrate, including giving specific examples, of your organization's expertise and experience in planning, developing, implementing, and managing criminal justice-related programs at the national, state, or local level, with a strong emphasis on the discipline and topics identified in this solicitation.

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

Category 1 and Category 2 applicants: Describe the methodology that will be used to collect and report performance data, including the criteria to be used, and how the information will be analyzed to assess program performance and will be communicated to inform BJA of the program's performance. Demonstrate how the data will be used to enhance program implementation and how it could guide replication. Discuss how the project will be sustained after the federal funding ends.

#### **5. Budget (15 percent of 100)**

Category 1 and Category 2 applicants: Provide a proposed budget that is reasonable, complete, allowable, and cost effective in relation to the proposed activities. The budget must support the strategies and approaches outlined in the project design, and include a narrative to describe the expenditures under each cost area and how it will contribute to the overall program goals. Budget narratives should 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>1</sup>

## **Full Application Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications. 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. 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, and available funding.

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

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<sup>1</sup> Generally speaking, a reasonable cost is a cost that if, 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.

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, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## How to Apply: GMS (Selected Applicants Only)

Applicants invited to submit full applications must submit applications through the Grants Management System ([GMS](#)), which provides cradle to grave support for the application, award, and management of awards at OJP. Applicants **must register in GMS for each specific funding opportunity**. Although the registration and submission deadlines are the same, OJP urges applicants to **register immediately**, especially if this is their first time using the system. Complete instructions on how to register and submit an application in GMS can be found at [www.ojp.usdoj.gov/gmscbt/](http://www.ojp.usdoj.gov/gmscbt/). Applicants that experience technical difficulties during this process should e-mail [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888-549-9901 (option 3), Monday – Friday from 6:00 a.m. to midnight eastern time, except federal holidays. OJP recommends that applicants **register immediately** to prevent delays in submitting an application package by the deadline.

All applicants should complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their application 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 replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the SAM database. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records have already been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire a GMS username and password.** New users must create a GMS profile by selecting the “First Time User” link under the sign-in box of the [GMS](#) home page. For more information on how to register in GMS, go to [www.ojp.usdoj.gov/gmscbt/](http://www.ojp.usdoj.gov/gmscbt/).
4. **Verify the SAM registration in GMS, formerly CCR.** OJP requests that all applicants verify their SAM registration in GMS. Once logged into GMS, click the “CCR Claim” link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
5. **Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the “Funding Opportunities” link on the left side of the page. Select BJA and Encouraging Innovation: Field-Initiated Programs.
6. **Select the correct solicitation title.** Some OJP solicitations posted in GMS contain multiple purpose areas, denoted by the solicitation categories identified in the solicitation title. If applying to a solicitation with multiple solicitation categories, select the appropriate solicitation title for the intended purpose area of the application.
7. **Register by selecting the “Apply Online” button associated with the solicitation title.** The search results from step 5 will display the solicitation title along with the registration and application deadlines for this funding opportunity. Select the “Apply Online” button in the “Action” column to register for this solicitation and create an application in the system.
8. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information and submit the form in GMS. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields. Access the form at [www.ojp.gov/funding/forms/disclosure.pdf](http://www.ojp.gov/funding/forms/disclosure.pdf).
9. **Follow the directions in GMS to submit an application consistent with this solicitation.** Once submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before they can submit an application. OJP urges applicants to submit the application **at least 72 hours prior** to the due date of the application.

**Note: GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

**Note: Duplicate Applications**

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

**Experiencing Unforeseen GMS Technical Issues**

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline, must e-mail the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties and include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any GMS Help Desk or SAM tracking number(s). **Note: BJA**

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**does not automatically approve requests.** After the program office reviews the submission, and contacts the GMS Help Desk 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 the technical issues reported cannot be validated, the application will be rejected as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register in sufficient time, (2) failure to follow GMS instructions on how to register and apply as posted on its Web site, (3) failure to follow each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology environment, including firewalls.

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

## **Other Important Information**

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

OJP places a strong emphasis on the use of data and evidence in policy making and programming in criminal justice. 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; and
- 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. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Budget Information**

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

With respect to any award of more than \$250,000 made under this solicitation, 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. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a 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.)

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

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

### **Minimization of Conference Costs**

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP Web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This guidance sets out the current OJP policy, which requires all funding recipients that propose to hold or sponsor conferences (including meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not affect direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

### **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 of the OJP "Other Requirements for OJP Applications" Web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

## Match Requirement

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

## Performance Measures: Full Applications ONLY

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. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
<p>Support the development, implementation, and replication of innovative strategies that respond to emerging or chronic crime problems and systemic issues for which there currently are no resources or resources are limited or insufficient.</p>	<p>Percentage of project plan outcomes met</p> <p>Percentage of project tasks successfully completed that address capacity building</p> <p>Number of new policies, procedures, strategies, or interventions evaluated</p> <p>Percentage of policies, procedures, strategies or interventions that are supported by evidence to be replicable or a best practice</p>	<p>Number of project tasks*</p> <p>Number of project tasks* that were completed during the reporting period</p> <p>Number of project tasks that were completed during the reporting period that build capacity** in your agency</p> <p>Number of total project tasks (complete or incomplete) that build capacity in your agency</p> <p>Number of new policies, procedures, strategies, or interventions evaluated</p> <p>Of those evaluated, the number of policies, procedures, strategies or interventions that are supported by evidence to be replicable or a best practice</p>
<p><i>(Applicants who are awarded funding to implement training and/or technical assistance (TTA) activities will also have to report on measures related to TTA activities.)</i></p> <p>Increase the knowledge and capacity of practitioners in the criminal justice field through training and technical assistance.</p>	<p>Number of participants who attend the training</p> <p>Percentage of participants trained whose post-test indicated an improved score over their pre-test.</p> <p>Percentage of participants trained who reported an increase in knowledge, skill, or abilities</p> <p>Percentage of participants who rated the training as satisfactory or better</p>	<p>For current reporting period, the number of participants (Trainees/TA recipients) who:</p> <ul style="list-style-type: none"> <li>• Attended the training</li> <li>• Completed the training</li> <li>• Completed an evaluation at the conclusion of the training</li> <li>• Completed an evaluation and rated it as satisfactory or better</li> <li>• Completed a pre- and post- test</li> <li>• Completed the post-test with an improved score over their pre-test</li> <li>• Completed an evaluation or survey and reported an improved ability to perform their work responsibilities</li> </ul>



	Percentage of technical assistance (TA) request completed	Number of technical assistance (TA) request received
	Average number of hours to complete TA requests	Sum of hours to complete TA requests
		Number of TA requests successfully completed
	Percent of deliverables that meet expectations as determined by BJA	Number of tools and materials developed for the field.
		Number of tools and materials developed for the field that meet expectations as determined by BJA

\* Task: grant activity defined in application project plan

\*\*Capacity building: enhancing knowledge, increasing the number of services provided, or enhancing the ability of agencies to better respond to the needs of constituents

Because of the broad nature of this solicitation, BJA will also seek to develop program-specific measures in the beginning stages of the funded program. See the BJA [Field-Initiated Programs web page](#).

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What a Full Application Should Include” on page 12 for additional information.

### Note on Project Evaluations

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

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

## Notice of Post-Award FFATA Reporting Requirement

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

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

### Additional Requirements

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

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)

- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

## Provide Feedback to OJP on This Solicitation

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

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

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

# Application Checklist: Full Applications

## FY 2013 Encouraging Innovation: Field-Initiated Programs

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

### Eligibility Requirement:

\_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$400,000.

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 13)
- \_\_\_\_\_ Project Abstract (see page 13)
- \_\_\_\_\_ Program Narrative\* (see page 14)
- \_\_\_\_\_ Budget Detail Worksheet\* (see page 14)
- \_\_\_\_\_ Budget Narrative\* (see page 15)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 21)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 15)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 15)
- \_\_\_\_\_ Additional Attachments (see page 16)
  - \_\_\_\_\_ Project Time and Task Plan
  - \_\_\_\_\_ Memoranda/Letters of Support
  - \_\_\_\_\_ Job Descriptions
  - \_\_\_\_\_ Resumes
- \_\_\_\_\_ Disclosure of Pending Applications (see page 16)
- \_\_\_\_\_ Other Standard Forms as applicable (see page 17) including:
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)

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