



---

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for the Smart Policing Initiative. This program furthers the Department's mission by assisting state and local jurisdictions in reducing crime and improving the functioning of the criminal justice system.

## Smart Policing Initiative FY 2013 Competitive Grant Announcement

### Eligibility

Applicants are limited to state, local, and tribal law enforcement agencies or a government agency acting as fiscal agent for the applicant.

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

**Step 1—Concept Paper: Applicant must apply through Grants.gov.**

**Step 2—Full Application: Selected applicants only, as outlined in this solicitation, will be invited to apply 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 February 14, 2013. (See "Deadlines: Registration and Application," page 4.)

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

Applicants must register in [OJP's Grants Management System](#) 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 17.) 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," 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](http://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-2013-3486

Release Date: January 16, 2013

# CONTENTS

Overview	4
Deadlines: Registration and Application	4
Eligibility	4
SPI—Specific Information	4
Step 1—Submission of a Concept Paper: What a Concept Paper Should Include	6
Concept Paper Review and Selection Process	7
How to Apply: Grants.gov (Concept Papers ONLY)	8
Step 2—Submission of a Full Application (selected applicants only): What a Full Application Should Include	10
Information to Complete the Application for Federal Assistance (SF-424)	
Abstract	
Program Narrative	
Budget Detail Worksheet and Budget Narrative	
Indirect Cost Rate Agreement (if applicable)	
Tribal Authorizing Resolution (if applicable)	
Additional Attachments	
Other Standard Forms	
Full Application Selection Criteria	15
Full Application Review Process	16
How to Apply: GMS (Invited Applicants ONLY)	17
Other Important Information	19
Performance Measures: Full Applications ONLY	21
Notice of Post-Award FFATA Reporting Requirement	24
Additional Requirements	24
Provide Feedback to OJP on This Solicitation	25
Application Checklist: Full Application	27

# Smart Policing Initiative (CFDA #16.751)

## Overview

This FY 2013 Smart Policing Initiative (SPI) grant program seeks to build upon analysis-driven, evidence-based policing by encouraging state, local, and tribal law enforcement agencies to develop effective, economical, and innovative responses to crime within their jurisdictions. This program is funded under the Edward Byrne Memorial Competitive Grant Program (Byrne Competitive Program). The Byrne Competitive Program helps local communities improve the functioning and capacity of state and local criminal justice systems and provides for national support efforts including training and technical assistance programs strategically targeted to address local needs.

## 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 February 14, 2013. See “How To Apply: Grants.gov” on page 8 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, 2013. See “How to Apply: GMS” on page 17 for details.

## Timeline

- **February 14, 2013:** Deadline to submit concept papers in Grants.gov.
- **March 4, 2013:** Concept paper review completed by OJP.
- **By March 13, 2013:** Selected applicants will be notified via e-mail, and will have 30 days from the date the e-mail is sent to submit full applications.

## Eligibility

Refer to the title page for eligibility under this program.

## SPI—Specific Information

In the current economy, many law enforcement agencies are facing personnel layoffs and resource reductions while struggling with chronic crime. Developing tactics and strategies that are effective, efficient, and economical—as measured by reduced crime and higher case closure rates—would be of great benefit to law enforcement agencies. The goal of SPI is to

identify those tactics, practices, and strategies. SPI seeks either to build on the concepts of offender-based and place-based ("hotspot") policing by replicating evidence-based practices or to encourage exploration of new, unique solutions to public safety problems. Several authoritative longitudinal projects in the United States and the United Kingdom have demonstrated that a small number of offenders commit a disproportionate amount of crime. It is also well documented that crime reports and calls for service often cluster predominantly at specific locations or in narrow, easily defined areas. While random patrol and rapid response do not measurably reduce crime, substantial research demonstrates that place-based policing can reduce violent crime and neighborhood disorder. These findings indicate that effective policing requires a tightly focused, collaborative approach that is measurable; based on sound, detailed analysis; and includes policies and procedures that promote and support accountability.

BJA has awarded SPI grants to over 30 law enforcement agencies throughout the United States under national competitive solicitations. These agencies were selected to create a sample that is diverse in size and in the type of crime problems or criminogenic factors addressed. BJA required applicants to enlist a research partner, demonstrate the ability to collect and analyze data, and incorporate realistic and meaningful performance measures to assess the effectiveness of their efforts. Each of these sites is focusing on fundamental [research and analysis questions](#), based on the SARA (Scanning, Analysis, Response, and Assessment) model.

Examples of previous SPI assessment results are:

- Offender-based programs centered on violent crime micro-spots resulted in statistically significant crime reductions while foot patrols did not in Philadelphia;
- Problem-solving teams produced reductions in robberies and violent offenses in Boston;
- Precise place and offender-based strategies resulted in a significant homicide reduction in the Newton Division of the Los Angeles Police Department; and
- Place-based, crime prevention by environmental design tactics reduced thefts and calls for service at high-traffic convenience stores in Glendale, Arizona.

Several factors that BJA believes contributed significantly to achieve these results were consistent in all four agencies. These factors included executive support for the project, substantial analysis efforts, and incorporation of the research partner in all aspects of the initiative.

To ensure effectiveness, current SPI grantees work closely with BJA and BJA's competitively selected training and technical assistance partner to participate in information sharing sessions, facilitate peer-to-peer exchanges of information, administer subject matter expertise that is relevant to specific SPI agencies, and produce reports on the lessons learned from the SPI community.

For more information on SPI and details on individual site activities, go to [www.smartpolicinginitiative.com/](http://www.smartpolicinginitiative.com/). This web site provides information and resources to BJA SPI agency participants and to the nation's law enforcement community.

For examples of research on police and crime reduction, view the George Mason University's Evidence-Based Policing Matrix<sup>®</sup>, available at [gemini.gmu.edu/cebcp/Matrix.html](http://gemini.gmu.edu/cebcp/Matrix.html). The Matrix is a research-to-practice translation tool that categorizes and visualizes all experimental and quasi-experimental research on police and crime reduction.

## Goals, Objectives, and Deliverables

The purpose of SPI is to contribute to policing knowledge and practice by evaluating unique approaches to either chronic crime problems or new, evolving means to commit offenses. BJA is seeking applications from state, local, or tribal law enforcement agencies interested in developing innovative, analysis-driven approaches to crime.

After a review of the first four years of funding the SPI program, BJA is modifying the program for FY 2013. These modifications are intended to encourage creativity and improve the relevance of SPI results to the law enforcement profession by testing new solutions to chronic crime problems

Applications for the FY 2013 Smart Policing Initiative 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 next section. Note: Step 2 will only be applicable to selected applicants who will receive an e-mail 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 Should 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.

This is a highly competitive solicitation, and it is possible that a limited number of concept papers will be invited to proceed to the application stage or be selected for funding due to limitations in available grant funding. (For details on initiatives for potential alternative funding options, see page 11).

### Concept Paper Requirements

1. **Page limit:** The concept paper narrative should not exceed 7 pages.
2. **Narrative:** Applicants should include the following items in the concept paper:
  - a. Agency information: contact name and all key personnel (and associated position title) assigned to the project (if known).
  - b. A preliminary description of the problem that will be addressed, using data, if available, to describe the issue and justify why it requires increased attention.
  - c. Steps the agency will take to better understand and define the nature of the problem.
  - d. A description of the innovative strategy or solution the agency is proposing to test to address the problem.

- e. A description of the available data, records system, and analytical capability of the agency to support the project.
3. **Budget:** Applicants must provide cost estimates for major budget categories (i.e., salaries, contracts, etc., to include anticipated budget for research partner.)
4. **Research Partner Addendum:** The success of the SPI project hinges on evidence-informed practice, and the capacity of the applicant and its proposed research partner will be carefully evaluated by BJA and its reviewers. As such, applicants should provide a research partner addendum to the concept paper. The addendum should contain the proposed research partner/organization with a description of the role and responsibilities of the research partner/organization in informing the applicant's SPI project. At a minimum, research partners will be expected to: assist in problem description and definition; participate in solution development; provide ongoing data collection and analysis, monitoring, and assessment of the solution(s) impact; and prepare a final report that thoroughly discusses the efforts and assesses the results of the project. Applicants should provide a brief biographical statement about the proposed research partner's qualifications in conducting field research.

## Concept Paper Review and Selection Process

Concept papers will be reviewed by OJP staff with subject matter expertise. OJP staff will pay particular attention to the qualifications, experience, and involvement of the research partner; the degree of innovation of the proposed strategy or solution; its transferability and relevance to other law enforcement agencies; and the analytical capacity and record management systems of the applicants.

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

- 1) Is the applicant a law enforcement agency? (Government agencies acting as fiscal agents also meet this definition.)
- 2) Is the problem addressed likely to be confronted by other law enforcement agencies in the United States (examples include, but are not limited to, gun violence, domestic violence, drug trafficking, property crime, etc.)
- 3) Does the applicant sufficiently document data collection, management, and analytical expertise? (e.g., record management system, established analysis function, executive support, etc.)
- 4) Does the applicant express willingness to innovate and test new tactics, technologies, and strategies?
- 5) Does the proposed research partner have sufficient experience in conducting "action research"?
- 6) Is the role of the researcher sufficiently defined and integrated into the agency's SPI strategy?

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.

## 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 a concept paper 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 well in advance of 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 e-mail notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for e-mail 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) number for this solicitation is 16.751, titled "Edward Byrne Memorial Competitive Grant Program," and the funding opportunity number is BJA-2013-3486.
6. **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.
7. **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 **well in advance** of 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 Justice Information Center (see page 2 for contact information) **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): What a Full Application Should Include**

Following the systematic review of the 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. 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.

**2. Abstract**

Applicants should provide an abstract that includes the names of the lead applicant and any collaborating agency or organization; a brief description of the target problem; a brief description of how the applicant plans to address the problem; and the amount of federal funding requested. The abstract should be single-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 400 words.

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, 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..

**3. Program Narrative**

The program narrative must respond to the solicitation (see SPI—Specific Information on pages 4-6) and the Selection Criteria (1–4) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 10 pages. Number pages “1 of 10,” “2 of 10,” etc.

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

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies

- d. **Plan for Collecting the Data Required for this Solicitation's Performance Measures**  
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, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

Further information is available under the Selection Criteria section, page 15.

#### 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). Applicants that submit their in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the 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.

Applicants should budget travel/lodging expenses for four-person teams of agency and research partner representatives to attend three 2-day meetings during the 36-month project period. The meetings will be held in the Washington, D.C. area and other regions of the country.

#### 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

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. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.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**

Attach a project timeline with each project goal, related objective, activity, expected completion date, and responsible person or organization; and position descriptions for key positions and resumes for current staff.

##### **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 subawarding federal funds).

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

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

- the federal or state funding agency

- the solicitation name/project name
- the point of contact information at the applicable funding agency

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

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page. (e.g., “[Applicant Name] does not have pending applications submitted within the last 12 months 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.”)

#### 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 (5 percent of 100)

- a) Identify the specific crime problem the jurisdiction seeks to address. Describe the process used to assess or determine the nature of the crime or type of crime problem.

### 2. Project Design and Implementation (25 percent of 100)

- a) Describe project activities that are linked to meaningful and measurable outcomes. BJA expects agencies to obtain a SPI result—a plausible, scientifically-based finding that their approach had an effect on the chronic crime problem.
- b) Describe specifically how the project will accomplish expected outcomes by providing the goals, objectives, and the performance measures applicable to the project. Include a comprehensive timeline that identifies milestones, numerically lists deliverables, and identifies who is responsible for each activity (as an attachment).
- c) Describe the qualifications of the SPI research partner and the prior experience of the researcher with “action research,” including prior work with police agencies and other criminal justice partners.
- d) Describe the roles and responsibilities of the research partner in the Smart Policing Initiative and how the role of the research partner is integrated into the SPI strategy. At a minimum, the research partner should: assist in problem description and definition; participate in solution development; provide ongoing analysis, monitoring, and assessment of the solution(s) impact; and prepare a final report that thoroughly assesses the results of the project.
- e) Describe and provide evidence of the types and quality of data sources available to the agency to conduct appropriate analysis. For example:
  - Does the agency have access to multiple sources of data (both internal and external to the agency) specific to the identified problem?
  - Does the agency have the ability to integrate data from different sources?
- f) Describe the development of a prevention/mitigation strategy to address the problem based on careful, thorough analysis.

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

Fully describe the applicant’s capabilities to implement the project and the competencies of the staff assigned to the project. In addition, describe and demonstrate crime and criminal intelligence analysis capacity. Describe previous law enforcement activities that include research partners and report the results of those efforts.

The involvement of a research partner is indispensable to this project and it is important that law enforcement agencies consider the following when choosing partner candidates or organizations for the position. Deviation from these specifications will require justification before a SPI grant award is made.

- Policy, program, or organization evaluation experience, preferably in policing or in the justice system is highly recommended.
- Previous experience working with police agencies and/or organizations.
- Candidates should be experienced in several different data collection methodologies, and in both quantitative and qualitative research methods. It is preferable that they have several years of evaluation research experience and have experience with oral and written presentations of research results.
- Research partners should be able to conduct scientifically rigorous evaluations and be well versed in evaluation methods.

#### **4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (35 percent of 100)**

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

#### **5. Budget (10 percent of 100)**

Provide a proposed budget and budget narrative that are complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). 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>

Applicants should budget travel/lodging expenses for four-person teams of agency and research partner representatives to attend three 2-day meetings during the 36-month project period. The meetings may be held in the Washington, D.C. area or other regions of the country.

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

---

<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.

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.

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 (Invited Applicants ONLY)**

Full applications will be submitted through GMS.

Applicants 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 registration.** 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 “Bureau of Justice Assistance” and the “Smart Policing Initiative—Full Proposal.”
6. **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.
7. **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).
8. **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 BJA Justice Information Center (see page 2 for contact information) **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 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.

### **Amount and Length of Awards**

BJA anticipates that it will make awards of up to \$700,000 for a 36-month project period.

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

**Award Special Condition:**

Once awarded, each grant award will have in place a special condition withholding all but \$150,000, which will allow grantees to establish an action plan within 180 days of accepting the award. The action plan must:

- Describe the problem and the data that led to its identification.
- Include a logic model that identifies the solution(s) to be tested and projects result(s).
- Include an impact evaluation plan.
- Ensure that a research partner is included, as well as a contract, agreement, or other memoranda of understanding or agreement that clearly delineates the role and responsibilities of the research partner. This document should establish the authority of the research partner to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative.
- Demonstrate executive support and commitment of agency resources to the project.
- Include letters of commitment from external agencies or organizations that are expected to participate in the project.

The remaining funds will be released to each grantee after BJA approves the action plan.

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

The 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 its 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 that is 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 OJP-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. Any award recipient will be

required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Identify and address a specific crime problem using analysis-driven/innovative approach.	<p>Percent of program goals and objectives completed that are directly linked to grant funding and address a specific crime problem or criminogenic circumstance within a jurisdiction</p> <p>Number of new interventions/tactics employed</p> <p>Percent increase in frequency of evidence or data collection</p> <p>Percent increase in scheduled data collection series and special analysis to be conducted</p> <p>Number of research projects initiated</p> <p>Percent increase in number of research or evidence-based tools, interventions or tactics deployed. (For example, use of the Evidence-Based Policing Matrix or new analytical technology.)</p>	<p>Number of program tasks that were completed during the reporting period that are directly linked to grant funding (Task: a grant activity defined in application project plan)</p> <p>Number of total program tasks (complete or incomplete) that are directly linked to grant funding</p> <p>Number of new interventions/tactics employed during the current reporting period</p> <p>Number of times evidence or data were collected during the six months prior to grant funding</p> <p>Number of times evidence or data are collected for the current reporting period</p> <p>Number of statistical data analyses conducted (e.g. cluster, link, time-series, etc.) to inform decision-making, devise tactics/interventions, and measure results for the current reporting period</p> <p>Number of statistical data analyses conducted (e.g. cluster, link, time-series, etc.) to inform decision-making, devise tactics/interventions, and measure results during the 6 months prior to grant funding</p> <p>Number of new research-based initiatives within the department since grant reporting period began</p> <p>Number of research or evidence-based tools, interventions or tactics deployed in six months prior to grant funding. (For example, use of the Evidence-Based Policing Matrix or new analytical technology.)</p> <p>Number of research or evidence-based tools, interventions or tactics deployed during current reporting period (For example, use of the Evidence-Based Policing Matrix or new analytical technology.)</p>
Enhance law enforcement knowledge of effective	Number of staff trained	Number and rank of officers attending briefings or trainings

<p>strategies and tactics for crime problems or criminogenic circumstances.</p>	<p>Percent increase in staff able to perform a specific skill</p> <p>Percent decrease in reported incidents</p>	<p>Number of staff employed in the six months prior to grant funding who perform crime analysis or coordinate research-based efforts</p> <p>Number of staff hired during this reporting period to perform crime analysis or coordinate research-based efforts</p> <p>Number of reported incidents of the targeted crime problem during the 6 months prior to grant funding</p> <p>Number of reported incidents of the targeted crime problem for the current reporting period</p>
<p>Support and sustain evidence-based policing agencywide (from chief executive to the line officer).</p>	<p>Increase in cost savings as a result of new initiative implemented</p> <p>Number of new or revised policies created that outline the use or demonstrate the value of research as part of department strategic decision making</p> <p>Number of partnerships established</p> <p>Number of departmental public/community briefings or trainings promoting evidence-based practices</p>	<p>Total amount of non-grant dollars expended by the agency to address the targeted crime during the six months prior to grant funding</p> <p>Total amount of non-grant dollars expended by the agency to address the targeted crime during the current reporting period</p> <p>Number of new or revised policies created that outline the use or demonstrate the value of research as part of department strategic decision making</p> <p>Number of new research partnerships formed during the reporting period</p> <p>Number of formal agreements signed with new research partnerships during the reporting (e.g. MOUs, LOAs, other formal agreements)</p> <p>Number of briefings or outreach to the public/community about evidence based practices</p> <p>Type of briefings or outreach to the public/community about evidence based practices</p>

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

who can address your specific questions in a timely manner.

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

# Application Checklist: Full Application

## FY 2013 Smart Policing Initiative

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

### Eligibility Requirement:

- Eligible applicants are limited to state, local, and tribal law enforcement agencies
- The federal amount requested is within the allowable limit(s) of \$700,000.

### What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 11)
- Abstract (see page 11)
- Program Narrative\* (see page 11)
- Budget Detail Worksheet\* (see page 12)
- Budget Narrative\* (see page 12)
- Disclosure of Lobbying Activities (SF-LLL) (see page 18)
- Indirect Cost Rate Agreement (if applicable) (see page 12)
- Tribal Authorizing Resolution (if applicable) (see page 13)
- Additional Attachments (see page 13)
  - Project Timeline
  - Position Descriptions/Resumes
- Other Standard Forms as applicable (see page 14), 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.