

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for the Police-Prosecution Partnership 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.

## **The Police-Prosecution Partnership Initiative FY 2016 Competitive Grant Announcement**

**Applications Due: April 19, 2016**

### **Eligibility**

Eligible applicants are limited to state and local law enforcement or prosecution agencies, or federally recognized Indian tribal governments that perform law enforcement or prosecution functions (as determined by the Secretary of the Interior), or government agencies or nonprofit organizations (including tribal nonprofit organizations) acting as fiscal agent for the applicant. Applicants **must** include a police-prosecution partnership as demonstrated by a memorandum of understanding and articulated clearly in the application.

BJA welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. Only one application per lead applicant will be considered; however, a subrecipient may be part of multiple proposals.

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

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

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 19, 2016.

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

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

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

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

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

Grants.gov number assigned to this announcement: BJA-2016-9324

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# The Police-Prosecution Partnership Initiative

## (CFDA #16.738)

### A. Program Description

#### Overview

BJA's "Smart Suite" of programs invest in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies and interventions that are effective and economical. This data-driven approach enables jurisdictions to understand the full nature and extent of the crime challenges they are facing and to target resources to the highest priorities. The Smart Suite of programs represents a strategic approach that brings more "science" into criminal justice operations by leveraging innovative applications of analysis, technology, and evidence-based practices with the goal of improving performance and effectiveness while containing costs.

As part of BJA's Smart Suite, Fiscal Year 2016 Police-Prosecution Partnership Initiative seeks to build upon analysis-driven, evidence-based crime reduction and response strategies by encouraging state, local, and tribal law enforcement and prosecutorial agencies to partner in an effort to create effective and innovative responses to precipitous increases in crime within their jurisdictions. Funding for this initiative is available through the FY 2016 appropriation provided under 42 USC 3756(b)(1).

#### Program Specific Information

The Police-Prosecution Partnership Initiative (PPPI) seeks to establish new and/or expand existing partnerships between police and prosecutors to implement evidence-based and innovative strategies that combat precipitous increases in crime, while supporting research partnerships to assess the effectiveness of these efforts. Through its programmatic efforts under the Smart Policing and Smart Prosecution Initiatives, BJA provides resources, training and technical assistance to police and prosecution agencies to improve their capacity to identify crime problems and develop solutions that foster reliance on, and effective use of, evidence-based practices, data, and technology. A key element of success in these initiatives is the agencies' willingness to use a variety of data resources to inform their approaches, and to form partnerships with researchers to determine "what works" in terms of police and prosecutor efforts to improve their response to crime in their communities and to reduce violence. The partnerships established between these agencies and research partners have yielded innovative approaches to durable crime challenges, including:

- The Los Angeles (CA) Police Department's Smart Policing Initiative utilized precise place- and offender-based strategies, which resulted in a significant homicide reduction in the Newton Division.
- The Shawnee (KS) SPI Initiative, which employed Data Driven Approaches to Crime and Traffic Safety (DDACTS) intervention programming, reduced crime in the targeted area by more than 25 percent.
- The St. Louis (MO) Smart Prosecution Initiative is implementing GunStat and establishing a diversion program targeting felony defendants most likely to carry a weapon illegally as those likely to reoffend or perpetuate gun violence.

- The San Francisco (CA) Smart Prosecution Initiative is implementing a Crime Strategies Unit that uses data and intelligence to identify chronic locations and chronic offenders within the city in order to deploy appropriate prosecutorial responses.
- The Phoenix (AZ) Smart Policing Initiative found that police officers who used body-worn cameras (BWC) experienced a significant reduction in citizen complaints, and BWC use was found to increase the likelihood of domestic violence incidents being charged and successfully prosecuted.

Through this solicitation, BJA seeks to launch a Smart Suite Initiative that specifically focuses on establishing and improving partnerships between police and prosecution agencies and evaluating the effects of such partnerships on the organizational and operational effectiveness of key criminal justice processes. PPPI provides police and prosecution agencies with the opportunity to combine their respective strengths and expertise to collaboratively identify a pressing crime issue or common crime reduction goal in their jurisdiction, share information, and explore innovative solutions and interventions to address the crime issue; and partner with researchers to operationalize the intervention and measure its success in terms of implementation and outcomes. BJA is particularly interested in interventions that focus on reducing homicides and other violent crime, integrating technology advances collaboratively, using intelligence and information sharing to identify and prevent crime, and employing community-based problem-solving approaches to crime reduction. Applicants should clearly articulate how the proposed solution is enhanced through a collaborative partnership between law and enforcement and prosecution agencies. Examples of such solutions include but are not limited to:

**Joint Homicide and Violent Crime Investigation Strategies.** In these approaches, police and prosecutors jointly review and revise their approach to homicide and violent crime investigation in an effort to prevent and respond to these crimes in their jurisdiction. This collaborative process is undertaken to enable police and prosecutors to proactively address gaps in the prevention, investigation, and successful prosecution of homicides and other violent crimes. The goal of this model is to increase clearance rates, conviction rates, and other relevant investigatory benchmarks. Examples of successful strategies include the launch of homicide investigation process reviews; the provision of enhanced training to focus on investigation tactics and the implementation of available technology to aid investigations; the deliberate and strategic increase in information sharing between police and prosecution agencies to reduce or prevent systemic barriers to successful investigations, and engagement in evidence-based policy development that, among other things, promotes victim and witness cooperation with the justice system. These strategies have demonstrated great promise in increasing case clearance and conviction rates in jurisdictions that have piloted such joint investigation strategies.

**Intelligence-Driven Crime Reduction Strategies.** Under such strategies, police and prosecution agencies use intelligence and data sharing approaches to identify drivers of crime and disrupt their activities. These agencies break down information sharing and intelligence silos by combining and/or linking databases, information systems, and developing processes to allow free flow of information between all law enforcement agencies. In these strategies, police and prosecutors participate in formal “stat” processes and/or operate intelligence centers to ensure real-time dissemination of information. Under the Arrest Alert approach, police and prosecutors use existing crime data coupled with community engagement to identify hotspots of violence and then collect information on the most violent, high impact offenders living and committing violence in those hotspots. When a crime occurs within this hotspot or a previously designated violent offender is arrested, prosecutors and police are immediately notified of the arrest, collaboratively make appropriate release or detain recommendations, and follow the

case through to disposition. Both strategies are enhanced using evidence-based programming such as focused deterrence to stop the cycle of violence.

**Body-Worn Camera Implementation.** As law enforcement agencies around the country are utilizing body-worn cameras as part of a comprehensive strategy to improve public trust and confidence in the justice system and improve officer and community safety, these efforts present an additional opportunity for Police-Prosecution agency collaboration. The implementation of an effective body-worn camera (BWC) program involves far more than procuring and disseminating equipment to officers, and must include sound policy development and partnerships with prosecutors to optimize legal outcomes through the use of this emergent technology. Ensuring that appropriate partnerships with prosecution agencies are established prior to BWC implementation enables jurisdictions to engage in comprehensive strategic planning processes that address law enforcement and prosecutorial concerns including capacity to review and redact footage, evidentiary use, data sharing, public release, and storage. Because prosecutors often have jurisdiction over multiple police agencies utilizing body-worn cameras, they are well positioned to be conveners and coordinators of these initiatives and can reduce costs and improve efficiency of technology.

**Community-Based Problem-Solving.** Law enforcement and prosecutor agencies routinely use community-based problem-solving approaches to address specific crime issues occurring within a specific geographic region. Common models of these approaches include Problem Oriented Policing (POP) and Community Prosecution, and the central goal of these proactive approaches is to use a formal problem analysis process to identify the underlying causes of the community's crime issues and formulate specific interventions to directly address those issues in collaboration with the communities they serve. Examples of such problem solving approaches include, but are not limited to, hotspot policing, police/prosecutor-led diversion, focused deterrence strategies, and community prosecution. Evidence suggests that law enforcement and prosecution agencies, through joint comprehensive and collaborative problem solving approaches, have the ability to significantly reduce crime in communities with long standing issues related to various categories of criminal activity, including violence, illegal drug markets and gang activity. BJA seeks to encourage law enforcement and prosecutors within a jurisdiction to jointly launch a comprehensive community-based problem-solving effort to address a precipitous increase in crime within their community.

BJA believes that several core elements must be in place to support the implementation of the aforementioned collaborative models and strategies. These include strong executive support for the project within both the law enforcement and prosecutorial agency; sophisticated problem and data analysis efforts; the incorporation of the research partner in all aspects of the initiative; and a commitment to making organizational and operational changes to sustain the strategies found to be successful as measured by the project's evaluation. Under this initiative, police and prosecutors must work jointly on the initiative, must allocate time and resources for both agencies, and must establish innovative and effective working relationships with community members to gain support for their proposed initiatives.

To ensure their initiative's effectiveness, entities that receive funding under this solicitation will work closely with BJA and BJA's competitively funded training and technical assistance partners to participate in information sharing sessions, facilitate peer-to-peer exchanges of information, access subject matter expertise that is relevant to specific projects, and produce reports on the lessons learned for the benefit of the criminal justice community. In addition, all grantees will be required to produce a project action plan in collaboration with BJA and its training and technical assistance partners.

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

The Police-Prosecution Partnership Initiative seeks to build upon analysis-driven, evidence-based law enforcement strategies by encouraging state, local, and tribal law enforcement and prosecutorial agencies to partner in an effort to create effective, economical, and innovative responses to precipitous increases in crime within their jurisdictions.

BJA is seeking applications from state, local, or tribal law enforcement or prosecutor agencies interested in partnering to test data-driven approaches that address one or more of the four goals listed below. Applicants to the PPPI must provide documentation of their partner agency's commitment to the project in the form of a memorandum of understanding signed by the chief executive of the police department and prosecutorial agency demonstrating a commitment to the partnership. For more information about the memorandum of understanding, please see page 19. Lead applicants must also provide adequate funding support of their partner agencies' expected roles and responsibilities through subgrants that appropriately support the partner agency's proposed activities. Applicants will identify a problem to be addressed and enlist an independent research partner to help evaluate the effectiveness of their effort.

The implemented strategies will address one or more of the following goals:

- Reducing violent crime and/or homicide;
- Decreasing the harm to the community caused by drug crime;
- Increasing system effectiveness and efficiencies in terms of use of investigative resources, case outcomes, and use of diversionary strategies; and
- Improving public trust and confidence in the justice system through combating an increase in crime.

This program's required deliverables are:

- An action plan that is produced by the grantee agency at the outset of each project, which includes the project's problem analysis, logic model, summary of strategies and intended outcomes, and research base for proposed strategies. The action plan is envisioned as a product of collaboration between the supervision agency and research partner. For more information about the required action plan, see page 9.
- A final analysis report of the project's implementation and outcomes produced by the research partner and submitted to BJA at the conclusion of the project.

Applicants will:

- Describe the innovative, data-driven collaborative approach to be implemented.
- Work jointly on the initiative, must allocate time and resources for both agencies, and must establish innovative and effective working relationships with community members to gain support for their proposed initiatives.
- Enlist a qualified research partner to evaluate the effectiveness of the approach.
- Identify a specific issue to address.
- Develop a collaborative prevention/mitigation/response strategy to address the problem.
- Evaluate the initiative.
- Assess and report the results to BJA, who will make the results publicly available.

In order to be considered for an award under this category, applicants must clearly identify how the applied-for funding will directly address a precipitous or extraordinary increase in crime or in a type or types of crime in the applicant's own jurisdiction. Applicants must:

- Identify a crime or type(s) of crime that have precipitously increased within the jurisdiction
- Identify the period of time during which the relevant category of crime increased
- Provide evidence substantiating the claimed increase. Examples of such evidence include statistics, research findings, or other objective evidence as appropriate

If an application fails to substantiate the crime increase occurred, the application may be rejected for that reason alone.

The evaluation design must include outcome measures capable of informing a credible assessment of the effectiveness of the intervention(s). Applications absent such measures will not be awarded.

The proposed projects should present strategies that hold promise for replication and testing by other jurisdictions.

The involvement of a research partner is indispensable to a successful Smart Suite 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 Police-Prosecution Partnership grant award is made.

- Policy, program, action research, or organization evaluation experience, preferably in the justice system, is highly recommended.
- Candidates should have previous experience working with criminal justice 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.

Applicants are expected to devote at least 20 percent of the project budget to support the evaluation component of their initiative. The provision of appropriate resources for the selected research partner is crucial to project success, as they are expected to play a critical role in the project's data collection and analysis, problem assessment, strategy development, and evaluation processes. The research partner must be identified by name(s) and institutional affiliation in the application, and can be an independent consultant or located in an academic institution, a state Statistical Analysis Center, or a research organization. The research partner should have demonstrated expertise conducting the type of work proposed.

For more information on SPI and the Smart Suite, go to [www.bja.gov/CRPPE/SmartSuite](http://www.bja.gov/CRPPE/SmartSuite). For additional information about identifying and working with a research partner, please see <http://www.psnmsu.com/documents/ResearchPartnerQ&A.pdf>.

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

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

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

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The [OJP CrimeSolutions.gov](http://OJP.CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## **B. Federal Award Information**

BJA estimates that it will make up to two awards for up to \$1,000,000 each for an estimated total of \$2 million for a 24-month project period, beginning on October 1, 2016.

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

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

### **Award Special Condition**

Once awarded, each grant award will have in place a special condition withholding all but \$250,000, which will allow grantees to establish an action plan within 180 days of the date of this initial funding release. 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, memoranda of understanding or other similar legal instrument that clearly delineates the roles and responsibilities of the research partner. This document should clearly establish the authority of the research partner to access relevant agency data, interview subject personnel, and monitor agency 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.

## **Type of Award<sup>1</sup>**

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

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

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

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework,” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the recipient’s (and any subrecipient’s) compliance with statutes, regulations, and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the recipient (or any subrecipient) considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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

## **Budget Information**

### **Cost Sharing or Matching Requirement**

This solicitation does not require a match. However, if a successful application proposes a

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<sup>1</sup> See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements [a type of grant]).

<sup>2</sup> For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

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

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

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

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

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>3</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on conference approval, planning, and reporting available at <http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>. OJP policy and

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<sup>3</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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

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

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

## **C. Eligibility Information**

For additional eligibility information, see title page.

For additional information on cost sharing or matching requirements, see [Section B. Federal Award Information](#).

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

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

## **D. Application and Submission Information**

### **What an Application Should Include**

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, and Budget Narrative. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

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

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

## **2. Project Abstract**

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

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

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

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

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

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

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of unfunded applications, should the abstract fail to meet the format and content

requirements noted above and outlined in the project abstract template.

### 3. Program Narrative

The program narrative must respond to the solicitation (see Program Specific Information on pages 4-8) and the Selection Criteria (see pages 25-27) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 10 pages. Number pages “1 of 10,” “2 of 10,” etc.

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

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

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

To demonstrate program progress and success, as well as to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, applicants that receive funding under this solicitation must regularly provide data to measure the results of their work done under this solicitation. Post award, recipients will be required to submit quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT), located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). Recipients awarded under this solicitation will be required to complete the performance measures for the Smart Policing Initiative (SPI)<sup>4</sup>. Applicants should review the complete list of SPI performance measures at: [https://www.bjaperformancetools.org/help/SPISurvey\\_PerformanceMeasures\\_101915.pdf](https://www.bjaperformancetools.org/help/SPISurvey_PerformanceMeasures_101915.pdf). The following measures are examples of some of the core performance measures for SPI.

Objective	Catalog ID	Performance Measure(s)	Data Grantee Provides
Identify and address a specific crime problem using analysis-driven/innovative approach.	317	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	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)  Number of total program tasks (complete or incomplete) that are directly linked to grant funding
	163	Number of new interventions/tactics employed	Number of new interventions/tactics employed during the current reporting period
	542		

<sup>4</sup> Due to the similarities between awards funded under this solicitation and the Smart Policing Initiative (SPI), recipients for both programs will complete the same performance measures. In all cases where SPI is mentioned in the performance measures, it should be assumed that it is referring to both the Smart Policing Initiative and the Police-Prosecution Partnership Initiative. Data for the two programs will be separated for analysis and reporting.

	372	Percent increase in frequency of evidence or data collection	Number of times evidence or data were collected during the six months prior to grant funding
			Number of times evidence or data are collected for the current reporting period
	358	Percent increase in scheduled data collection series and special analysis to be conducted	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
			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
	258	Number of research projects initiated	Number of new research-based initiatives within the department since grant reporting period began
			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.)
		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.)	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.)
Enhance law enforcement knowledge of effective strategies and tactics for crime problems or criminogenic circumstances.	393	Number of staff trained	Number and rank of officers attending briefings or trainings
	543	Percent increase in staff able to perform a specific skill	Number of staff employed in the six months prior to grant funding who perform crime analysis or coordinate research-based efforts
			Number of staff hired during this reporting period to perform crime analysis or coordinate research-based efforts
	351	Percent decrease in reported incidents	Number of reported incidents of the targeted crime problem during the 6 months prior to grant funding
			Number of reported incidents of the targeted crime problem for the current reporting period

Support and sustain evidence-based policing agencywide (from chief executive to the line officer).	541	Increase in cost savings as a result of new initiative implemented	Total amount of non-grant dollars expended by the agency to address the targeted crime during the six months prior to grant funding
	170	Number of new or revised policies created that outline the use or demonstrate the value of research as part of department strategic decision making	Total amount of non-grant dollars expended by the agency to address the targeted crime during the current reporting period
	243	Number of partnerships established	Number of new or revised policies created that outline the use or demonstrate the value of research as part of department strategic decision making
	261	Number of departmental public/community briefings or trainings promoting evidence-based practices	Number of new research partnerships formed during the reporting period
			Number of formal agreements signed with new research partnerships during the reporting (e.g. MOUs, LOAs, other formal agreements)
			Number of briefings or outreach to the public/community about evidence based practices
			Type of briefings or outreach to the public/community about evidence based practices

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

e. Sustainability Planning

**Note on Project Evaluations**

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation,

designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the [OJP Funding Resource Center](http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page (<http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm>). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

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

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

A sample Budget Detail Worksheet can be found at <http://ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf>. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.

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

##### **b. Budget Narrative**

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

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

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

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

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

##### **d. Pre-Agreement Cost Approvals**

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

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

Indirect costs are allowed only under the following circumstances:

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

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the “Glossary of Terms” in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <http://ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>5</sup>

## 6. Tribal Authorizing Resolution (if applicable)

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

## 7. Applicant Disclosure of High Risk Status

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

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

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<sup>5</sup> See 2 C.F.R. § 200.414(f).

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

## **8. Additional Attachments**

### **a. Timeline**

Attach a project timeline that includes each project goal, related objective, activity, expected completion date, and responsible person or organization.

### **b. Memorandum of Understanding between the police department and the prosecutorial agency**

Attach a memorandum of understanding signed by the chief executive of the police department and prosecutorial agency demonstrating a commitment to the partnership. The memorandum of understanding should articulate the personnel and resources that each agency will provide for the project.

### **c. Résumés**

Attach the résumés of key project staff and the identified research partner(s).

### **d. Applicant Disclosure of Pending Applications**

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

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

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

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

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

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

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the Budget Narrative and Budget Detail Worksheet in the application under this solicitation.”).

**e. Research and Evaluation Independence and Integrity**

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

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

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

OR

b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current

colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

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

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

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

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, federal agencies must have in place a framework for evaluating the risks posed by

applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

## 10. Disclosure of Lobbying Activities

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

### How to Apply

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

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

**Note on Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please ensure all required documents are attached in the mandatory category.

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

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

Grants.gov is designed to forward successfully submitted applications to the OJP Grants Management System (GMS).

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

with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

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

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

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget (OMB) requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1–2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.738, titled "Edward Byrne Memorial Justice Assistance Grant (JAG) Program," and the funding opportunity number is BJA-2016-9324.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 19, 2016.
7. Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Duplicate Applications**

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

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

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

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, including firewalls.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at <http://ojp.gov/funding/index.htm>.**

## **E. Application Review Information**

### **Selection Criteria**

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

Provide Uniform Crime Reporting (UCR) and/or population served data; describe the crime challenges of the jurisdiction. Identify the specific crime problem the jurisdiction seeks to address. **Describe the precipitous increase in crime over the past year.**

Discuss the process used to assess or determine the nature of the crime or type of crime problem. Applicants may also describe any existing partnerships with the academic/research community.

The applicant must describe the current relationship between the police department and prosecutorial agency named in the application. The application must state how the police-prosecution partnership will improve the applicant's response to the identified problem.

#### **2. Project Design and Implementation (25 percent)**

Describe project activities that are linked to meaningful and measurable outcomes. BJA expects agencies to obtain empirically validated results from the established Police-Prosecution Partnership—a plausible, scientifically-based finding that their approach had an effect on the chronic crime problem and/or organizational effectiveness.

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 (as an attachment) that identifies milestones, numerically lists deliverables, and who is responsible for each activity.

Describe the roles and responsibilities of the law enforcement partner and the roles and responsibilities of the prosecutor partner.

Describe the roles and responsibilities of the proposed research partner in the initiative and how the research partner is integrated into the proposed 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.

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?
- How will data be shared between applicant agencies, and collectively with the research partner?

Describe the development of a collaborative prevention/mitigation strategy to address the problem.

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

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 and prosecution activities and collaborations that include research partners and report the results of those efforts.

Describe the level of agency executive support for the project, as well as the nature and extent of involvement of command staff in the project.

Describe the qualifications of the research partner and the prior experience of the researcher with "action research." Specifically, the application should describe their experience with such activities as:

- Developing logic models, collecting and analyzing criminal justice and public safety data, and using data to identify criminal justice and public safety related problems;
- Working collaboratively with criminal justice agencies to overcome barriers to research-driven problem solving, as well as identifying and proposing proven strategies/interventions to address problems;
- Documenting program operations and processes, assessing implementation fidelity, making recommendations for program improvement, and measuring program outcomes and using data to determine program effectiveness;
- Regularly presenting findings and conclusions both orally and in written form to law enforcement officers and prosecutors, developing "real-time" products and resources for strategic decisionmaking, and working with law enforcement and prosecutorial agencies to develop a sustainability plans; and
- Communicating with a wide variety of public sector, private, and community-based individuals.

### **4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (15 percent)**

Describe the process and methods for evaluating project performance. Identify who will collect the data, who is responsible for performance and outcome 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)**

Provide a proposed budget and budget narrative that are complete, cost effective, and allowable (e.g., reasonable, allowable, 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>6</sup>

Clearly delineate the budget amounts for the law enforcement partners, prosecutor partners, and the researcher.

Applicants should budget travel/lodging expenses for four-person teams of agency and research partner representatives to attend two 3-day meetings during the 24-month project period, including the Smart Suite Academy. The meetings may be held in the Washington, D.C. area or other regions of the country.

Applicants should allocate at least 20 percent of the project budget to support the research and evaluation components of their initiative.

## **6. Sustainability Planning (5 percent)**

Describe the plan for sustaining any innovations, crime reductions, organizational changes, research partnerships, and police/prosecutor agency collaborations established or achieved during the project once the federal funding support ends.

### **Review Process**

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

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

- Applications must be submitted by an eligible type of applicant
- Applications must request funding within programmatic funding constraints (if applicable)
- Applications must be responsive to the scope of the solicitation
- Applications must include all items designated as “critical elements”
- Applicants will be checked against the System for Award Management (SAM).

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

BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer

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<sup>6</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding.

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

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding when making awards.

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

### **Federal Award Notices**

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

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

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

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

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>7</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

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

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

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

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

Recipients must submit quarterly financial reports; semi-annual progress reports; final financial and progress reports; and, if applicable, an annual audit report in accordance with the Part 200

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<sup>7</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 [FFATA]).

Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

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

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

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

For contact information for Grants.gov, see the title page.

## **H. Other Information**

### **Provide Feedback to OJP**

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

**IMPORTANT:** This 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 e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

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

**Application Checklist  
FY 2016 Police-Prosecution Partnership  
Initiative**

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

**What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 23)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 23)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 23)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 24)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 24)
- \_\_\_\_\_ Download Funding Opportunity and Application Package
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 22)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm)

*After Application Submission, Receive Grants.gov Email Notifications That:*

- \_\_\_\_\_ (1) application has been received,
- \_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 24)

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

- \_\_\_\_\_ contact the NCJRS Response Center regarding experiencing technical difficulties (see page 24)

**General Requirements:**

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

**Scope Requirement:**

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$1,000,000.

**Eligibility Requirement:** Eligible applicants are limited to state, local, and tribal prosecutorial agencies or a government agency or nonprofit organization (including tribal nonprofit organizations) as fiscal agent for the applicant.

## **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 17)
- \_\_\_\_\_ Budget Narrative (see page 17)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 18)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 18)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 18)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Timeline (see page 19)
  - \_\_\_\_\_ Memorandum of Understanding (see page 19)
  - \_\_\_\_\_ Resumes (see page 19)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 19)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 20)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 21)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 22)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 11)