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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for funding to support strategic and/or innovative field-initiated programs. This program furthers the Department's mission by contributing to the development of strategic and innovative programs and strategies that will improve the criminal justice system; reduce crime, recidivism, and unnecessary confinement; and promote a safe and fair criminal justice system.

## **Encouraging Innovation: Field-Initiated Programs FY 2016 Competitive Grant Announcement Applications Due: March 29, 2016**

### **Eligibility**

**Category 1:** Eligible applicants are limited to public agencies that perform criminal justice functions, including states, units of local government, and Indian tribes that perform law enforcement functions as determined by the Secretary of the Interior (including the departments, agencies, or instrumentality of the foregoing); or public or private entities, including but not limited to for-profit (commercial) and nonprofit organizations (including tribal for-profit and nonprofit organizations), faith-based and community organizations, and institutions of higher education (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee.

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

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

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

**It is recommended that applicants ensure registration is complete and up to date for both Grants.gov and GMS.**

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

## Deadline

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

Applicants must register with [Grants.gov](http://Grants.gov) prior to submitting a concept paper. All concept papers are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on March 29, 2016.

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

Applicants must register in the [OJP Grants Management System](#) (GMS) prior to submitting a full application for this funding opportunity. Select the “Apply Online” button associated with the solicitation title. All registrations and applications are due by 8:00 p.m. eastern time 48 days from the date applicants receive email notification to submit full applications.

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

For additional information, see [Step 1—Submission of a Concept Paper: How to Apply in Grants.gov](#) and [Step 2—Submission of a Full Application: How to Apply in GMS](#) in [Section D. Application and Submission Information](#).

## Contact Information

**Step 1—Concept Paper:** For technical assistance with submitting a concept paper, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 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” under [Step 1—Submission of a Concept Paper: How to Apply in Grants.gov](#).

**Step 2—Full Application:** For technical assistance with submitting a full application (invited applicants only), contact the Grants Management System Support Hotline at 888-549-9901, option 3 or via email at [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov). The GMS support hotline hours of operation are Monday–Friday from 6:00 a.m. to midnight eastern time, except federal holidays.

For assistance with any other requirement of this solicitation, contact the 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 announcement: BJA-2016-8986

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# Encouraging Innovation: Field-Initiated Programs (CFDAs #16.817 and #16.738)

## A. Program Description

### Overview

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

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

Since FY 2009, BJA has competitively selected expertise and built partnerships with the field to leverage new and innovative ideas and expertise to address critical gaps in BJA programs and strategies.

BJA has funded a number of successful [projects](#), including:

- **Pretrial Release Advocacy Project:** a Category 2 project to adapt and replicate a successful model, developed by the Kentucky public defender system, for addressing unnecessary pretrial confinement through enhanced pretrial release advocacy. With BJA support, the National Association of Criminal Defense Lawyers is preparing comprehensive manuals and other training tools for several jurisdictions nationwide to implement the pretrial model.
- **Ohio Consortium of Crime Science:** a Category 1 state-focused partnership that connects researchers to local criminal justice agencies that seek to address community crime and justice problems through evidence-based solutions. Led by the Ohio Office of Criminal Justice Services, the Consortium provides research, evaluation, data analysis, and other technical support directly to Ohio agencies in order to develop statewide interdisciplinary networks and strengthen the link between research and practice.
- **The Racial Justice Improvement Project:** a Category 2 partnership with the American Bar Association initiative aimed at identifying and reforming policies that create racial disparities in local criminal justice systems by working closely with top state and local officials.
- **The Risk-Needs-Responsivity (RNR) Simulation Tool:** a Category 2 collaboration between BJA, George Mason University, and the University of Massachusetts-Lowell to develop a tool to assist federal, state, and local jurisdictions in using the risk-needs-responsivity approach, which emphasizes matching offenders to services based on their risk and need factors. The tool allows practitioners to identify the interventions available in their jurisdiction, assess the programs provided, and evaluate an offender's needs based on risk level and criminogenic need.
- **The National Resource Center on Justice-Involved Women:** a Category 2 resource center established through a partnership between the Center for Effective Public Policy and

the National Institute of Corrections in order to provide guidance and support for criminal justice practitioners in addressing the complex needs of justice-involved women. The resource center's mission is to reduce the number and improve the outcomes of justice-involved women by promoting evidence-based, gender-responsive practices.

- **Smart Suite Research Practitioner Fellow Academy:** a Category 2 national academy, developed with Michigan State University, to support and train researchers and practitioners as they build robust partnerships to implement data-driven approaches to criminal justice. The academy focuses on developing effective and efficient partnerships to enhance program development, implementation and management.

This program is funded pursuant to the "Department of Justice Appropriation Act, 2016" under the Edward Byrne Memorial criminal justice innovation program appropriation (P.L. 114-113). Additionally, Category 1 purpose area 2 will be funded with funds reserved under 42 U.S.C. 3756(b)(1) "to combat, address, or otherwise respond to precipitous or extraordinary increases in crime or in a type of crime." Other appropriate sources of funding may be used as legally permissible.

### **Program-Specific Information**

Applications are sought in two areas:

Category 1: Applications that propose to test a strategy at the state, local, or tribal level, working with a research partner to document implementation and develop tools to support national replication.

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

In both categories, the applicants must propose innovative strategies and/or strategies that are strategic in nature, such as those addressing an emerging issue in the field, and that are or are part of initiatives to improve relations between communities and the criminal justice field, including law enforcement. BJA will fund projects that reflect the priorities set in the [BJA Strategic Plan](#) and are consistent with the goals of this solicitation.

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

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

Applications should demonstrate a commitment to enhancing relationships and building trust between communities and the criminal justice field, including law enforcement. Approaches may include direct collaboration; efforts to increase transparency and reduce perceptions of unfairness within the system; efforts to reduce unnecessary criminal justice involvement and

incarceration; and efforts to prevent and reduce violence and victimization in communities across the United States.

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

### **BJA Mission Statement, Guiding Principles, and Strategic Plan**

BJA's mission statement is to reduce crime, recidivism, and unnecessary confinement, and promote a safe and fair criminal justice system. As a national leader in criminal justice policy, BJA's success in accomplishing its mission is based upon its guiding principles, which include:

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

Recognizing the need to be innovative, yet evidence-based and results-driven, BJA encourages both Category 1 and 2 applicants to propose a strategy that is in line with the goals and strategies outlined in the BJA Strategic Plan. To learn more about the specific goals and strategies that will guide BJA's efforts in the future, read [BJA's Strategic Plan](#).

Applications in Category 1 are part of the BJA Smart Suite of programs that 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 assists 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. For information on the Smart Suite programs including core competencies, core elements, and information about other Smart Suite programs, see BJA's [Smart Suite web page](#).

### **Field-Initiated Goals, Objectives, and Deliverables**

The goal of Encouraging Innovation: Field-Initiated Programs is to develop and implement strategic and/or innovative strategies that build or enhance the capacity of state, tribal, or local criminal justice systems to prevent and respond to emerging and/or chronic crime problems that affect many communities in the United States, where there is not a current resource or model to address the defined need.

Specifically, BJA is first seeking *concept paper proposals* from eligible agencies and organizations to develop and implement strategic and/or innovative strategies. All applicants for both categories must propose innovative strategies that respond to at least one of the "innovative" and or "strategic" objectives below, and demonstrate a commitment to building relationships between communities and the criminal justice field, including law enforcement.

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

- Propose a strategy or response that has not been implemented previously yet is supported by research, data, or evidence and addresses one or more areas of the criminal justice system; or
- Propose a new modification to an existing strategy or response that has not been implemented previously yet is supported by research, data, or evidence. A modification can include but is not limited to a target population, system area, etc.

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

- Propose a strategy or response that targets one or more areas of the criminal justice system; addresses one or more of the priorities identified in BJA’s Strategic Plan or an emerging issue in the field; is not currently being addressed by BJA; and is supported by research, data, or evidence; or
- Propose a new approach to delivering promising or evidence-based strategies or responses that has not been implemented previously and has the potential to increase effectiveness; enhance implementation fidelity; or improve outcomes within an agency or system (including organizational developments and changes that may make the approach more effective or provide greater potential for sustainability of the approach in the long term).

*Examples of previously funded BJA Field Initiated Projects categorized as innovative or strategic can be found at [www.bja.gov/ProgramDetails.aspx?Program\\_ID=105](http://www.bja.gov/ProgramDetails.aspx?Program_ID=105).*

**Category 1 Applicants (Competition ID: BJA-2016-9382):**

**Purpose Area 1: Test and Document State, Local, and/or Tribal Strategy**

Projects funded will test a strategy in the field at the state, local, or tribal level and evaluate or assess the results of the project. As part of the test, the applicant must work with a research partner to document implementation and develop tools to support replication, consistent with the overall goals of the solicitation. Applicants will receive funding to document the practice or strategy and outcomes and to create tools that are tested in the program that can be used to replicate the practice or program elsewhere such as training curricula, tool kits, articles, videos, program assessments/evaluations, policy-relevant documents, and guidebooks.

**Purpose Area 2: Test and Document State, Local, and/or Tribal Strategy Responding to Precipitous Increases in Crime**

Projects funded will test a strategy in the field in a state, local, or tribal jurisdiction experiencing a precipitous or extraordinary increase in crime or in a type or types of crime, and evaluate or assess the results of the project. Proposed strategies should respond directly to these increases in crime.

In order to be considered for an award under this category and purpose area, 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. Of particular interest to BJA are projects that propose to examine and respond to increases in violent crime and/or property crime. 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.
- Describe the innovative or strategic strategy to be implemented to halt the identified crime's increase and drive its reduction.

As part of the test, the applicant must work with a research partner to document implementation and develop tools to support replication, consistent with the overall goals of the solicitation. Applicants will receive funding to document the practice or strategy and outcomes and to create tools that are tested in the program that can be used to replicate the practice or program elsewhere such as training curricula, tool kits, articles, videos, program assessments/evaluations, policy-relevant documents, and guidebooks.

BJA requires that **all** Category 1 applicants, in both purpose areas, include a research partner that can assist with (a) problem assessment, (b) strategy development, (c) data collection and analysis, and (d) monitoring and evaluating performance. The research partner can be an independent consultant or located in an academic institution, a state Statistical Analysis Center (SAC), or a research organization. The research partner should have demonstrated expertise conducting the type of work proposed. Tools and materials should be developed that document the program model and implementation and conduct the program assessment/evaluation.

As part of the Smart Suite program, the Researcher-Practitioner partnership must also produce specific, mandatory deliverables including:

- Initial report with problem analysis, logic model and summary of strategies, and intended outcomes, including research base for proposed strategies
- Periodic reports, presentations, and briefings for the task force/implementation team that complement performance data collected and show continued deployment of the problem solving process
- Final research/evaluation report: Report should be practitioner oriented and include lessons learned
- Grantee should also be able to report timely, complete, and accurate data in quarterly reporting

Others recommended products include:

- Slide deck/Webinar with notes of the success and barriers in implementing the program
- Presentations at conferences
- Publications in practitioner journals and peer reviewed journals

For more information on the role of partners in this research collaboration and selecting a qualified research partner, see BJA's [Smart Suite web page](#).

**Category 2 Applicants (Competition ID: BJA-2016-9383):**

Projects funded will develop targeted and national or regional strategies that will make an impact in addressing a critical need or gap in the field, consistent with the overall goals of the solicitation. The strategy must document how it will be used to benefit the field by offering tools, products, or research or evaluation results that will facilitate implementation or replication for a national audience. Regional projects must be designed as a model that is specific to a regional need, or could be implemented effectively regionally and replicated elsewhere. Tools and materials should be developed for use by other criminal justice practitioners and policymakers, such as program manuals, program assessments/evaluations, research reports, articles, training curricula, policy-relevant documents, guidebooks, and toolkits.

## **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 approximately 5 awards between both Categories 1 and 2 of up to \$500,000 each for an estimated total of \$2.465 million for a project period of no less than 15 months and not exceeding 36 months beginning on October 1, 2016. Applicants are encouraged to be realistic in their budget proposals, as the amount budgeted will be evaluated against the local or national benefits identified to ensure efficient utilization of resources.

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

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

### **Type of Award<sup>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](#)

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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]).

[Requirements](#), under Section [F. Federal Award Administration](#), 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 voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

For additional cost sharing or matching information, see the [Financial Guide](#).

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

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

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<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.

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 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.

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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.

### **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 [Step 1—Submission of a Concept Paper: How to Apply in Grants.gov](#).

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

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

- **For Step 1—Concept Paper Submission: Grants.gov**  
Applicants must register with Grants.gov in order to submit a concept paper. OJP encourages applicants to **register several weeks before** the application submission deadline. The deadline to submit concept papers under this announcement is 11:59 p.m. eastern time on March 29, 2016. See [Step 1—Submission of a Concept Paper: How to Apply in Grants.gov](#) on page 16 for details.
- **For Step 2—Full Application Submission for Selected Applicants Only: GMS**  
Applicants must register in GMS prior to submitting a full application for this funding opportunity. The deadline to register in GMS as well as the deadline to submit an application for funding is 8:00 p.m. eastern time 48 days from the date applicants receive email notification to submit full applications. See [Step 2—Submission of a Full Application: How to Apply in GMS](#) on page 29 for details.

### **Timeline**

- March 29, 2016: Deadline to submit concept papers into Grants.gov (46 days from solicitation posting date).
- April 22, 2016: Selected applicants will be notified via email, and will have 48 days, from the date the email is sent, to submit full applications.

## **What Both the Concept Paper and the Full Application Should Include**

Applicants should anticipate that if they fail to submit a Concept Paper or the Full Phase 2 Application with 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.

Applications for the FY 2016 Encouraging Innovation: Field-Initiated Programs solicitation will be processed through a **two-step process**:

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

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

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

BJA's decision to request a concept paper recognizes limitations on available funding and the substantial time and effort necessary for agencies to submit full applications.

#### **Concept Paper Requirements**

1. **Page limit:** The concept paper narrative must not exceed 6 pages and must cover all of the information listed below. Applicants should expect that failure to submit a concept paper that contains all of the specified requirements in the Concept Paper Narrative and Budget Summary, outlined below, will eliminate the concept paper from further consideration.

Using a series of questions, BJA seeks to gather information on the topics listed below. Applicants should use the question and answer template located in Grants.gov to provide answers for the concept paper.

#### **2. Concept Paper Narrative:**

- a. Agency information: contact name, and all key personnel (if not known, please provide position titles) assigned to the proposed project.
- b. Specify which category the applicant is applying for (1 or 2). *For Category 1: specify which purpose area the applicant is applying for (1 or 2).*
- c. Names of all key partners as well as the name of the research partner for Category 1 applicants.
- d. Specify which program area(s) or discipline(s) is the primary focus for the application:
  - Crime prevention & Law enforcement
  - Courts
  - Corrections, recidivism reduction and re-entry
  - Justice-involved substance abuse and/or mental health issues.
  - Capacity Building: Strategic planning/Research/Evaluation/Use of research, evidence or data/Sustainability

- Information sharing and technology
  - Justice Systems Reform
- e. The nature, scope, and extent of the emerging, chronic, and/or systematic challenge(s) the applicant proposes to address. *For Category 1 – Purpose Area 2: Identify a crime or types of crime that have precipitously increased within the applicant jurisdiction.*
  - f. Summary data and evidence that support the urgency or importance of the crime issue and/or criminal justice topic to be addressed. *For Category 1 – Purpose Area 2: Provide data that supports the applicant jurisdiction’s claim to be experiencing a precipitous or extraordinary increase in crime, or in a type or types of crime.*
  - g. The proposed strategy to address the problem or issue, including key activities, deliverables, target audience, and location of services. Describe your infrastructure including organizations and partners to implement the strategy, including a summary of their capabilities and competencies.
  - h. How the project proposes innovative strategies that respond to at least one of the “innovative” or “strategic” objectives, as defined on pages 7-8. How the proposed project will enhance relationships and build trust between communities and the criminal justice field, including law enforcement.
  - i. How the proposed project will provide knowledge, tools, and materials that will likely have a significant impact, value, and/or benefit to criminal justice practitioners and policymakers. Describe the specific proposed deliverables to be developed and delivered under the grant.
  - j. How your organization’s background, capabilities, and resources prepare you to implement the proposed project. How the proposed project can be replicated on a national level and your organization’s ability to develop tools to support replication.
  - k. All Category 1 applicants will discuss how they will, through a research partner, conduct problem assessments, strategy development, data collection and analysis, and monitoring and evaluating performance. This should include a short description of the research partner’s skills and expertise.
3. **Budget Summary:** The budget must include the following information (these pages do not apply in the 6-page limit):
- a. Summary of the overall budget, including cost estimates by categories and items being considered in the proposal (i.e., salaries, contracts, equipment, supplies, etc.).
  - b. Clearly describe who are the intended subrecipients and amount of funding to be received including the research partner.
  - c. A brief explanation of how the items are tied to the goals of the project.

The summary should include only as much detail as necessary to convey critical project design facts that will assist BJA in evaluating the likelihood of successful execution.

Review the Financial Guide at: <http://ojp.gov/financialguide/DOJ/index.htm>.

### Step 1—Submission of a Concept Paper: How to Apply in Grants.gov

Applicants must register in and submit concept papers 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.

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

**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 OJPGrants 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 SAMs 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.

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

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

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <https://apply07.grants.gov/apply/IndCPRegister>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) numbers for this solicitation are 16.751, titled "Edward

Byrne Memorial Competitive Grant Program,” and 16.817, titled “Byrne Criminal Justice Innovation,” and the funding opportunity number is BJA-2016-8986.

6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
  1. **Category 1, Competition ID BJA-2016-9382:** Applications that propose to test a strategy at the state, local, or tribal level, working with a research partner to document implementation and develop tools to support national replication.
  2. **Category 2, Competition ID BJA-2016-9383:** Applications to develop targeted and national or regional strategies that will make an impact in addressing a critical need or gap in the field. Regional projects must show that they are a model that is specific to a regional need or could be implemented effectively regionally and replicated elsewhere.
  
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

All concept papers are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on March 29, 2016.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

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

If an applicant submits multiple versions of the same concept paper, BJA will review only the most recent system-validated version submitted. See “Note on File Names and File Types” under [Step 1—Submission of a Concept Paper: How to Apply in Grants.gov](#).

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant 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>.**

### **Step 1—Concept Paper Review and Selection Process**

OJP is committed to ensuring a fair and open process for the review of concept papers. BJA reviews the concept papers to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation. A determination in the review of the concept paper is whether or not the proposed project is innovative and or strategic, as defined on pages 7-8.

Concept papers will be reviewed by a working group which may be composed of internal reviewers from BJA, other components within OJP and DOJ and federal partners and experts with relevant BJA subject matter expertise. The working group will review concept papers based on the criteria described below and determine which applicants will be invited to submit a full application to the FY 2016 Encouraging Innovation: Field-Initiated Programs solicitation.

The working group will review concept papers submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens concept papers for compliance with specified program requirements to help determine which concept papers should proceed to further consideration for invitation to submit a full application. 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 a Concept Paper Must Include" under [Section D. Application and Submission Information](#).

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

1. Does the project propose innovative strategies that respond to at least one of the “innovative” or “strategic” objectives, per guidance provided in the solicitation? Applications that are not innovative and/or strategic as outlined in the guidance will not move forward for consideration.
  2. Does the applicant address a demonstrated gap in the functions and knowledge base of the justice system and/or address a need for which there currently are limited or no services? Was this gap and/or need supported by research, data and/or evidence?
  3. Will the applicant’s proposed project provide knowledge, tools, and materials that will be likely to have a significant impact, value, and/or benefit to criminal justice practitioners and policymakers and improve the criminal justice system; reduce crime, recidivism, and unnecessary confinement; enhance relationships between communities and the criminal justice field, including law enforcement; and promote a safe and fair criminal justice system?
  4. Does the applicant demonstrate the capabilities and background necessary for the implementation of the proposed project?
  5. Does the applicant document implementation and have developed tools to support replication on a national level?
- 6A. For Category 1 applicants, does the application articulate how the researcher practitioner partnership will be effectively employed to ensure that the project has the analytical capacity to accomplish the goals of having a documented strategy with tools to support its replication?
- 6B. For Category 2 applications, does the application articulate how the applicant will use data, research methods, and evidence-based practices or innovations to effectively accomplish the program goals?

*All decisions relating to the application process, and specifically regarding invitations to submit full applications (Step 2), will be made by and within the sole discretion of BJA. All applicants will be notified of the outcome of the concept paper review process by April 25, 2016.*

## **Step 2—Submission of a Full Application (Selected Applicants Only): What a Full Application Must Include**

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

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

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include 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, Budget Narrative, Project Timeline and Task Plan, and Resumes of key staff. For Category 1 applications, the résumé of the research partner is also a critical element. 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 [Step 1—Submission of a Concept Paper: How to Apply in Grants.gov](#) 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 standard form required for use 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, please 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. Program Abstract**

Applications should include a high-quality program abstract that summarizes the proposed project in one page or less. Program abstracts should be—

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

All program abstracts should include the information request in the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

Program Abstracts should be submitted as a separate attachment with “Program Abstract” as part of the file name. As a separate attachment, the Program Abstract will **not** count against the page limit for the Program Narrative.

### 3. Program Narrative

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

If the Program Narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in review process 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
- e. Proposed benefit(s) to the field.

To demonstrate program progress and success, as well as to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Catalog ID	Performance Measure(s)	Data Grantee Provides
Support the development, implementation, and replication of innovative strategies that respond to emerging or chronic crime problems and systemic issues for which there currently are no resources or resources are limited or insufficient.	54	Percentage of project plan outcomes met	Number of project tasks*
	54	Percentage of project tasks successfully completed that address capacity building	Number of project tasks* that were completed during the reporting period
			Number of project tasks that were completed during the reporting period that build capacity** in your agency
	167	Number of new policies, procedures, strategies, or interventions evaluated	Number of total project tasks (complete or incomplete) that build capacity in your agency
Number of new policies, procedures, strategies, or interventions evaluated			
611	Percentage of policies, procedures, strategies or interventions that are supported	Of those evaluated, the number of policies, procedures, strategies or interventions that are supported by evidence to be replicable or a best practice	

		by evidence to be replicable or a best practice		
<p><i>(Applicants who are awarded funding to implement training and/or technical assistance (TTA) activities will also have to report on measures related to TTA activities in the NTTAC portal.)</i></p> <p>Increase the knowledge and capacity of practitioners in the criminal justice field through training and technical assistance.</p>	228	Number of participants who attend the training	<p>For current reporting period, the number of participants (Trainees/TA recipients) who:</p> <ul style="list-style-type: none"> <li>• Attended the training</li> <li>• Completed the training</li> <li>• Completed an evaluation at the conclusion of the training</li> <li>• Completed an evaluation and rated it as satisfactory or better</li> <li>• Completed a pre- and post- test</li> <li>• Completed the post-test with an improved score over their pre-test</li> <li>• Completed an evaluation or survey and reported an improved ability to perform their work responsibilities</li> </ul>	
	215	Percentage of participants trained whose post-test indicated an improved score over their pre-test.		
	227	Percentage of participants trained who reported an increase in knowledge, skill, or abilities		
	493	Percentage of participants who rated the training as satisfactory or better		
	443	Percentage of technical assistance (TA) request completed		<p>Number of technical assistance (TA) requests received</p> <p>Number of TA requests successfully completed</p>
	182	Average number of hours to complete TA requests		Sum of hours to complete TA requests
	54	Percent of deliverables that meet expectations as determined by BJA		<p>Number of tools and materials developed for the field.</p> <p>Number of tools and materials developed for the field that meet expectations as determined by BJA</p>

\* Task: grant activity defined in application project plan

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

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

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 a part of their reporting requirements. For this application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

### **Note on Project Evaluations**

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of 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.

For Category 1 applicants, funding should be budgeted to travel and related costs to attend a 4-day Smart Suite training academy for a 4-person team of the project coordinator, research partner, and 2 other key members of the implementation team. In addition, the application must include funding to support the research partnership. It is recommended that at least 10 percent and as much as 20 percent of the budget be used to support the researcher activities.

**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>4</sup>

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<sup>4</sup> See 2 C.F.R. § 200.414(f).

## **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.
- Reasons for the high risk status.

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

## **8. Additional Attachments**

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

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

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

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

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

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; <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.”).

**b. Project Timeline and Task Plan, Memoranda/Letters of Support, Job Descriptions, and Résumés**

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

**c. 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 subrecipients responsible for the research and evaluation or on the part of the applicant organization.

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
    - a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period.

Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

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

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

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

## 10. Disclosure of Lobbying Activities

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

## Step 2—Submission of a Full Application: How to Apply in GMS

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

**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.

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 GMS for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register.

All applicants are required to complete the following steps:

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget (OMB) requires that all applicants (other than individuals) for federal funds include a DUNS number in their application for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1–2 business days.
- 2. Acquire a GMS username and password.** New users must create a GMS profile by selecting the “First Time User” link under the sign-in box of the [GMS](#) home page. For more information on how to register in GMS, go to [www.ojp.gov/gmscbt/](http://www.ojp.gov/gmscbt/).
- 3. Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the “Funding Opportunities” link on the left side of the page. Select “BJA” and the “Encouraging Innovation: Field-Initiated Program.”
- 4. Select the correct funding opportunity.** Some OJP funding opportunities posted in GMS contain multiple purpose areas, denoted by the funding opportunity categories identified in the funding opportunity title. If applying to a funding opportunity with multiple categories, select the appropriate funding opportunity title for the intended purpose area of the application.
- 5. Register by selecting the “Apply Online” button associated with the funding opportunity title.** The search results from step 3 will display the funding opportunity title along with the registration and application deadlines for this funding opportunity. Select the “Apply Online” button in the “Action” column to register for this funding opportunity and create an application in the system.
- 6. Follow the directions in GMS to submit an application consistent with this guidance.** Once submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before submitting an application. OJP urges applicants to submit the application **at least 72 hours prior** to the application due date.

#### **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 the “Note on File Names and File Types” under [Step 2—Submission of a Full Application: How to Apply in GMS](#).

#### **Experiencing Unforeseen GMS Technical Issues**

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline must contact the [GMS Help Desk](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then the applicant 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 GMS Help Desk or SAM tracking number(s). **Note: BJA does not approve requests automatically.** After the program office reviews the submission, and contacts the GMS Help Desk to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If 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 GMS in sufficient time (SAM registration and renewal can take as long as 10 business days to complete.)
- Failure to follow GMS instructions on how to register and apply as posted on the GMS website.
- Failure to follow each instruction in the OJP invitation letter or guidance.
- Technical issues with the applicant's computer or information technology environment, including firewalls.

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

## **E. Application Review Information**

### **Step 2—Full Applications ONLY: Selection Criteria**

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

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

Describe how the project addresses:

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

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

For Purpose Area 2: Provide data that supports the applicant jurisdiction's claim to be experiencing a precipitous or extraordinary increase in crime, or in a type or types of crime.

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

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

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

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

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

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

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

- Describe how the innovative strategy addresses the problems, gaps, or limited resources identified in the Statement of the Problem.
- Describe how the “innovative” or “strategic” strategies are consistent with the goals of this solicitation.
- Describe your specific strategy in detail, including:
  - Key program elements and implementation.
  - How the proposed innovative project is based upon and/or may contribute to evidenced-based strategies or promising practices.
  - How the proposed innovative project will enhance relationships and build trust between communities and the criminal justice field, including law enforcement.

- How the knowledge, research, or data learned from the project upon completion will be communicated and disseminated.
- How project outcomes could serve as a model that could be replicated nationwide.
- How the project will develop practical tools and materials for the field that will assist state and local practitioners in adopting promising and strategic solutions.
- For regional projects, how the projects will use a model that could be implemented effectively regionally and replicated elsewhere.

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

Category 1 and Category 2 applicants: Fully describe the applicant(s) capabilities to implement the project and the competencies of the staff assigned to the project and the organization overall. Describe the management structure and proposed staffing to implement the project and describe their roles and responsibilities, including decision-making, as well as those of any co-applicants or partners, if applicable. Demonstrate, including giving specific examples, your organization's expertise and experience in planning, developing, implementing, and managing criminal justice-related programs at the national, state, or local level, with a strong emphasis on the discipline and topics identified in this solicitation.

For Category 1 applicants, please describe your proposed research partner's experience completing the following activities as a member of a task force or implementation team:

- Developing a "theory of change" and /or logic models
- Collecting and analyzing criminal justice and public safety data and using data to identify criminal justice and public safety related problems
- Ability to work through barriers to research-driven problem solving
- Identifying and proposing proven strategies/interventions to address problems
- Documenting program operations and processes
- Measuring program outcomes
- Using data to determine program effectiveness
- Assessing implementation fidelity
- Regularly presenting findings and conclusions both orally and in written form to a task force/implementation team, making recommendations for program improvement
- Developing "real-time" products and resources for strategic decision-making
- Working with the team to develop a sustainability plan
- Communicating with a wide variety of public sector, private, and community individuals; for example, research partners may be called up on to present their evaluation findings, conclusions, and recommendations to individuals such as prosecutors, law enforcement leadership and line officers, community members, clergy representatives, funding agency representatives, legislators, city council members, and even offenders

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

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

## 5. Budget (10 percent)

Category 1 and Category 2 applicants: Provide a proposed budget that is reasonable, complete, allowable, and cost effective in relation to the proposed activities. The budget must support the strategies and approaches outlined in the project design, and include a narrative to describe the expenditures under each cost area and how it will contribute to the overall program goals. Budget Narratives should demonstrate how applicants will maximize cost effectiveness of grant expenditures, and deliver the best value. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>5</sup>

Category 1 applicants: must include travel related to the Smart Suite Academy and to support the research partnership.

### Step 2—Full Applications ONLY: 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 a Full Application Must Include” under [Section D. Application and Submission Information](#).

BJA may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, 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.

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<sup>5</sup> Generally speaking, a reasonable cost is a cost that if, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

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**

### **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. 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>6</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.

Partnership agencies identified in approved proposals are considered subrecipients (not contracts) for the purpose of this project. MOUs between the award recipient and partners should be submitted to BJA for approval. The award recipient is responsible for subrecipient monitoring.

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

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

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<sup>6</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 [FFATA]).

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

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

For Federal Awarding Agency Contact(s), see 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 email listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojpeerreview@lmsolas.com](mailto:ojpeerreview@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  
(Full Applications ONLY)  
FY 2016 Encouraging Innovation: Field-Initiated Programs**

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

**What an Applicant Should Do:**

*Prior to Registering in GMS:*

- \_\_\_\_\_ Acquire a DUNs Number (see page 17)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 17)

*To Register with GMS:*

- \_\_\_\_\_ For new users, acquire a GMS username and password\* (see page 30)
- \_\_\_\_\_ For existing users, check GMS username and password\*  
to ensure account access
- \_\_\_\_\_ Search for correct funding opportunity in GMS (see page 30)
- \_\_\_\_\_ Select correct funding opportunity in GMS (see page 30)
- \_\_\_\_\_ Register by selecting the “Apply Online” button associated with the funding opportunity title (see page 30)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 12)
- \_\_\_\_\_ If experiencing technical difficulties in GMS, contact (see page 29)

\*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contacts designated within GMS at the time the account was established. Neither OJP nor the GMS Help Desk will initiate a password reset unless requested by the authorized official or a designated point of contact associated with an award or application.”

**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 \$500,000.

**Eligibility Requirement:**

**Category 1:** Eligible applicants are limited to public agencies that perform criminal justice functions, including states, units of local government, and Indian tribes that perform law enforcement functions as determined by the Secretary of the Interior (including the departments, agencies, or instrumentality of the foregoing), public or private entities, including but not limited to for-profit (commercial) and nonprofit organizations (including tribal for-profit and nonprofit organizations), faith-based and community organizations, institutions of higher education (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee.

**Category 2:** Eligible applicants are limited to public or private entities, including institutions of higher education (including tribal institutions of higher education) or national for-profit

(commercial) and nonprofit organizations (including tribal for-profit and nonprofit organizations). For-profit organizations must agree to forgo any profit or management fee.

**What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 21)
- \_\_\_\_\_ Intergovernmental Review (see page 21)
- \_\_\_\_\_ Program Abstract (see page 21)
- \_\_\_\_\_ \*\*Program Narrative (see page 22)
- \_\_\_\_\_ \*\*Budget Detail Worksheet (see page 24)
- \_\_\_\_\_ \*\*Budget Narrative (see page 24)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 25)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 26)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 26)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ \*\*Project Timeline and Task Plan, Memoranda/Letters of Support, Job Descriptions, and Resumes (see page 27)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 26)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 27)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 29)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 29)

**\*\* Note: These elements are the basic minimum requirements for full applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA**