

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for the implementation of innovative and replicable projects that combat precipitous increases in crime. This program furthers the Department's mission by assisting state, local, tribal, and territorial jurisdictions in reducing crime and improving the functioning of the criminal justice system through more effective information sharing, multi-agency collaboration, and implementation of data-driven, evidence-based strategies.

## **Technology Innovation for Public Safety (TIPS) Addressing Precipitous Increases in Crime FY 2017 Competitive Grant Announcement Applications Due: February 7, 2017**

### **Eligibility**

Under this solicitation BJA is looking for innovative technology implementation and applicant projects that specifically address precipitous increases in crime(s) on a local, county, or regional basis. Eligible applicants are public agencies of state governments, units of local government, federally recognized Indian tribal governments that perform law enforcement functions (as determined by the Secretary of the Interior), or government agencies acting as fiscal agents for one of the previously listed eligible applicants.

BJA welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed subrecipients ("subgrantees").<sup>1</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. A subrecipient can represent nonprofit or for-profit organizations (including tribal nonprofit or for-profit organizations), faith-based and community organizations, or institutions of higher education (including tribal institutions of higher education) that support initiatives to improve the functioning of the criminal justice system as well as the same type of agency as the primary applicant. It is important to note that for-profit organizations (as well as other recipients) must agree to forgo any profit or management fee and this must be stated in the application. Applications establishing these types of partnerships will receive priority consideration.

The application should also clearly identify the lead applicant and the subrecipient(s). The lead applicant must be the entity with primary responsibility for administering the funding and

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<sup>1</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

managing the entire project. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (“subgrantee”) in more than one application.

**To be eligible for funding under this solicitation applicants must propose solutions that will be deployed to jurisdictions that are currently experiencing precipitous or extraordinary increases in crime, in accordance with 42 U.S.C. § 3756(b)(1) to assist them in addressing these increases. To assist with the application process and verify the applicant’s eligibility, a required maximum two-page document is required to be submitted with the application specifically identifying the increased crime(s) to be addressed and showing statistical data proving the increases over a two-year period.**

BJA may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

## Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on February 7, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

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

## Contact Information

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

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline may email David P. Lewis, Senior Policy Advisor, BJA, by telephone at 202-616-7829, or by email at [david.p.lewis@ojp.usdoj.gov](mailto:david.p.lewis@ojp.usdoj.gov) **within 24 hours after the application deadline** to request approval to submit its application. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How to Apply](#) section.

For assistance with any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800-851-3420; via TTY at

301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this announcement: BJA-2017-11547

Release date: December 7, 2016

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# Technology Innovation for Public Safety (TIPS)

## Addressing Precipitous Increases in Crime (CFDA #16.738)

### A. Program Description

#### Overview

While many jurisdictions are making significant progress implementing justice information-sharing solutions to address critical gaps in coordinating crime prevention across organizations and jurisdictions, there remains significant challenges inhibiting the ability of the criminal justice system to respond to threats to public safety, especially when it comes to addressing significant increases in crime(s). For this solicitation, justice information-sharing technology refers to any technology (hardware and/or software, hosted residentially or remotely) that plays a role in the collection, storage, sharing, and analysis of criminal justice data. Funding under this program is provided to assist state, local, territorial, and tribal jurisdictions in enhancing their justice information-sharing capacity through the use of innovative technological solutions in order to allow them to more effectively address disproportional and precipitous increases in crime(s). **This is not an equipment purchasing solicitation. Applications limited to equipment purchases will be ineligible and eliminated from funding consideration.**

**Statutory Authority:** This program is funded under the “reserved funds” section (42 U.S.C. § 3756(b)(1)) of the Edward Byrne Memorial Justice Assistance Grant (JAG) program. The “reserved funds” section provides that up to 5 percent of the funds available to carry out the JAG Program may be granted for one or more of the purposes specified at 42 USC § 3751 upon a determination that such a grant is necessary “to combat, address, or otherwise respond to precipitous or extraordinary increases in crime, or in a type or types of crime.” 42 U.S.C. § 3756(b)(1).

#### Program-Specific Information:

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

Efficient and effective sharing of information between and among justice agencies and their partners is critical to preserving public safety and ensuring the fair and expeditious administration of justice. In the current fiscal environment of reduced resources at all levels of government, the ability to share information and collaborate across organizations remains one of the most important factors that enables communities to address their most pressing criminal justice problems in cost-effective ways.

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

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

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

All proposals where data is collected and analyzed in any matter must state the constitutional safeguards implemented to protect against the targeting of individuals or groups without the proper legal background and justification. These safeguards are required to ensure the protection of privacy and civil liberties of these individuals or groups.

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

- Criminal Justice System Improvements – Where precipitous or extraordinary increases in crime(s) can have a substantial impact on the functioning of the criminal justice system responding to such increases, it is important to invest in data-sharing technology that improves efficiency and effectiveness of information systems that facilitate exchange of information between system components. Collaboration among law enforcement, prosecutors, courts, and corrections can result in more effective crime control and identify systemwide opportunities for improvement. Enhancing the capacity of criminal justice system partners to share and analyze information seamlessly across organizational and jurisdictional borders is critical in responding to emerging crime threats.
- Reducing Violent Crime – Implementation of information-sharing technology solutions that enable agencies to effectively identify, assess, and respond to specific violent crime challenges. Depending on community needs, this may include targeting gun violence, aggravated assault and robberies, domestic violence, witness intimidation, or addressing violent offender recidivism and rehabilitation. [DOJ's Violence Reduction Network \(VRN\)](#) can provide insights into the challenges being faced by some of the country's most at-risk communities. In addition, BJA's Smart Policing Initiative (SPI) promotes effective gun violence reduction strategies (among other topics): ["SMART Approaches to Reducing Gun Violence."](#)

- Crime Analysis and Predictive Analytics – Even agencies that are able to share and collect information effectively often face challenges with understanding how to leverage that data for both tactical and strategic operations. Crime analysis is a critical tool that can help law enforcement interpret and take action on information from a variety of sources to be more responsive to spikes in certain types of crime or crime within certain geographical areas. The capacity for an agency to adequately analyze data is critical to take full advantage of investments in records management systems, data integration, and software analytical tools.
- Opioid Abuse – The Office of National Drug Control Policy states that the considerable public health and safety consequences of nonmedical use, and inappropriate prescribing, of prescription opioids and the use of heroin and illicit fentanyl, underscore the need for action. The consequent spike in opioid overdose rates is having a profound impact on families, communities, and the criminal justice system throughout the country. Agencies facing precipitous increases in opioid-related crime may seek ways to advance their technology around data analytics and information sharing partners (such as drug courts) to deploy innovative tools and methods to make a real difference fighting the opioid epidemic. Proposals must clearly articulate how opioid use has translated to increased crime in their communities, and how proposed strategies will directly mitigate related criminal justice challenges.
- The Economic, Cyber, High-Tech Crimes – Programs designed to enhance the capacity of state, local, territorial, and tribal criminal justice systems to prevent, investigate, and provide enforcement for economic, cyber, and high-tech crimes by implementing or enhancing programs. Emerging issues of interest to BJA include, but are not limited to, combating the commission of crimes using social networking websites, hand-held devices (e.g., cell phones, smart phones, etc.), proactive efforts to support infrastructure protection, and responsiveness should an intrusion occur. The successful applicant is expected to work with BJA's training and technical assistance (TTA) provider and other partners. This relationship is to provide real life examples to the TTA providers to develop and enhance digital evidence resources and make them available to help educate the public safety agencies and their first responders, investigators, and the community. Applicants should address ethical and statutory requirements for collection of digital evidence, preparation of case materials for testimony, and proper format and evidence authenticated for introduction in court. A submission using this type of scenario is not intended to fund task force members' salaries, but should facilitate the sharing of data, resources, and expertise to assist their established partnerships in the investigation, prosecution, and prevention of these types of crimes.

Each applicant will be asked to define its unique challenges, impact on local communities, and comprehensive implementation plan for using justice information-sharing technology to reduce or mitigate crime problem(s). BJA and its partners have identified some of the more common technology challenges faced by criminal justice practitioners today with respect to information sharing. BJA encourages applicants to address one or more such topic areas in their applications, and set targeted goals for how to enable or improve these capabilities across organizations and partnerships. The TIPS Program is designed to support innovative applications of technology. It is not designed to support the purchase of new equipment, unless the equipment is directly related to the information sharing initiative, such as laptops, handheld devices, and communication equipment.

- **Technology Integration** – Connection of existing systems to share, reuse, and collaborate across agencies and systems. This could include data sharing enhancements to existing records management systems, case management systems, state or regional data sharing networks, analytical tools, and mobile technology platforms. Agencies may also seek to improve information flow between criminal justice system partners to improve completeness of records on offenders, warrants, cases, and incidents.
- **Data Linking and Identity Management** – When combining data sources or providing access to multiple data systems, a thoughtful approach is required. Access control rules must be considered and implemented to ensure appropriate access to sensitive information, and protocols for linking records across information silos are needed to ensure that records are complete and free from errors or duplication.
- **Mobile Operation** – To promote data sharing between officers and investigators in the field, enhancing mobile technologies to allow access to data and analytics remotely, particularly case management-based information, is crucial. Leveraging the force multiplier aspects of mobile data terminals by leveraging the integration of innovative applications involving mobile devices enables not only data access, but data entry as well. Better mobile tools means more time in the field and more efficient personnel management. This is an example where equipment alone does not produce innovation, the convergence of technology and process is critical to innovation.
- **National Repositories** – Numerous resources exist at the regional and national levels that can assist with investigations that only require minor integration or modification to current practices. For example, the National Integrated Ballistic Information Network (NIBIN) and eTrace from the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) can provide assistance in matching data obtained from gun crime scenes to link weapons and suspects. Participation in the Federal Bureau of Investigation's (FBI) National Data Exchange (NDEx) or similar systems offers a nationwide incident-based database to compile tips, leads, and referrals to advance investigations.
- **Social Network Analysis** – Social network analytics, not to be confused with social media-supported investigations, can provide valuable information for law enforcement investigators. Tools that perform social network analysis are steadily improving in sophistication and capability. They can serve law enforcement agencies by providing venues for greater collaboration within and outside their organizations and serve as a means of bringing insights and tips/leads from large and chaotic data sets. Social network analytics may not be limited to traditional tools available to the public, but include private forums designed to facilitate joint investigations, offer deconfliction services, or provide access to supplementary data resources such as pawn/salvage repositories to gain insights into linked criminal behavior within a jurisdiction. Projects in this area must have safeguards in place to ensure the protection of privacy and civil liberties of any individual or group.
- **Expanding Analytical Capacity** – Establishing or enhancing a crime analysis center (CAC), real-time crime center (RTCC), or fusion center (FC) can prove a valuable investment, particularly on a regional basis where such a center can offer critical insights based on a larger view of the data than is available within a single agency. Such centers are also uniquely situated to procure and use advanced technology tools such as

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

- Emerging Technology Evaluation – BJA has established a [Criminal Justice Technology Forecasting Group](#) (CJTFG) to help identify areas where technology has the potential to outpace the criminal justice system’s readiness to implement with appropriate care and established policy.

### **Priority Considerations:**

1. Documentation of precipitous increase in crime(s) as identified under [Eligibility](#) and provided in the required attachment for the application.
2. Correlation between stated application goals and identified precipitous increase in crime(s).
3. Innovations that integrate technologies with enhanced processes and the promotion of data sharing and analytics between systems and partners.
4. Identified processes to measure impact of stated application goals.
5. Partnerships working in conjunction to address the crime(s) identified in the application and can show the project will be sustained at the end of the federal funding period.

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

The TIPS Program is specifically designed to support innovative law enforcement strategies that assist in decreasing crime in locations that have experienced precipitous increases in specific types of crime. The following strategies are viewed as instrumental in achieving this goal.

1. Promote information sharing and collaboration within and among criminal justice agencies having a role in response and investigation of specific crime(s).
2. Build successful partnerships between criminal justice agencies and nonprofit or for-profit organizations (including tribal nonprofit or for-profit organizations), faith-based and community organizations, and institutions of higher education (including tribal institutions of higher education) to assist in the prevention and reduction of specific crime(s).
3. Develop and enhance policies and practices that promote decision making with the use of technology with the intent to reverse the increases of specific crime(s).
4. Implement information-sharing solutions at the local, regional, state, tribal, and national levels that have a measureable positive impact on the specific crime trends.

During the 24-month program period, selected applicants will receive oversight and guidance from BJA and BJA’s identified technical assistance provider, and will be required to achieve the following goals, objectives, and deliverables, including but not limited to:

Goal 1: Identify and promote technology solutions that target preventing, investigating, prosecuting, and responding to precipitous increases in specific crime(s).

- Objective 1: Use these innovative technology solutions to develop new resources or leverage existing resources to address the articulated need described in the application.
- Objective 2: The technology solutions should be cost-effective to the identified jurisdictions
- Deliverable 1: Applicants will document the technology solutions identified and articulate in a summary document on how the use of technology will address the identified specific crime(s) and the proposed cost savings.

Goal 2: Establish new and leverage existing partnerships to include other criminal justice entities, community organizations, and private/public providers to enhance the applicant's ability to respond to these specific crimes within their jurisdiction.

- Objective 1: Improve communications and training strategies with the intent to educate their communities and build awareness and support among the general public about crime reduction strategies being implemented.
- Deliverable 1: Applicants will collaborate with stakeholders and their communities to build awareness through meetings, trainings, and resource materials.

Goal 3: To develop policies and practices through technology to promote decision making with the intent to reduce the precipitous increase of the identified specific crime(s).

- Objective 1: Review existing and develop new policies based on the intended technology solutions to include the implementation and continued use of these solutions. This will include the protection of an individual's rights and privacies.
- Deliverable 1: Applicants will document and implement the policies and practices as part of the jurisdiction's operation manual and the agency's rules and regulations.

Goal 4: To implement the identified information-sharing solution(s) at all levels.

- Objective 1: Putting the identified technology solution(s) into effect with measureable positive impact on the specific crime trends.
- Deliverable 1: Applicants will implement and sustain the proposed technology solution(s).

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

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

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

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

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

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

It is BJA's expectation that the justice information-sharing solutions implemented under this program will leverage the components of the Global Standards Package (GSP), which includes the Global Reference Architecture, the National Information Exchange Model, Global Federated Identity and Privilege Management, and the Global Privacy Technology Framework. For more information about the GSP, visit [www.it.ojp.gov/gsp](http://www.it.ojp.gov/gsp).

In addition, successful applicants must be willing to work with a BJA-designated national technical assistance provider to ensure the appropriate Global- or BJA-recommended justice information-sharing standards and tools are effectively applied in the solution used to address the stated business need(s).

Furthermore, it is BJA's expectation that the justice information-sharing solutions implemented under this program will be based on comprehensive privacy policies, where applicable. Privacy impact assessments and public discourse on the potential public impact of data collection activities is strongly encouraged to foster trust and acceptance by the public. At minimum, applicants must address the privacy considerations of their proposal, and identify whether or not a privacy policy will be used to govern the use of collected or shared data. For more information on privacy guidance available from BJA visit [www.bja.gov/publications.aspx](http://www.bja.gov/publications.aspx) and search for "privacy."

### **Program Deliverables**

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

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

The Goals, Objectives, and Deliverables are directly related to the performance measures set out in the table in [Section D. Application and Submission Information](#), under "Program Narrative."

### **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](#) 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 expects to make up to eight awards of up to \$500,000, with an estimated total amount awarded up to \$4,000,000. BJA expects to make awards for a 24-month period of performance, to begin on or before October 1, 2017. To meet the funding source eligibility requirements:

- Applicants must articulate the crime(s) or crime type(s) to be addressed by the proposed solution and submit this in a separate attachment in the application. This attachment should be no longer than two pages and the information included must be supported by statistical data over an identified two-year period.
- Applications must also identify the problem(s) (and how their proposed solution addresses the problem) that meets the requirements set forth in 42 U.S.C. §3756(b)(1). This language permits funding for solutions that "...combat, address, or otherwise respond to precipitous or extraordinary increases in crime."
- Prior to award consideration, BJA will verify the applicant meets this requirement based on the information provided in the application. Failure to submit any stated and required documents will eliminate the application from funding consideration.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic

priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and 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**

BJA expects that any award under this solicitation will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>2</sup>) must, as described in the Part 200 Uniform Requirements<sup>3</sup> as set out at 2 C.F.R. 200.303:

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

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<sup>2</sup> For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient ("subgrantee") to carry out part of the funded award or program.

<sup>3</sup> The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

### **Budget Information**

The applicants must be able to meet the funding source eligibility requirements:

- Applicants must articulate the crime(s) or crime type(s) to be addressed by the proposed solution in a separate attachment to the application. This information must be supported by statistical information and state the sustainability of the project at the end of the federal funding period.
- Applicants must identify a problem that meets the requirements set forth in 42 U.S.C. §3756(b)(1). This language permits funding for solutions that "...combat, address, or otherwise respond to precipitous or extraordinary increases in crime."

### **Cost Sharing or Match Requirement**

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

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

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

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs before submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants 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, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2017 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. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation 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, this limitation on compensation rates allowable under an award. An applicant that

requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at [www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.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, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

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

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

For additional information, see the "Civil Rights Compliance" section under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

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

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

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

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

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from

accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Statement of Eligibility, Project Abstract, Program Narrative, Budget Detail Worksheet, and Budget Narrative. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) (below) 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," "Resumes") for all attachments. Also, OJP recommends that applicants include resumes in a single file.*

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

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

To avoid processing delays, applicants must include an accurate legal name on their SF-424. Current OJP award recipients, when completing the field for "Legal Name," should use the same legal name that appears on the prior year award document, which is also the legal name stored in OJP's financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. Applicants with current awards must ensure that their GMS profile is current. If it isn't, they should submit a GAN updating the information on their GMS profile prior to applying under this solicitation.

New applicants should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. Applicants must attach official legal documents to their applications (e.g., articles of incorporation, 501C3, etc.) to confirm the legal name, address, and EIN entered into the SF-424.

**Intergovernmental Review:** This solicitation ("funding opportunity") is subject to [Executive Order 12372](#). An applicant may find the names and addresses of State Single Points of Contact (SPOCs) at the following website: [www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/). If the State appears on the SPOC list, the applicant must contact the State SPOC to find out about, and comply with, the State's process under E.O. 12372. In completing the SF-424, an applicant whose State appears on the SPOC list is to make the appropriate selection in response to question 19 once the applicant has complied with its State E.O. 12372 process. (An applicant whose State does not appear on the SPOC list should answer question 19 by selecting the response that the "Program is subject to E.O. 12372 but has not been selected by the State for review.")

## 2. Statement of Eligibility

Applications must include in a separate attachment, not to exceed two pages, a clear statement identifying the increase of crime(s) over a two-year period, and a brief indication of how the proposed solution targets the identified increase. This statement must be supported by statistical data. This statement should also include the sustainability of this project upon completion of the federal funding period. This statement of eligibility should be:

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

As a separate attachment, the statement of eligibility will **not** count against the page limit for the program narrative.

## 3. Project Abstract

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

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

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

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

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

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant’s project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP’s funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

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

## 4. Program Narrative

The Program Narrative must respond to the solicitation requirements (see Program-Specific Information) and the Selection Criteria (described below) in the order given. The Program Narrative should be double-spaced, using a standard 12-point font (Times New Roman) is

preferred) with 1-inch margins, and should not exceed 10 pages. The pages should be numbered in the following format: "1 of 10," "2 of 10," etc.

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

**NOTE: As stated, the statement of eligibility and project abstract will not count against the page limit for the program narrative.**

The following sections should be included as part of the program narrative<sup>4</sup>:

- 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

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in [Section A. Program Description](#).

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under "Data Recipient Provides," should it receive funding.

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<sup>4</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

Performance measures for this solicitation are as follows:

Objectives	Catalog ID	Performance Measure(s)	Data Grantee Provides
<p>Promote information sharing, partnerships, and collaboration within and among criminal justice agencies and the community that have a role in preventing, reducing, and investigating specific crime(s).</p>	322	<p>Percent increase in the number of agencies/entities participating in the collaborative governance process</p>	<p>Number of agencies/entities participating in the collaborative governance process (baseline)</p> <p>Number of agencies/entities participating in the collaborative governance process during the reporting period</p> <p>Types of agencies/entities participating in the collaborative governance process</p>
	32	<p>Number of agencies/organizations who commit participation formally through a Memorandum of Understanding (MOU)</p>	<p>Number of new formal agreements/ partnerships (e.g. MOUs) established with other agencies (courts, corrections agencies, police departments, health and human service agencies, etc.)</p> <p>Number of agencies/organizations that commit formally through a Memorandum of Understanding (MOU) and informally as a letter of commitment.</p>
	573	<p>Percent increase in the number of agencies/organizations receiving and sharing information within and among criminal justice agencies</p>	<p>Number of agencies/organizations receiving and sharing information within and among criminal justice agencies <u>prior to</u> the implementation of the technical solution</p> <p>Number of agencies/organizations receiving and sharing information within and among criminal justice agencies due to the implementation of the technical solution</p>
	146	<p>Number of community meetings conducted by the agencies involved in the project</p>	<p>Number of community meetings conducted by the agencies involved in the project.</p>

Implement information-sharing solutions at the local, regional, state, tribal, and/or national levels that have a measureable positive impact on the crime trends identified by the applying jurisdiction.	448	Percent decrease in the number of crimes that occurred in the target area	Baseline statistical data reflecting number of incidents of the specific targeted crime (by type) reported in the target area (Data collection follows the federal UCR guidelines; Part I and Part II crimes)  During the current reporting period, number of incidents of the specific targeted crime (by type) reported in the target area
	533	Number of new cases investigated resulting from partnerships/collaboration	Number of new cases investigated  Number of leads identified as a result of regional or multi-agency partnerships/collaboration
	643	Percentage of investigated cases referred for prosecution	Of the cases investigated, the number referred for prosecution or to a prosecutor
	332	Percentage of referred cases prosecuted	Of the cases referred for prosecution, the number of cases prosecuted
Develop and enhance policies and practices that promote decision making with the use of technology	326	Number of agencies with new or revised policy and/or procedural documents	Number of agency partners with new or revised policies or practices.

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

**Note on Project Evaluations**

An applicant that proposes to use award funds 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.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the “[Requirements related to Research](#)” web page of the “Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017,” available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

## 5. Budget Detail Worksheet and Budget Narrative

### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at [DOJ Grants Financial Guide](#).

### 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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

### c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a "subaward" or

instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a "subaward" or is instead a procurement "contract" under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

## **1. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

## **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement “contract” that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

### **d. Pre-Agreement Costs**

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

## **6. Indirect Cost Rate Agreement (if applicable)**

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (that is, unexpired), federally-approved indirect cost rate; or
- (b) The recipient 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).

An applicant with a current (that is, unexpired) federally-approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally-approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 1-800-458-0786 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://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both-- (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that has ever had a federally-approved negotiated indirect cost rate is eligible to use the “de minimis” rate.)

#### **7. Tribal Authorizing Resolution (if applicable)**

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award 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 award. 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.

#### **8. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

**Every** applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.
- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

## 9. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL). An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## 10. Additional Attachments

### a. Applicant Disclosure of Pending Applications

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) 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.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

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

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

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.”

**b. Research and Evaluation Independence and Integrity**

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest – whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified – including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients – that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are 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 would not be given an award 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), because the organization in such an instance might 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, each applicant is to address 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 actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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.

**c. Disclosure of Process Related to Executive Compensation**

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers

and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (in the "[OJP Financial Management and System of Internal Controls Questionnaire](#)" mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the Internal Revenue Service for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

### **How to Apply**

Applicants must register in and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-**

**4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on 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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

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

**Browser Information:** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

**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 that all required documents are attached in either Grants.gov category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully submitted applications to the OJP Grants Management System (GMS).

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>		

**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:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System ["DUNS"] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the

applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2, and 4.)

- 1. Acquire a unique entity identifier (currently, a "DUNS" number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. 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 certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application 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 as long as 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. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification

Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance ("CFDA") number for this solicitation is 16.738, titled "Edward Byrne Memorial Justice Assistance Grant Program," and the funding opportunity number is BJA-2017-11547.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been 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 an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **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. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on February 7, 2017.

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

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted

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

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline may 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 may email the BJA contact identified in the contact information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify 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 untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are 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, such as issues with firewalls or browser incompatibility.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) web page.**

## **E. Application Review Information**

### **Review Criteria**

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

1. Statement of the Problem (20%)
  - a. See section [“Program-Specific Information”](#)
  - b. Identify the specific crime/criminal justice problem to be addressed through this program. Describe the process used to assess or determine the nature of the crime/criminal justice problem. Include data and information that has been used to identify and assess the problem, and that demonstrates that the applicant understands the nature and dimension of the problem.
2. Project Design and Implementation (35%)
  - a. Describe the collaborative governance and project management processes that will be put into place to oversee the proposed project to address the identified problem, and the specific roles to be carried out by the governance group(s)/committee(s)/team(s).
  - b. Explain the proposed solution to be implemented that will address the identified problem, and enable information sharing between two or more independent systems/agencies/entities that play key roles in crime-fighting efforts. Include a summary of how the solution will leverage the Global Standards Package (GSP).
  - c. Describe the current level of readiness to implement the proposed solution. Identify any issues or challenges related to implementation readiness, and explain how these will be addressed through this project.
  - d. Address whether and how the proposed solution to be implemented is relevant to other jurisdictions/agencies across the nation.
  - e. Identify the resources at the state/local/tribal level that will be used to support the proposed initiative.
3. Capabilities and Competencies (20%)
  - a. Fully describe the capabilities of the applying agency and its partners (if applicable) to implement the project successfully and the competencies of the project staff.

- b. Demonstrate sound knowledge of the GSP and describe any current or previous experiences using the GSP to enhance information sharing.
  - c. Include (via attachment or by reference) information pertaining to relevant privacy policies, governance documents, contractual agreements, etc. that help establish implementation readiness. (It is acceptable if no such documentation exists, but in that event applicants are strongly encouraged to include a plan for establishing strong project governance within the Project Design and Implementation section.)
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)
- a. Describe the process for measuring project performance.
  - b. Identify who will collect the data, who is responsible for performance measurement, and how the information will be used to guide and evaluate the impact of the program.
  - c. Describe the process to accurately report implementation findings and the impact of the solution on criminal justice operational practices.
  - d. Applicants should identify and describe both outputs and outcomes they anticipate as a result of their proposed implementation strategy, and a process for measuring these.
5. Budget (15%)
- a. Provide a proposed budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget Narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>5</sup>
  - b. Applicants should identify general procurement target dates.
  - c. Applicants should identify procurement process risks such as required council or board approvals, sole source expectations or other potential issues that could delay project expectations.
  - d. Applicants should also budget travel/lodging expenses for teams of individuals who share responsibility for the project management and implementation efforts to attend one 2-day meeting during the 18-month project period in the Washington, DC, area.
6. Program Continuity (5%)
- a. Applicants should describe the steps taken to secure the ongoing management and administration of the project after federal funds are depleted.

### **Review Process**

OJP is committed to ensuring a fair and open process for making awards. 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 an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications

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

for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPIS”).

**Important note on FAPIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as:

1. Applicant financial stability and fiscal integrity.
2. Quality of the management systems of the applicant, and the applicant’s ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide.

3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies.
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

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 take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

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

### **Federal Award Notices**

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires 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 OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)," available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJA expects any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the "substantial federal involvement" in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

In addition to a condition that sets out the "substantial federal involvement" in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

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

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports: Recipients typically must submit quarterly financial reports, semiannual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP website at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures: In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in

[Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

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

For OJP Contact(s), see ["Contact Information."](#)

For contact information for Grants.gov, see ["Contact Information."](#)

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

### **Provide Feedback to OJP**

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

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

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

## Application Checklist

### FY 2017 Technology Innovation for Public Safety (TIPS) Addressing Precipitous Increases in Crime

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

#### What an Applicant Should Do:

##### *Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 30)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 30)

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

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 30)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 30)

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

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 31)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 31)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 29)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 15)

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

- \_\_\_\_\_ (1) application has been received,
- \_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 31)

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

- \_\_\_\_\_ contact BJA regarding experiencing technical difficulties (see page 31)

#### Overview of Post-Award Legal Requirements:

- \_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

#### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of up to \$500,000.

**Eligibility Requirement:** refer to the eligibility requirements on the [title page](#).

## What an Application Should Include:

_____	Application for Federal Assistance (SF-424)	(see page 16)
_____	Intergovernmental Review	(see page 16)
_____	Statement of Eligibility	(see page 17)
_____	Project Abstract	(see page 17)
_____	Program Narrative	(see page 21)
_____	Budget Detail Worksheet	(see page 21)
_____	Budget Narrative	(see page 21)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 23)
_____	Tribal Authorizing Resolution (if applicable)	(see page 24)
_____	Financial Management and System of Internal Controls Questionnaire and Disclosure of High Risk (if applicable)	(see page 24)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 25)
_____	Additional Attachments	
_____	_____ Applicant Disclosure of Pending Applications	(see page 25)
_____	_____ Research and Evaluation Independence and Integrity	(see page 26)
_____	Disclosure of Process related to Executive Compensation	(see page 27)
_____	Request and Justification for Employee Compensation Waiver (if applicable)	(see page 14)