

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS), in partnership with the FBI's Criminal Justice Information Services (CJIS) Division, seeks applications to provide implementation and technical assistance support services to the National Crime Statistics Exchange (NCS-X) Initiative. This NCS-X Implementation Team will be responsible for NCS-X project management and coordination; program development, recruitment, and implementation; marketing and outreach; and technical and analytic support. NCS-X is an effort to generate nationally representative incident-based data on crime and arrest known to law enforcement (LE) by recruiting a scientifically selected sample of 400 LE agencies to provide their crime incident data to the FBI's National Incident-Based Reporting System. This program furthers the Department's mission by improving the nation's crime data, promoting effective crime prevention planning and public safety.

## **FY 17 National Crime Statistics Exchange (NCS-X-State) Project: Technical Assistance and Implementation Support**

**Applications Due: July 17, 2017**

### **Eligibility**

Eligible applicants are limited to nonprofit and for-profit (commercial) organizations (including tribal nonprofit and for-profit organizations), organizations, and institutions of higher education (including tribal institutions of higher education). For-profit organizations (and other recipients) must forgo any profit or management fee. Eligible nonprofit organizations must be exempt from taxation under section 501(a) of the Internal Revenue Code of 1986, and have a 501(c)(3) designation.

BJS welcomes applications that involve two or more entities that would carry out the federal award; however, one eligible entity must be the applicant. Any other(s) must be proposed as subrecipient(s) ("subgrantees").<sup>1</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding, managing the entire project, and appropriately managing and monitoring any subrecipients or, as applicable, for administering any procurement subcontract that would receive federal funds from the applicant under the award. 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.

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

BJS may elect to fund applications submitted under this fiscal year 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](http://Grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on July 17, 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 operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the BJS contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. 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 requirements of this solicitation, contact Alexia Cooper, NCS-X Program Manager, by telephone at 202-307-0765, or by email at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include “NCS-X TAIS” in the subject line. General information on applying for BJS awards may be found at <http://www.bjs.gov/index.cfm?ty=fun>.

Grants.gov number assigned to this solicitation: BJS-2017-12780

Release date: June 16, 2017

## Contents

A. Program Description .....	4
Overview .....	4
Program-Specific Information .....	5
Goals, Objectives, and Deliverables .....	13
B. Federal Award Information.....	21
Type of Award .....	21
Financial Management and System of Internal Controls.....	22
Budget Information.....	22
Cost Sharing or Match Requirement .....	23
Pre-Agreement Costs (also known as Pre-award Costs).....	23
Limitation on Use of Award Funds for Employee Compensation; Waiver .....	23
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	24
Costs Associated with Language Assistance (if applicable) .....	24
C. Eligibility Information.....	24
D. Application and Submission Information .....	24
What an Application Should Include .....	24
How to Apply .....	37
E. Application Review Information.....	40
Review Criteria.....	40
Review Process .....	40
F. Federal Award Administration Information .....	42
Federal Award Notices .....	42
Administrative, National Policy, and Other Legal Requirements .....	42
General Information about Post-Federal Award Reporting Requirements .....	43
G. Federal Awarding Agency Contact(s) .....	44
H. Other Information.....	44
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a) .....	44
Provide Feedback to OJP .....	44
Application Checklist .....	46

# **FY 17 National Crime Statistics Exchange (NCS-X-State) Project: Technical Assistance and Implementation Support (CFDA # 16.734)**

## **A. Program Description**

### **Overview**

The FBI Criminal Justice Information Services (CJIS) Division established and maintains the National Incident-Based Reporting System (NIBRS), a part of the FBI's Uniform Crime Reporting (UCR) Program. Currently, about 6,600 of the nearly 18,000 law enforcement (LE) agencies in the United States report their crime and arrest data to the UCR in the NIBRS format. Additional agencies continue to transition to NIBRS; however, at present, data submitted by the NIBRS-reporting agencies cannot be used to generate national-level estimates of crime known to LE. To generate national estimates based on the NIBRS data, the Bureau of Justice Statistics (BJS) and FBI CJIS are co-sponsoring the National Crime Statistics Exchange (NCS-X) Initiative. NCS-X seeks to transition a scientifically selected sample of 400 LE agencies from across the country to NIBRS, including all of the largest agencies.<sup>2</sup> Once these 400 agencies have transitioned to NIBRS reporting, NIBRS data will be sufficient to produce timely, accurate, and detailed national measures of crime and arrest needed and expected by today's LE professionals, policymakers, and the public.

BJS seeks applications from organizations or project teams to serve as the NCS-X Implementation Team and provide implementation and technical assistance support services to NCS-X grantees, sample agencies, state UCR Programs, and other NCS-X stakeholders. This team will work closely with BJS and FBI CJIS to transition the NCS-X sample agencies to NIBRS-compliant reporting. In collaboration with BJS and FBI CJIS staff, the NCS-X Implementation Team will provide services across six primary program components:

- 1) NCS-X project management—effectively manage and coordinate all aspects of implementation and technical assistance for NCS-X across all program components
- 2) NCS-X program recruitment—conduct aggressive outreach to state UCR Programs and local LE agencies to garner support for and participation in the NCS-X Initiative
- 3) Technical and implementation assistance to NCS-X agencies—work directly with state UCR Programs and local LE agencies to discuss the specific needs of the agencies when transitioning to NIBRS-compliant reporting, including current agency capabilities, barriers to reporting, and business practices surrounding crime data reporting
- 4) NCS-X program development—assess current program materials and update as needed, including Concept of Operations planning documents, playbooks for NIBRS implementation at the state and local agency levels, and readiness assessment (RA) and cost estimation documents; and develop new materials to support state UCR Programs and local LE agencies, as required

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<sup>2</sup>For additional information about the NCS-X sample of agencies, see [http://www.bjs.gov/content/pub/pdf/NCSX\\_sampled\\_agencies.pdf](http://www.bjs.gov/content/pub/pdf/NCSX_sampled_agencies.pdf).

- 5) Marketing and outreach—revamp and refresh current program description materials; work with BJS to expand information available on BJS’s NCS-X website; develop new infographics and other appropriate marketing materials to describe various aspects of the NCS-X Initiative; conduct webinars about the transition to NIBRS reporting among state and local agencies; and design and implement other marketing and outreach activities, as required
- 6) Analytic support and reporting—conduct methodological and statistical analysis of NIBRS and other data to (a) provide use-cases for NIBRS; (b) provide analytic models for data analysis to state UCR Programs and local LE agencies; (c) track progress toward full implementation of NCS-X; (d) provide feedback to state UCR Programs and local agencies regarding data quality and completeness; and (e) assist BJS and FBI CJIS in the development of reports and other statistical products using NIBRS/UCR data to further NCS-X program objectives.

The proposed NCS-X Implementation Team must have (1) substantial expertise with the relevant substantive and statistical issues addressed in the solicitation; (2) the personnel and technology infrastructure necessary to complete the large-scale, multifaceted program recruitment activities; effectively manage and execute implementation and technical assistance support services; and provide effective marketing, outreach, and analytic support to NCS-X grantees and the broad diverse community of NIBRS/UCR stakeholders; and (3) sufficient administrative capabilities necessary to successfully undertake a project of this scope and complexity.

**Authorizing Statutes:** Under Section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to “make grants to, or enter into cooperative agreements or contracts with, public agencies, institutions of higher education, private organizations, or private individuals” for purposes of collecting and analyzing criminal justice statistics. BJS is authorized to issue this solicitation under 42 U.S.C. § 3732(c).

### **Program-Specific Information**

The NCS-X is a partnership between BJS and FBI CJIS to expand NIBRS to support the production of nationally representative incident-based crime statistics as a strategic first step toward a full transition to NIBRS-only crime reporting. At the outset of the project, BJS and FBI CJIS signed a joint statement of support for NCS-X ([http://www.bjs.gov/content/pub/pdf/NCS-X\\_FBI\\_BJS%20Joint\\_Statement.pdf](http://www.bjs.gov/content/pub/pdf/NCS-X_FBI_BJS%20Joint_Statement.pdf)). NCS-X aims to enroll a sample of 400 scientifically selected LE agencies to submit data to NIBRS. When data from these 400 new NIBRS-reporting agencies are combined with data from the more than 6,600 agencies that currently report to NIBRS, the nation will have a nationally representative sample of incident-based crime data drawn from the operational records management systems (RMS) of local police departments.<sup>3</sup> These incident-based data will capture the attributes and circumstances of criminal incidents and allow for more detailed, transparent descriptions of crime in communities and nationwide.

The FBI has formally announced its intention to establish NIBRS as the nation’s sole UCR crime data reporting standard. The FBI UCR Program will retire the Summary Reporting System (SRS) and move to a NIBRS-only program by January 1, 2021. The NCS-X sample-based approach to enrolling new NIBRS reporting agencies will enable the production of national estimates of crime based on incident-based data, while the FBI continues transitioning the

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<sup>3</sup>Total number of NIBRS reporting agencies in 2015 is available at [https://ucr.fbi.gov/about-us/cjis/ucr/nibrs/2015/resource-pages/nibrs-2015\\_summary\\_final-1.pdf](https://ucr.fbi.gov/about-us/cjis/ucr/nibrs/2015/resource-pages/nibrs-2015_summary_final-1.pdf).

remaining U.S. LE agencies to NIBRS. The sample of 400 agencies has been drawn, including a subset of additional agencies held in reserve to replace agencies that may decline to participate or accommodate other needs for replacement. The list of sample agencies identified for NCS-X is available on the BJS website at [http://www.bjs.gov/content/pub/pdf/NCSX\\_sampled\\_agencies.pdf](http://www.bjs.gov/content/pub/pdf/NCSX_sampled_agencies.pdf).

#### *Status of UCR crime reporting among states and local LE agencies*

Each year, the FBI UCR Program collects and compiles crime data from more than 18,000 LE agencies across the United States. Agencies report crime to the FBI in one of two ways: (a) monthly counts of 10 specific crime types through the SRS, or (b) detailed incident-based records of 52 offense types covering the complete range of crimes through the NIBRS. Submitting crime data to the FBI is voluntary, although some states have made reporting mandatory or a prerequisite for grant funding. Of the approximately 18,000 LE agencies in the United States that reported crime data to the UCR Program in 2015, about 64% reported to the SRS, and 36% reported to NIBRS.<sup>4</sup>

The typical mechanism by which a local LE agency contributes data to NIBRS is through its “state pipeline,” where agencies report their state-specific incident-based crime data to the NIBRS-certified UCR Program in their respective state, and the state agency then sends NIBRS-formatted data from all of the state’s contributing agencies to the FBI. While the FBI does accept NIBRS data directly from a small number of LE agencies, the preferred route of reporting is through the state UCR Program.

As of June 2017, the FBI has certified a total of 34 state UCR Programs to report NIBRS data to the national system. States certified by the FBI to report to NIBRS have established a state incident-based reporting (IBR) standard mandatory for local agencies to use. A number of the state IBR standards instituted to date differ from the FBI NIBRS standard, as some states require the collection and submission of additional data elements or data values as part of their state IBR standard. State UCR Programs are responsible for working with local LE agencies to ensure that IBR data are collected according to the NIBRS or state IBR rules and that data are submitted to the state UCR Program in the proper format. State UCR Programs also take responsibility for converting the incident-based data received from local LE agencies into the NIBRS format for submission to the FBI.

Of the 34 NIBRS certified states, 17 report only NIBRS data from their local LE agencies, while the remaining 17 are hybrid states that receive NIBRS-compatible data from some LE agencies and SRS data from others. The proportion of LE agencies that report incident-based data in these hybrid reporting states varies greatly, ranging from less than 10% to more than 80% of agencies. The remaining 16 states and the District of Columbia do not have a NIBRS-certified UCR Program. Fifteen of these 16 states report only SRS data, while the remaining state has no state-level UCR Program. The following table provides a list of states by type of crime reporting.

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<sup>4</sup>As reported by the FBI, December 2016. See [https://ucr.fbi.gov/about-us/cjis/ucr/nibrs/2015/resource-pages/nibrs-2015\\_summary\\_final-1.pdf](https://ucr.fbi.gov/about-us/cjis/ucr/nibrs/2015/resource-pages/nibrs-2015_summary_final-1.pdf).

<b>Type of crime reporting, by state</b>		
SRS only	SRS and NIBRS	NIBRS only
AK	AZ	AR
AL	CT <sup>b</sup>	CO
CA	KS	DE
FL	LA	IA
GA	MA	ID
HI	ME	KY
IL	MN	MI
IN	MO	MT
MD	NE	ND
MS <sup>a</sup>	OH	NH
NC	OK	SC
NJ	OR	SD
NM	PA	TN
NV	RI <sup>b</sup>	VA
NY	TX	VT
WY	UT	WV
	WA	
	WI	

Note: Excludes the District of Columbia.  
<sup>a</sup>Does not have a state-level UCR Program.  
<sup>b</sup>No agencies in these states were selected for the main NCS-X sample.

Encouraging development of state UCR Programs and expanding their capacity to receive and process incident-based data will build each state’s infrastructure—goals consistent with the FBI’s approach to obtaining NIBRS data and with the objectives of BJS’s authorizing statute.<sup>5</sup> The state-based approach provides states an enduring NIBRS presence that is essential for effectively managing data submissions beyond the initial conversion of NCS-X sampled agencies to NIBRS and for understanding and addressing any NIBRS data quality issues that arise. Additionally, in the majority of states, local LE agencies are currently submitting aggregate (summary) and incident-based crime statistics to, and have established relationships with, their state’s UCR Program. State UCR Programs support effective management of the data submission and review process and the analytic use of these data.

Building and enhancing a state’s data management capacity establishes the infrastructure needed to support the NCS-X goal to recruit the sample of 400 local LE agencies to participate in NIBRS. With certified and capable state UCR Programs in place, the sampled agencies that agree to participate in NIBRS will have a place in their state to send their local agency data.

<sup>5</sup>From 42 USC § 3731, identifying the statement of purpose for establishing BJS: “...to support the development of information and statistical systems at the Federal, State, and local levels to improve the efforts of these levels of government to measure and understand the levels of crime, juvenile delinquency, and the operation of the criminal justice system.... The Bureau shall utilize to the maximum extent feasible State governmental organizations and facilities responsible for the collection and analysis of criminal justice data and statistics.”

Enhancing capacity at the state will also position the state UCR Programs to better accommodate the full transition to NIBRS reporting by January 2021.

In fiscal year (FY) 2015 and FY 2016, BJS awarded more than \$13 million to state UCR Programs to support state NIBRS programs through the NCS-X program.<sup>6</sup> Award decisions were made in coordination with the FBI, with funding provided to 21 states during the 2 fiscal years: Alabama, California, Florida, Hawaii, Illinois, Kansas, Louisiana, Maine, Maryland, Minnesota, Missouri, Nebraska, Nevada, New Jersey, New York, Oklahoma, Pennsylvania, Utah, Washington, Wisconsin, and Wyoming. A third of state UCR Programs received planning awards to establish a new NIBRS reporting program or substantially expand capacity in an existing NIBRS program. The remaining awards to state UCR Programs supported full implementation of a new or expanded NIBRS program. Additional information about current NCS-X funding to state UCR Programs is included below.

<b>NCS-X funding to state UCR Programs</b>			
<b>Funding Type</b>	<b>Total Awards</b>	<b>Project Period</b>	<b>Total funding awarded</b>
Planning awards	7	Maximum of 12 months	\$2,873,917
Implementation awards	14	Maximum of 36 months	\$9,983,841
Supplemental funding to select grantees	3	Variable; not to exceed original award project period	\$520,523

In addition to the 21 states that received an NCS-X planning or implementation award, four states have begun their own state-funded and state-led effort to establish a NIBRS program.<sup>7</sup> Twenty states are considered ineligible for NCS-X funding under this solicitation, as they each have a certified NIBRS state reporting program to which more than 80% of LE agencies in the state report. Alaska, Arizona, Mississippi, and New Mexico have not received NCS-X funding to date.

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<sup>6</sup>BJS awarded \$7.4 million in FY 2015 and \$5.5 million in FY 2016 in new grant awards to support NIBRS efforts among state UCR Programs. In addition, BJS awarded \$520,523 in FY 2016 in additional supplemental funding to select grantees.

<sup>7</sup>Texas and Oregon are already certified to report NIBRS data to the FBI UCR Program. Both are working to expand the number of local LE agencies reporting IBR data to the state. The state-led efforts in Georgia and Indiana are to establish a certified NIBRS program within their respective state UCR Programs. The NCS-X sample agencies in all four states are still eligible for funding support and technical assistance through the NCS-X Initiative.



<b>NCS-X status, by state</b>							
Not eligible			State-led*	Awarded NCS-X funding			Not funded
Complete NIBRS	>80% NIBRS			Planning	Implementation		
AR	ND	CT	GA	CA	AL	NE	AK
CO	NH	MA	IN	FL	HI	NJ	AZ
DE	SC	OH	OR	IL	KS	NY	MS†
IA	SD	RI	TX	MD	LA	OK	NM
ID	TN			NV	ME	PA	
KY	VA			WI	MN	UT	
MI	VT			WY	MO	WA	
MT	WV				NC^		
*State UCR Program does not require NCS-X funding for NIBRS implementation or expansion.							
^State received support through NCS-X pilot funds.							
†State does not have a UCR Program.							

*NCS-X sample agencies and status of implementation*

The NCS-X sample of 400 LE agencies is a stratified random sample composed of 12 strata based on the government type of the LE agency (i.e., state, county or township, municipal, or tribal) and number of sworn officers. The sample of 400 agencies was drawn from the set of agencies not reporting NIBRS data in 2011 and stratified based on agency type and agency-level sworn officer counts. The strata break down as follows:

<b>NCS-X sample strata description and size of agencies</b>	
Stratum 1	2011 NIBRS participants
Strata 2–12	Non-NIBRS agencies in 2011
Stratum 2	Agencies with 750 officers or more (any agency type)
Stratum 3	State agencies with 1–749 officers
Stratum 4	State or municipal agencies with official officer count of zero
Stratum 5	County or township agencies with 36–749 officers
Stratum 6	County or township agencies with 0–35 officers
Stratum 7	Municipal agencies with 181–749 officers
Stratum 8	Municipal agencies with 61–180 officers
Stratum 9	Municipal agencies with 16–60 officers
Stratum 10	Municipal agencies with 1–15 officers
Stratum 11	Remaining nontribal agencies (any type and size)
Stratum 12	Tribal agencies

Stratum 2 agencies were selected with certainty, while strata 3–12 agencies were selected with varying probabilities of selection. In total, the sample is comprised of 72 certainty agencies (from stratum 2), 319 probability agencies (from strata 3–11), and 9 tribal agencies (from stratum 12). The number of NCS-X sample agencies by state is provided below.

<b>Number of NCS-X sample agencies, by state</b>				
	<b>Sample agencies</b>			
<b>State</b>	<b>Certainty</b>	<b>Probability</b>	<b>Tribal</b>	<b>Total</b>
AK	0	1	0	1
AL	1	10	0	11
AZ	3	5	1	9
CA	14	28	0	42
CO	0	4	0	4
DC	1	0	0	1
FL	9	23	0	32
GA	2	18	0	20
HI	1	0	0	1
ID	0	0	1	1
IL	1	25	0	26
IN	2	14	0	16
KS	0	2	0	2
KY	1	2	0	3
LA	3	7	0	10
MA	1	2	0	3
MD	5	1	0	6
ME	0	2	0	2
MN	1	8	0	9
MO	2	13	0	15
MS	0	4	1	5
NC	1	17	0	18
ND	0	0	1	1
NE	1	3	1	5
NJ	3	26	0	29
NM	1	4	1	6
NV	1	2	0	3
NY	4	17	0	21
OH	0	6	0	6
OK	1	6	0	7
OR	2	2	1	5
PA	3	27	0	30
TX	7	27	0	34
UT	0	2	0	2
WA	1	2	2	5
WI	0	7	0	7
WY	0	2	0	2
Totals	72	319	9	400

As of the publication of this funding opportunity, the NCS-X Initiative has successfully convened grant projects with all but four of the eligible state UCR Programs (i.e., state UCR Programs that

are either SRS-only or that receive NIBRS data from fewer than 80% of LE agencies in the state).<sup>8</sup> In addition, approximately half of the largest LE agencies in the sample (those with 750 or more sworn officers) have been recruited and are actively working on their transition to NIBRS reporting.<sup>9</sup> This includes [16 direct NCS-X awards in FY 2016](#) to large local LE agencies totaling \$18.7 million.<sup>10</sup>

A number of sample agencies are working with their state UCR Programs or with the State Administering Agency to receive NCS-X implementation support, often through a pass-through funding mechanism. To date, BJS estimates that roughly half of the 319 probability agencies will be supported in this manner. NCS-X project staff are working closely with state agencies to develop plans to transition the NCS-X sample agencies to NIBRS, including the development of—

- letters of commitment from NCS-X sample agencies, supporting participation in NCS-X and the transition to NIBRS reporting
- memoranda of understanding/agreement between state and local agencies, outlining the specific sample agency project activities, proposed timelines, deliverables, and responsibilities of each agency
- budget worksheets, detailing the amount of funding requested by the sample agency and how those funds will be used.

The recipient of funds will be provided additional information on the status of the NCS-X Initiative and the agencies currently working to transition to NIBRS.

#### *Coordination of NCS-X program activities through the NCS-X Implementation Team*

BJS and the FBI coordinate NCS-X program activities through the NCS-X Implementation Team. All NCS-X grantees are required to work with the Implementation Team on their project activities, and NCS-X Implementation Team members participate in monthly project calls with current grantees. Further, NCS-X grantees and sample agencies are encouraged to consult with the NCS-X Implementation Team for technical assistance on their projects. The NCS-X Implementation Team is responsible for managing multiple requests for information or assistance from state UCR Programs and local LE agencies.<sup>11</sup>

The NCS-X Implementation Team will conduct RAs with NCS-X sample agencies. An RA intends to assess an agency's capabilities and barriers to collecting and reporting crime incident data according to the state UCR Program's state-specific IBR standard or to the FBI's NIBRS standard. RAs consist of onsite meetings with staff from LE agencies to (1) document an agency's capacity to report data to the state IBR program or NIBRS, (2) determine if the agency collects the required IBR data elements, (3) determine if the agency's system(s) contains the necessary data validation and edit checks, and (4) evaluate the agency's ability to produce IBR

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<sup>8</sup>The four remaining states are Alaska, Arizona, Mississippi, and New Mexico. Mississippi does not currently have a state-level UCR Program.

<sup>9</sup>For additional information about the NCS-X sample of agencies, see [http://www.bjs.gov/content/pub/pdf/NCSX\\_sampled\\_agencies.pdf](http://www.bjs.gov/content/pub/pdf/NCSX_sampled_agencies.pdf).

<sup>10</sup>Since FY 2015, BJS, in partnership with FBI's CJIS, has obligated \$32.2 million to state UCR Programs and local LE agencies in support of NCS-X implementation.

<sup>11</sup>Technical assistance provided by the NCS-X Implementation Team should complement the NIBRS technical assistance and support provided by FBI's CJIS. The recipient of funds will be briefed by FBI's CJIS during the kick off meeting regarding the types of technical assistance being offered by FBI's CJIS.

data files for submission to the state UCR Program or directly to the FBI as applicable.<sup>12</sup> RAs result in a report detailing the capabilities of the local RMS to generate the required data elements, document changes necessary for the agency to make the conversion, and present a preliminary estimate of the cost of converting the local RMS to support state-specific or NIBRS-compliant IBR. Interested applicants may review the NCS-X RA forms at <http://www.bjs.gov/content/ncsx.cfm>.

RAs with local agencies include the following activities:

1. Review the agency's crime incident data capture form to ensure that the IBR data elements are being collected or to identify the gaps.
2. Review the RMS schema to determine if the IBR data elements are already defined in the existing database(s). If not, determine which ones are not defined in the system.
3. Review the RMS edit checks to determine the extent to which the IBR-required edits (including the conditional edits) are already included in the data entry capture or subsequent validation.
4. Determine whether a data extract program exists. If it does not, evaluate the level of effort required to create an extract program that would pass certification with the state or FBI (as applicable).
5. Brief the agency's executive leadership team on the findings of the RA.
6. Prepare a report summarizing the findings, and provide the agency with a copy of this report.
7. Discuss options with the agency for addressing any gaps identified during the assessment, and determine the work efforts, resources, and costs associated with those options.

To date, the NCS-X Implementation Team has conducted more than 100 RAs with local LE agencies in support of the NCS-X program. The majority of the RAs completed to date were conducted with the largest agencies in the NCS-X sample (i.e., those agencies with 750 or more sworn officers). The NCS-X Implementation Team is the primary source for technical assistance on facilitating and completing RAs, including (1) conducting outreach, (2) preparing for the assessment, (3) working with local agencies to better understand their systems and the manner in which incident-based data may be extracted from those systems, (4) conducting follow-up briefings, and (5) writing reports summarizing the findings of the RAs for each agency.

As part of the NCS-X Initiative, state UCR Programs are encouraged to develop a state-level implementation plan for recruiting NCS-X agencies in their state and managing the transition to NIBRS-compliant reporting among those agencies. The NCS-X Implementation Team, in addition to BJS and FBI CJIS staff, will work with the state UCR Programs to coordinate state-level efforts to engage local agencies. This includes attending or facilitating onsite meetings between state UCR Programs and local agencies to discuss NCS-X, conducting "train the trainer" sessions with state UCR Programs on how to complete RAs with local agencies, providing informational materials to agencies, and working with state and local agencies to develop their NIBRS transition plans, among other aspects of technical assistance and support.

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<sup>12</sup>RAs may also be conducted via videoconference or teleconference, depending on the circumstances of the sample agency and the state in which the agency is located. Determination of the venue for the RA is based on input from the local agency and other project commitments.

### *Resources developed to support NCS-X implementation and the broader NIBRS transition*

To date, the NCS-X Implementation Team, in collaboration with BJS and FBI CJIS, has developed a suite of materials designed to assist state UCR Programs' and local LE agencies' transitions to IBR. Those resources are listed below and are available for reference on the BJS NCS-X website at <https://www.bjs.gov/content/ncsx.cfm>.

#### Resources for state UCR Programs:

- Concept of Operations planning document
- State Playbook for transitioning to IBR
- Implementation planning guide
- Presentation on how to estimate state UCR Program costs of transitioning to NIBRS/IBR
- Readiness assessment toolkit for conducting outreach and IBR planning with local agencies.

#### Resources for local LE agencies:

- Local Playbook for transitioning to IBR
- Presentation on how to estimate local agency costs associated with transitioning to IBR
- Readiness assessment forms for assessing local agency ability to report IBR/NIBRS-compliant data
- Montgomery County, MD Police Department case study of their transition to NIBRS.

#### General NCS-X/NIBRS resources:

- NCS-X trifold brochure
- Presentation on the implementation status of NCS-X
- Analytic reports using NIBRS data.

In addition, FBI CJIS has been hosting a series of regional NIBRS trainings designed to provide an overview of NIBRS and NCS-X. FBI CJIS has invited state UCR Programs and NCS-X sample agencies to participate. As of the publication of this funding opportunity, two regional trainings have taken place, and three more are slated to take place from June to September 2017. Staff from BJS, FBI CJIS, and the current NCS-X Implementation Team is presenting information on NCS-X and transitioning to IBR. Staff is also meeting one on one with representatives from state UCR Programs and sample agencies to recruit them to participate in NCS-X and support their NIBRS/IBR planning efforts.

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

The NCS-X Implementation Team funded by this solicitation must provide effective implementation and technical assistance support services to the NCS-X Initiative, including project management and coordination; program development, recruitment, and implementation; marketing and outreach; and technical and analytic support.

#### *Statement of Work and Deliverables*

The following statement of work is divided into six components with associated deliverables. The components need not be approached in the application in the order they appear in the solicitation, as many of the project tasks associated with each component will occur concurrently. Applicants have flexibility to propose a task and activity order and timeline which

they believe is logical and reasonable. BJS and FBI CJIS expect that each of the project components will be ongoing over the course of the project period.

### **Component 1: NCS-X project management**

Manage and coordinate all aspects of implementation and technical assistance for NCS-X across all program components. The recipient of funds will provide appropriate administrative support to ensure tasks are completed on time and on budget, coordinate with NCS-X grantees on an ongoing basis, and provide general NCS-X implementation support to BJS and FBI CJIS.

Applicants should plan for at least one in-person meeting per year between key project staff, BJS, and FBI CJIS. The meeting(s) location may be the BJS offices, FBI CJIS headquarters, or the applicant's location, as determined collaboratively between the recipient of funds and BJS. The timing and content of the meeting(s) will be determined based on project needs and may vary from year to year. Organizations not located in the Washington, DC, metropolitan area should plan to travel to attend meetings with BJS.

When considering a communications plan, the applicant should balance the need to keep BJS apprised of all project activities with the need to keep project costs to a minimum. Specifically, applicants should consider limiting the frequency of meetings or reducing the number of staff who attend to minimize costs. Email correspondence, teleconferences, and video conferences should also be considered as alternatives when feasible.

The application must address the following set of tasks, in addition to any other tasks proposed by the applicant:

1. **Project timeline:** Within 3 weeks of the award start date, the recipient of funds will meet with BJS and FBI CJIS to discuss the proposed tasks. The recipient will then develop a detailed timetable outlining the dates on which each task will be undertaken or completed (as applicable), the date of each deliverable and status report, and the dates of scheduled meetings, to the greatest extent possible.
2. **Meetings:** The applicant will conduct meetings with specific organizations to inform project planning, development, and management. These meetings include, but are not limited to—
  - a. kick-off meeting—initial project meeting, to be held in person at BJS, to discuss plans and schedule activities for the project period
  - b. monthly project progress calls—conference calls between BJS and the grantee to discuss project status, funds expended under the award, and planning for future activities of the NCS-X Implementation Team, conducted once a month
  - c. NCS-X Implementation Team status calls—conference calls between BJS, FBI CJIS, and the grantee to discuss project progress and status, conducted every 2 weeks
  - d. monthly grantee status meetings—conference calls between BJS, FBI CJIS, the NCS-X Implementation Team, and NCS-X grantee organizations to discuss project progress and status for each NCS-X award, funds expended under the award to date, and planning for future activities, generally conducted once a month
  - e. other recurring or ad-hoc meetings as determined in the project plan and as necessary during the project period.

3. NCS-X program support to BJS: Provide program support to BJS in the development of research agendas, drafting of concept papers, reviewing contractor or grantee documents, and other program administration activities, as needed.
4. Project information sharing: Develop content for a portal/website through which BJS, FBI CJIS, and the NCS-X Implementation Team may share project documents, timelines, and details on current status of states and sampled agencies. All NCS-X project staff, both federal and contract, should have access to read and write within this portal.
5. Status reporting to BJS and FBI CJIS: Includes—
  - a. monthly written reports that update the status of project tasks and award expenditures
  - b. quarterly status reports on the states and sampled agencies, such as number of contacts during the period, status of grant funded activities when applicable, technical assistance requested, and outreach conducted, among other items
  - c. interim reports outlining the activities and findings, as applicable, for each project period
  - d. other reports as determined in the project plan.

*Project management deliverables:*

- A written timeline for the entire project (all tasks) with the tasks more fully specified
- Monthly progress reports, due within 10 business days after the end of each month or at least 1 week prior to monthly project progress calls, as applicable and as agreed on between the recipient of funds and BJS
- Quarterly reports on the implementation status across NCS-X states and local agencies, as described above
- Interim and other reports as required

**Component 2: NCS-X program recruitment**

The NCS-X Implementation Team must conduct outreach to state UCR Programs and local LE agencies to garner support for and participation in the NCS-X Initiative. As discussed above, the NCS-X seeks to recruit and transition 400 sample agencies to report data to their state UCR Program or directly to the FBI's NIBRS.

The application must outline how the following work will be accomplished:

1. Conduct state and local agency recruitment throughout the life of NCS-X, including continuous communications and outreach activities, and development of recruitment marketing materials.
  - a. Assign lead NCS-X partners to oversee and support each of the states and 400 sampled agencies.
  - b. Determine the appropriate contact persons in each state and the sampled agencies for different aspects of crime data collection and reporting (e.g., UCR coordinator and CJIS Systems Officer (CSO)).
2. Conduct RAs with local LE agencies in coordination with BJS, FBI CJIS, and state UCR Program staff.

- a. Implement a “train the trainer” program in applicable states.
- b. Work with NCS-X sample agencies to fill out self-assessment RA forms, for use by the Implementation Team and state UCR Program staff for NIBRS transition planning.
3. Work with BJS to determine when replacements for sample agencies should be recruited.
4. Encourage states and local agencies to apply for upcoming BJS solicitations.

*Recruitment deliverables:*

- Plan that prioritizes outreach to remaining local LE agencies in the NCS-X sample.
- Plan for conducting outreach to sample agencies, which may include email communications, hard copy letters, webinars, in-person meetings, teleconferences, and videoconferences.
- A formal “train the trainer” program for state UCR Programs to learn how to conduct NCS-X RAs with local LE agencies.

**Component 3: Technical and implementation assistance to NCS-X agencies**

Technical and implementation assistance will include a broad range of tasks to support (1) state UCR Programs as they establish a NIBRS reporting component or expand an existing NIBRS program to accommodate reporting from additional LE agencies in the state, and (2) the transition of the NCS-X sample of 400 LE agencies to NIBRS/state IBR reporting. This assistance primarily seeks to work with states and sample agencies to identify how that agency will transition to NIBRS/IBR. Applicants should describe how they will work directly with state UCR Programs and local LE agencies to discuss the specific requirements for those agencies to transition to NIBRS/state IBR, including current agency capabilities, barriers to reporting, and business practices associated with recording, managing, and reporting incident-based data.

Many aspects of technical and implementation assistance for NCS-X are predicated on the needs of the state UCR Programs and local agencies. Applicants should anticipate that specific technical and implementation assistance needs will change over the life of this award. Technical and implementation assistance activities must be coordinated with BJS and FBI CJIS, to minimize duplication of effort and provide the best resources to support the requested assistance. In addition, FBI CJIS offers technical assistance to LE agencies and state UCR Programs, and the NCS-X Implementation Team should coordinate with FBI CJIS to leverage those resources. BJS expects that the recipient of funds will serve as the NCS-X Implementation Team and will, at a minimum, carry out the following work:

1. assist BJS in coordinating activities of state UCR Program and local LE agency grantees awarded funding from the NCS-X implementation assistance program
2. conduct RAs with NCS-X sample agencies to determine the technical, staffing, and other resources needed to transition to NIBRS/state IBR
3. provide support and consultation to state UCR Programs and local LE agencies for the process of procuring new or enhanced technology that directly supports their transition to IBR
4. align technical and implementation assistance efforts between state UCR Programs and the NCS-X sample agencies within that state, to the extent possible



5. consult with state UCR Programs to develop a roadmap for each state that builds state capacity for IBR or enrolls NCS-X sampled agencies in the state, as applicable
6. assess the technical, staffing, and funding needs for reporting NIBRS data, for use by FBI CJIS in converting additional agencies beyond the 400 NCS-X sample agencies
7. perform a variety of tasks in support of the data submission process for newly participating agencies, as coordinated by the BJS NCS-X project lead:
  - a. interface with agencies about issues of data quality issues as they transition to NIBRS reporting
  - b. manage tasks, in conjunction with project grantees, for the implementation of new or modified information systems within new participant agencies, ensuring that data entered into those systems meet rigorous quality and statistical standards
  - c. assist states and local agencies in testing their data submissions via a precertification tool to ensure data meet the NIBRS business rules and adhere to data quality and submission standards<sup>13</sup>
8. develop a suite of training materials for use by state UCR Programs and local LE agencies
  - a. coordinate with the FBI to understand existing FBI training opportunities, ensuring new training materials developed under this award are complementary of FBI efforts, not duplicative of existing resources, and provide consistent messaging, to the extent possible
  - b. assist in the development of state-specific IBR training materials, including webinars, customizable web-based training curricula, materials for use by local agencies in Peace Officer Standards and Training and other officer training, and other materials as needed
  - c. provide agency-specific guidance on data entry and coding, as needed
  - d. provide “best practice” models to local LE agencies on business practices associated with recording, managing, and reporting incident-based data, including best practices for incident data review, verification, record certification, and auditing.

*Technical and implementation assistance deliverables:*

- A repository of procurement documents from NCS-X grantees
- Documentation of RAs conducted by the implementation team
- Repository of information on which RMS service providers are being used by NCS-X sample agencies
- Protocol for helping state UCR Programs and local LE agencies assess the quality and completeness of their incident-based data, including guidance on improving their business practices for recording, managing, and reporting crime incident data

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<sup>13</sup>Both FBI's CJIS and BJS have precertification tools available for use by state UCR Programs and local LE agencies to test their data submissions. The successful applicant will be provided additional information about these precertification tools.

- State-specific IBR training materials, for review by BJS, FBI CJIS, and the relevant state UCR Program(s)

#### **Component 4: NCS-X program development**

NCS-X program development activities will include (but are not limited to) assessing current program materials, such as Concept of Operations planning documents, playbooks for NIBRS implementation at the state and local agency levels, and RA and cost estimation documents. Program development will also include generating new materials to support state UCR Programs and local LE agencies as they transition to IBR, as applicable.

Applicants should describe how they will manage the following activities:

- track, on a continuous basis, the NCS-X local agency recruitment efforts, and assist BJS to address contingencies (e.g., replacement of sample agencies, accounting for agencies that are no longer active)
- maintain a repository gathered from RAs with agencies, including information about the RMS used by NCS-X sample agencies, challenges (if any) to IBR cited by the agency, and elements of NIBRS-compliant reporting that agencies are not already collecting
- assess coverage for new agencies that transition to state IBR/NIBRS reporting, including both crime coverage and population coverage
- establish methods for states and local agencies to learn from one another's transition experience, such as a "community of practice" or other models of information sharing
- work with state UCR Programs and local LE agencies that have successfully implemented state IBR/NIBRS, to develop a set of "Promising Practices" for successful IBR transition and implementation.

*Program development deliverables:*

- Quarterly status report on NCS-X local agency recruitment efforts
- Contact information for all NCS-X sample agencies and state UCR Programs
- Biannual updates on NIBRS coverage, including both crime and population coverage
- Plan and produce series of "Promising Practices" documents detailing the successful transition of states or local LE agencies

#### **Component 5: Marketing and outreach in support of NCS-X and the NIBRS transition**

Marketing and outreach are critical components of the NCS-X Initiative for recruiting sample LE agencies, ensuring key stakeholders at the state and local community levels understand the goals of the program and of the broader NIBRS transition effort, and garnering buy-in from LE leadership. The recipient of funds will, among other things, update current program description materials, work with BJS to expand information available on BJS's NCS-X website, develop infographics and other marketing materials to describe various aspects of the NCS-X Initiative, conduct webinars about the transition to NIBRS reporting among state and local agencies, and develop other marketing and outreach activities, as needed.

Applicants should expect to undertake at least the following activities related to marketing and outreach for the NCS-X Initiative:

1. Facilitate interstate and interagency information sharing about the NIBRS conversion process. This may include—
  - a. Convening state-level user group via teleconference or videoconference to exchange ideas, challenges, and lessons learned. Applicants may consider leveraging existing organizations, such as the Association of State UCR Programs, Justice Research and Statistics Association, or the National Criminal Justice Association to help facilitate this user group or as a resource for pushing program information to the states.
  - b. Distributing quarterly NCS-X news update to state UCR Programs, CSOs, the RMS Service Provider community, NCS-X agency contacts, and other stakeholders, as appropriate.
  - c. Developing at least three case studies that track the progress of state UCR Programs and local LE agencies through the state IBR/NIBRS implementation process. These case studies should document the processes, workload, and costs associated with NIBRS transition, among other relevant variables.
  - d. Promoting and helping support BJS's NCS-X website as the primary access point to obtain information about NCS-X.
  - e. Establishing webinars to highlight effective practices used by the states or local agencies for ingesting, managing, and reporting IBR data.
2. Develop and implement a strategy or series of strategies for engaging elected/appointed officials (e.g., state attorney generals' offices, governors' or mayors' offices) on an as-needed basis to communicate the value of IBR at the state and local levels.
3. Develop and implement a strategy for engaging LE professional associations and other key LE stakeholders (e.g., International Association of Chiefs of Police (IACP), Major Cities Chiefs Association (MCCA), or Major County Sheriffs Association (MCSA)) to communicate the status of NCS-X implementation, the value to local LE agencies of transitioning to NIBRS, and how to leverage IBR data at the state and local levels.
4. Update, augment, and devise strategies to disseminate—
  - a. NCS-X media press kit
  - b. NCS-X flyer(s) for non-LE stakeholders
  - c. Marketing materials for key stakeholder organizations, including the IACP, MCCA, MCSA, and other LE organizations.

*Marketing and outreach deliverables:*

- Plan for facilitating interstate and interagency collaboration and information sharing
- Annual plan for quarterly NCS-X news updates, including assignment of responsibilities, content options to include, and updating implementation status metrics
- Additional content for BJS's NCS-X website
- Plan for updating and disseminating the media press kit, NCS-X informational flyers, and other marketing materials for key stakeholders

**Component 6: Analytic support for NCS-X**

The recipient of funds will conduct methodological and statistical analysis of NIBRS and other data to (a) provide use-cases for NIBRS; (b) provide analytic models for data analysis to state UCR Programs and local LE agencies; (c) track progress toward full implementation of NCS-X; (d) provide feedback to state UCR Programs and local agencies regarding data quality and

completeness; and (e) assist in the development of reports and other statistical products using NIBRS/UCR data to further NCS-X program objectives.

The recipient of funds will work directly with BJS, the FBI, and a wide variety of other stakeholder groups to demonstrate the value of NIBRS data and help generate support for the NCS-X project. This work includes helping stakeholders understand the benefits of NIBRS and how IBR works at the state and local levels. In addition, the analytic support work should showcase the data's utility at the local LE agency level to encourage the transition to state IBR/NIBRS. Analytic tasks will require conducting analysis on specific NIBRS topics to demonstrate how the data may enhance knowledge of crime for use by LE professionals, policymakers, and the public.

Applicants must anticipate undertaking the following analytical tasks in support of NCS-X program goals:

1. Provide support and consultation on analytics and how best to maximize use of IBR data at the state and local level.
2. Create customized explanations for changes in crime rates resulting from the conversion from summary reporting to NIBRS.
3. Develop standard estimation guidance and procedures and recommended report formats that effectively demonstrate the utility of NIBRS analyses for states and local agencies.
4. Produce BJS-NCS-X reports using NIBRS data on relevant topics to showcase the unique capabilities of the data. Potential analyses include, but are not limited to, those that show how NIBRS data provide insight into the nature of specific crime types (e.g., street crimes with weapons, after-school crimes by juvenile offenders, crime committed by strangers), victimization patterns of subpopulations (e.g., crimes against the elderly, juvenile victimization during after-school hours, or interracial crimes), and crime patterns that could improve LE response (e.g., daytime burglaries, school-based crime, or changing patterns of motor vehicle theft).
5. Develop a suite of analytical tools or capabilities for new NIBRS agencies which incorporate:
  - a. data quality control standards
  - b. effective methods of assessing of data quality and coverage.
6. Provide analytic and program support for NIBRS data quality and other methodological assessments; and carry out analyses of NIBRS data to produce assessments of the data quality of reported NIBRS data from state and local agencies exploring levels and patterns of missing data, use of the complete range of coding options, and variations of reporting characteristics over time.

*Analytic support deliverables:*

- Annual plan for analysis of NIBRS data to showcase the uses of the data at the state, county, and local levels, subject to BJS approval in consultation with FBI CJIS
- Plan for engaging with relevant stakeholders on additional analytic support to promote NCS-X and NIBRS

- Approved mechanism for fielding requests for analytic support from state UCR Programs and local LE agencies, with priority given to NCS-X grantees
- Analyses or text, based on analytic topics approved by BJS (in consultation with CJIS), including, on an annual basis, 2-3 “NIBRS In Action” summaries outlining NIBRS’ benefits towards informing policy, policing strategies, or activities

### **Additional project information**

This statement of work describes tasks for a 4-year project to be covered by a single award of \$3 million. Additional tasks may be determined during the course of this project and subject to actual funding available. Project design should consider this type of funding stream.

All applicants must describe how the tasks they propose for each project component will be completed and include the estimated costs associated with each task. The required task plan must include (1) a description of the specific strategies and approaches that will be used to complete the work, (2) a description of the organizational and personal capabilities and demonstration of the expertise that will enable the applicant to complete each task, and (3) cost estimates for performing the work. The application must sufficiently communicate the applicant’s knowledge of the challenges and complexities associated with the proposed activities.

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."

## **B. Federal Award Information**

BJS anticipates making one award in the amount of \$3,000,000 with an associated period of performance of 48 months or less. To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of no earlier than December 1, 2017.

BJS 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, OJP’s assessment of both the management of the award (e.g., timeliness and quality of progress reports), and the progress of 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. Funding will be pursuant to a cooperative agreement between BJS and the recipient.

### **Type of Award**

BJS 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. Substantial involvement includes direct oversight with the recipient organization, but does not involve day-to-day project management. Funding recipients will be required to work directly with the NCS-X Implementation Team. 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.

As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>14</sup>) must, as described in the Part 200 Uniform Requirements<sup>15</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.

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**

Supplanting is prohibited under this solicitation. Applicants cannot replace or supplant nonfederal funds that have been appropriated for the same purpose.

The leveraging of federal and nonfederal funding is encouraged. For example, a state agency may use money from the NCS-X award and a state appropriation to fund different portions of the purchase of an RMS upgrade or installation of a new data conversion or extraction tool. In instances where leveraging occurs, all federal grant funds must be tracked and reported separately and may not be used to fund the same line items. Additionally, federal funds cannot be used as a match for other federal awards.

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<sup>14</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>15</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.

### **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 Costs (also known as Pre-award Costs)**

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 (POC) 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.<sup>16</sup> 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 nonfederal funds. (Nonfederal 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 Acting Director of BJS 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.

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<sup>16</sup>OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

### **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 the 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 BJS has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, project implementation timeline, and résumés/curriculum vitae of key personnel. 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,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés in a single file.*

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

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

To avoid processing delays, an applicant must include an accurate legal name on its 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. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity 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 its applications (e.g., articles of incorporation, 501(c)(3), etc.) to confirm the legal name, address, and EIN entered into the SF-424.

**Intergovernmental Review:** This solicitation (“funding opportunity”) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

## 2. Project Abstract

The project abstract is an important part of the application, and serves as an introduction to the proposed project. BJS uses the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

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 (such as 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.

### 3. Program Narrative

The program narrative section of the application should not exceed 30 double-spaced pages in a 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-page limit.

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

The following sections should be included as part of the program narrative<sup>17</sup>. The program narrative must also address all of the elements included in the solicitation above under the section "Statement of Work and Deliverables."

#### Statement of the Problem

Demonstrate a clear understanding of—

1. the need to provide technical and implementation assistance to state UCR Programs and LE agencies about the transition to IBR
2. current UCR Program crime reporting requirements and submission methods, and how state-specific incident-based data requirements will have an impact on how NCS-X sample agencies plan the transition to IBR

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<sup>17</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.

3. the FBI's NIBRS program, incident-based crime data, and the technical and methodological challenges of working with large-scale complex data files.

### **Project Design and Implementation**

1. Articulate a clear plan to accomplish the required elements and deliverables indicated above in [Goals, Objectives, and Deliverables](#).
2. Articulate a clear plan for providing a series of interim deliverables for BJS and FBI CJIS review, incorporating a review of those interim products into the final deliverables, and incorporating the need for interim deliverables into the full project timeline and task plan.
3. Demonstrate the ability to accomplish the project tasks outlined in the proposal and meet the project goals within the proposed time frame.
4. Demonstrate an awareness of potential pitfalls of the proposed project design, and suggest feasible actions to minimize or mitigate those pitfalls.

### **Capabilities and Competencies**

1. Provide sufficient justification that the proposed project staff (i.e., project lead and other individuals and organizations) identified in the application who will be significantly involved in supporting the activities outlined in the proposal have the necessary qualifications and experience to fulfill the project goals and tasks. In addition to other staff required to manage and carry out the activities identified in the statement of work above, this project will require staff with expertise in UCR Program content, including NIBRS, SRS, and other related UCR data. If the staff are not yet employed, provide sufficient detail regarding the capabilities and competencies the applicant will seek for such staff.
2. Demonstrate the applicant organization has the ability to manage the overall project effort and administrative capabilities necessary to undertake a project of this scope and magnitude.
3. Make a clear connection between the capabilities and competencies of the proposed project staff, including the applicant organization and scope of the proposed project and activities required to achieve the project goals. Demonstrate that—
  - a. project staff have expertise with the relevant substantive and statistical issues addressed in the solicitation
  - b. the organization has the personnel and technology infrastructure necessary to complete the large-scale, multifaceted program recruitment activities and can effectively manage and execute the required implementation and technical assistance support services
  - c. project staff have expertise to provide effective marketing, outreach, and analytic support to NCS-X grantees and the broad diverse community of NIBRS/UCR stakeholders.

## 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. (Submission of performance measures data is not required at the time of the application.)

Performance measures for this solicitation are as follows:

Objective	Performance measures	Data recipient provides
Provide effective management across all aspects of the project	Provide effective management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits	<p>Monthly status reports detailing award progress, by project component (as outlined in the solicitation <a href="#">Goals, Objectives, and Deliverables</a>)</p> <p>Monthly updates on budget expenditures by category</p>
Recruit eligible LE agencies to participate in NCS-X	<p>Number of NCS-X sample agencies successfully contacted through outreach efforts</p> <p>Deliverables that meet expectations</p> <p>Increase in state UCR Program staff consulted to develop state-specific roadmaps to enhance state IBR capacity and enroll NCS-X sample agencies</p>	<p>Number of teleconferences held with state and/or local agencies about NCS-X</p> <p>Written record of communications with state UCR Programs and NCS-X sample agencies about program participation</p> <p>State-specific roadmaps for enrolling NCS-X sample agencies in the transition to IBR</p> <p>Outreach plan for each state, including dates for any meetings and RAs</p>
Assist state UCR Programs to help local LE agencies in their transition to IBR/NIBRS	Develop a “train the trainer” module for state UCR Programs to conduct RAs with local LE agencies	<p>Updated and formalized toolkit for conducting RAs</p> <p>Presentations and user manual on how to conduct a RA</p>

	Number of LE agencies that have used the results from RAs	Number of RAs requested Number of RAs conducted
Ensure NCS-X stakeholders are aware of implementation status and other relevant project developments	Provide outreach to stakeholders	A written plan for producing quarterly NCS-X status updates  Case studies to track the progress of state UCR Programs and local LE agencies as they implement NIBRS  Written content for BJS's NCS-X website about NCS-X implementation status
Provide assistance to BJS and FBI CJIS in conducting analysis of NIBRS data in support of NCS-X implementation	Conduct special analysis to provide biannual updates on NIBRS coverage	Tables and figures detailing NIBRS coverage in the United States, based on crime and on population coverage
	Number of deliverables completed on time  Number of deliverables that meet expectations  Provide reports and other materials developed to showcase the use of NIBRS data at the state, county, and local levels	A written plan for analyzing NIBRS data  Tables and figures of NIBRS analysis for use in reports and other materials
Serve as a hub for state UCR Programs and local LE agencies for information on how to transition successfully to IBR/NIBRS	Assist state UCR Programs and local LE agencies to test their IBR data submissions	Number of agencies requesting help to test their IBR data submissions  Number of agencies provided assistance to test their IBR data submissions
	Provide operational assistance to local LE agencies seeking help with RMS providers	Repository of known RMS service provider contacts for NCS-X agencies

	Develop “best practices” procedures or strategies for state UCR Programs and local LE agencies on business practices associated with recording, managing, and reporting incident-based data	<p>Written plan for assessing “best practices” for crime data management at the state level</p> <p>Written plan for assessing “best practices” for crime data management at the local LE agency level</p> <p>Reports outlining “best practices” for crime data management and documentation of methods used to vet the best practices</p>
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**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 Awards,”](#) 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.

**4. Budget and Associated Documentation**

**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](#).

## 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 nonfederal 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 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 noncompetitive 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](#).

### **5. 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 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 ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.)

### **6. 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.

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

## **7. 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:

- federal awarding agency that currently designates the applicant high risk
- date the applicant was designated high risk
- high-risk POC at that federal awarding agency (name, phone number, and email address)
- 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).

## **8. 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").

## **9. 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:

- federal or state funding agency
- solicitation name/project name
- POC information at the applicable federal or State funding agency

Federal or state funding agency	Solicitation name/project name	Name/phone/email for POC at federal or state funding agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ Substance Abuse and 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 in this application.”

## **b. 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 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>Applicants must use the “&amp;” format in place of the ampersand (&amp;) when using XML format for documents.</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, Data Management 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 POC 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 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 <https://apply07.grants.gov/apply/OrcRegister>. 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 16.734 titled "Special Data Collections and Statistical Studies," and the funding opportunity number is BJS-2017-12780.
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 July 17, 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 must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the BJS 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](#) webpage.**

## E. Application Review Information

### Review Criteria

Applications that meet basic minimum requirements detailed in the [Program Narrative description in Section D](#), above will be evaluated by peer reviewers using the following review criteria.

1. Statement of the Problem (Understanding of the problem being addressed in the application and its importance) – 15%
2. Project Design and Implementation (Quality and technical merit of the proposed project activities, including the project timeline) – 30%
3. Capabilities and Competencies (Capabilities, demonstrated productivity, experience, and other project-relevant qualifications of the applicant organization and proposed project staff) – 35%
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures – 5%
5. Budget: 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 and should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project<sup>18</sup> – 15%

### Review Process

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

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<sup>18</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.



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 for compliance with those requirements. Although specific requirements may vary, common requirements are applicable to all solicitations for funding under OJP programs. The application must—

- be submitted by an eligible type of applicant
- request funding within programmatic funding constraints (if applicable)
- be responsive to the scope of the solicitation
- include all items designated as “critical elements”
- not identify the applicant 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. BJS 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 nonpublic segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; FAPIIS).

**Important note on FAPIIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, 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 Acting Director of BJS, who may take into account not only peer review ratings and recommendations, but also proposed budgets, past performance under prior BJS and OJP awards, strategic priorities, available funding, and 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 POC 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 POC; 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 or 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, BJS expects that 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 monthly status reports and other 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, semi-annual 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 web site 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 the title page.

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

## 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 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@imsolas.com](mailto:ojppeerreview@imsolas.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 17 National Crime Statistics Exchange (NCS-X-State) Project: Technical Assistance and Implementation Support

This application checklist has been created as an aid in developing an application.

### What an Applicant Should Do:

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

\_\_\_\_\_ Acquire a DUNS Number (see page 38)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 38)

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

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 38)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 39)

#### *To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 39)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 39)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 37)

\_\_\_\_\_ 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 24)

#### *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 39)

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

\_\_\_\_\_ Contact BJS regarding experiencing technical difficulties (see page 39)

### 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 \$3,000,000.

### Eligibility Requirement:

\_\_\_\_\_ Review the [Eligibility Limitations](#) for this solicitation (see title page)

### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 25)

\_\_\_\_\_ Project Abstract (see page 25)

\_\_\_\_\_ Program Narrative (see page 26)

_____	Statement of the Problem	(see page 26)
_____	Project Design and Implementation	(see page 27)
_____	Capabilities and Competencies	(see page 27)
_____	Plan for Collecting the Data Required for this Solicitation's Performance Measures	(see page 28)
_____	Budget Detail Worksheet	(see page 30)
_____	Budget Narrative	(see page 31)
_____	Project Implementation Timeline	(see page 14)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 33)
_____	Tribal Authorizing Resolution (if applicable)	(see page 33)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 34)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 34)
_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 34)
_____	Disclosure of Process related to Executive Compensation	(see page 36)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 23)