

**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 for funding to support efforts of small- and medium-sized local law enforcement (LE) agencies to report incident-based crime data to the FBI's National Incident-Based Reporting System (NIBRS), either through their state NIBRS-certified Uniform Crime Reporting (UCR) Program or directly to the FBI. Under this solicitation, funding will be provided to support the transition to incident-based reporting (IBR) among small- and medium-sized LE agencies selected for participation in the National Crime Statistics Exchange (NCS-X) that currently do not report IBR data to their state UCR Program or to the FBI's NIBRS. As the primary source for criminal justice statistics in the United States, BJS is responsible for collecting, analyzing, publishing, and disseminating statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This program furthers the Department's mission to develop innovative strategies that support information sharing between and across sectors of the justice community.

## **2017 NCS-X Implementation Assistance Program: Phase VI – Support for Small and Medium Local Law Enforcement Agencies**

**Applications Due: June 30, 2017**

### **Eligibility**

Eligible applicants are sixty-seven (67) small- and medium-sized local LE agencies selected for participation in the NCS-X that: (1) are located in states in which the state UCR Programs currently have or will have by October 2017 a state IBR standard; (2) currently do not report incident-based data to their state UCR Program or to the FBI's NIBRS; (3) have not previously received funding to transition to IBR/NIBRS; and (4) are not already in the process of transitioning to IBR/NIBRS. Eligible LE agencies are identified in Appendix A of this solicitation.

BJS welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees")<sup>1</sup>. The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding, 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

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

award. 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.

BJS may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and 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 eastern time on June 30, 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 Small and Medium” 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-2017-12781

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# 2017 NCS-X Implementation Assistance Program: Phase VI – Support for Small and Medium Local Law Enforcement Agencies

(CFDA # 16.734)

## A. Program Description

### Overview

The FBI's Criminal Justice Information Services (CJIS) Division established and maintains the National Incident-Based Reporting System (NIBRS). To generate detailed national estimates of crime known to law enforcement (LE) using the NIBRS data, the Bureau of Justice Statistics (BJS) and the FBI are supporting the National Crime Statistics Exchange (NCS-X) Initiative. To produce statistically sound national estimates of crime, the NCS-X program will support the transition to NIBRS reporting of a carefully selected sample of 400 LE agencies nationwide. Through this solicitation, BJS seeks proposals to enable up to 67 local LE agencies in the NCS-X sample—those agencies with fewer than 750 sworn officers that are currently not reporting incident-based data to the Uniform Crime Reporting (UCR) Program—to report incident-based crime data to the FBI's NIBRS, either through their state UCR Program or directly to the FBI. BJS funding decisions under this solicitation will be made in coordination with and concurrence of the FBI's CJIS Division.

The FBI has formally announced its intention to establish NIBRS as the UCR crime data reporting standard for the nation, with a complementary plan to retire the Summary Reporting System (SRS) of the UCR Program. The typical mechanism by which a local 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 the data from all of the state's contributing agencies to the FBI. The FBI advocates the use of the state pipeline for crime data reporting, a view that BJS supports. For those instances in which a state is not able to receive incident-based data from local LE agencies, the FBI is willing to receive the incident-based data directly from a local agency until the state pipeline is in place. However, agencies are strongly encouraged to report directly to their state UCR Program whenever possible. The plan to transition local agencies to incident-based reporting (IBR) requires that local LE agencies work closely with the state UCR Program to ensure the incident-based data submitted by the local agencies meet the requirements of the state program.

**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. Under Title 31, U.S.C., Section 1535, the FBI is authorized to provide funds to BJS to make grants under this solicitation. Under Title 28, U.S.C., Section 534 and 28 Code of Federal Regulations, Section 0.85, the FBI is authorized to support activities related to the transfer and sharing of criminal justice information across and between LE and related agencies.

## **Program-Specific Information**

The NCS-X is an effort to expand the FBI's NIBRS into a nationally representative system of incident-based crime statistics. BJS and the FBI have partnered together to implement NCS-X with support from other Department of Justice (DOJ) agencies, including the Office for Victims of Crime. At the outset of the project, the FBI and BJS 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)). The goal of NCS-X is 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 already report to NIBRS, the nation will have a nationally representative system of incident-based crime statistics drawn from the operational data systems of local police departments.<sup>2</sup> These incident-based data will capture the attributes and circumstances of criminal incidents and allow for more detailed and transparent descriptions of crime in communities.

The 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 transitions NIBRS to the system to which all LE agencies in the United States submit their UCR data. 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 and to accommodate other needs for replacement. The list of sample and reserve agencies 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).

### *Coordination with and technical assistance from BJS, the FBI, and the NCS-X Implementation Team*

BJS and the FBI coordinate NCS-X program activities through the NCS-X Implementation Team. This team was established through a competitive bidding process to support the activities required to expand NIBRS reporting to the 400 NCS-X sampled agencies, which includes expanding the state pipeline for receiving and processing incident-based data, recruiting, and providing technical assistance to NCS-X sampled agencies. A consortium of organizations was chosen to be the NCS-X Implementation Team, led by RTI International and composed of the International Association of Chiefs of Police, Police Executive Research Forum, Integrated Justice Information Systems Institute, and SEARCH, the National Consortium for Justice Information and Statistics.

Recipients of funds under this solicitation are strongly encouraged to consult with the state UCR Program and/or FBI's CJIS Division staff for details about IBR/NIBRS certification and other reporting requirements and with the NCS-X Implementation Team for technical assistance. Consultation on technical assistance and NIBRS certification may occur at no cost to the recipient of funds.

In addition to offering technical assistance, BJS, CJIS, and the NCS-X Implementation Team have developed a number of resources to assist local LE agencies in the transition to NIBRS reporting, including the "Law Enforcement Agency IBR Playbook: A Guide to Implementing an Incident-Based Crime Reporting System" and the Readiness Assessment Toolkit. For additional information on resources, see the [NCS-X page on the BJS website](#) or contact the Implementation Team at [ncsx@rti.org](mailto:ncsx@rti.org).

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<sup>2</sup>Total number of NIBRS reporting agencies by population group 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).

*Providing funding and support for small- and medium-sized LE agencies selected for participation in the NCS-X Initiative to report incident-based data to the state UCR Program or directly to the FBI*

The NCS-X sample of 400 LE agencies was drawn from the full set of state and local LE agencies that reported summary crime data to the FBI's UCR Program in 2011, stratified by agency type and total number of sworn officers. Sample agencies were selected from 11 strata, as identified in the table below.

<b>Agency type</b>	<b>Total number of sworn officers</b>	<b>Total number of agencies in stratum</b>
State, County, or Municipality	750 or more	72
State	1 to 749	12
State or Municipality	0	2
County or Township	36 to 749	72
County or Township	0 to 35	22
Municipality	181 to 749	48
Municipality	61 to 180	40
Municipality	16 to 60	47
Municipality	1 to 15	71
Remainder, non-Tribal	Any	5
Tribal	Any	9

This solicitation makes funding available, for the first time, to selected NCS-X sample agencies with fewer than 750 sworn officers. Funding under this solicitation is intended to support the transition to IBR of the small- and medium-sized local LE agencies identified in [Appendix A](#).

**Agencies identified in the eligibility section above and in [Appendix A](#) will only be considered for funding if they complete an IBR Readiness Assessment and include that assessment in their application.** The intent of a readiness assessment is 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. An IBR readiness assessment requests that eligible LE agencies (1) document the 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 data files for submission to the state UCR Program or directly to the FBI as applicable. Two different types of IBR Readiness Assessments are available: 1) for agencies with a [Commercial Off-The-Shelf](#) record management system (RMS), and 2) for agencies with an RMS built [in-house to custom specifications](#). Agencies should consult with their information technology support staff and/or their local agency RMS solution provider to detail 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. Additional readiness assessment documents are available at <http://www.bjs.gov/content/ncsx.cfm>.

Readiness assessments require the local agency to—

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. 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. Identify options for addressing any gaps identified during the assessment, and determine the work efforts, resources, and costs associated with those options.

The NCS-X Implementation Team has conducted a number of readiness assessments with local LE agencies in support of the NCS-X program, and they serve as the primary source for technical assistance on facilitating and completing these assessments. For assistance in filling out the readiness assessment form, contact the NCS-X Implementation Team at [ncsx@rti.org](mailto:ncsx@rti.org). Applications requesting funding to support the transition of an eligible local LE agency to NIBRS reporting will not be considered unless the IBR readiness assessment has been completed and is appended to the application.

#### *Support for state UCR Programs to collect, process, and report incident-based data to NIBRS*

In general, local LE agencies report data to the FBI's NIBRS by submitting state-specific incident-based data to their state UCR Program, and then the state UCR Program reports those data 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. Through other funding mechanisms, the NCS-X program supports the establishment or expansion of NIBRS-certified programs throughout the nation. As applicable, BJS, the FBI, and the NCS-X Implementation Team work directly with state UCR Program managers and others in the state to ensure that local agency transitions to IBR comply with state program specifications. By supporting the state UCR Programs, the NCS-X program ensures the state pipeline can accept incident-based data from local LE agencies in the NCS-X sample, as those agencies transition to IBR.

A total of 34 state UCR Programs are certified by the FBI to report NIBRS data to the national system. States certified by the FBI to report to NIBRS have established a state IBR standard to which local agencies in those states must report; the state UCR Program generally takes responsibility for converting the state incident-based data into the NIBRS format for submission to the FBI. In states with an IBR component, agencies in those states must ensure compliance with the state standard when converting to IBR. The remaining 16 states and the District of Columbia do not have a NIBRS-certified UCR Program. Fifteen of these 16 states report only to the FBI's SRS, while the remaining state has no state-level UCR Program. In those states with no certified NIBRS program, it will be critical for local agencies to consult with the state UCR Program, with BJS, and with FBI CJIS to ensure that the transition at the local level complies with changes being made in the state UCR Program to develop or implement an IBR component. The following table provides a list of states by type of crime reporting.

Type of crime reporting, by state		
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 were selected for main NCS-X sample.

*Costs considered allowable under this solicitation*

Funding provided to small- and medium-sized local agencies under this solicitation is not intended to cover all costs associated with establishing or expanding a NIBRS-compliant IBR capability. **The award funds are intended to cover those costs that are minimally essential for the program activities being proposed.** Applications for funding under this solicitation should consider the following information about allowable costs.

Under this solicitation, reasonable costs associated with the following are considered allowable:

1. Reasonable costs for software, hardware, and labor that directly support or enhance an agency's technical capacity for collecting and processing data and submitting those data to the state UCR Program or directly to the FBI, in the appropriate format. This includes acquiring software to enable reporting of state IBR-compliant data to the state UCR Program, labor and/or software costs for modifying current or implementing new business processes associated with data collection and management practices, and labor and software costs for validation testing to ensure conformance with state IBR standards.
2. Costs related to obtaining technical assistance for LE agency personnel responsible for (1) managing the agency's crime incident data, (2) processing and validating the data, and



- (3) extracting and submitting IBR data to the state UCR Program according to the state standard or directly to the FBI according to the NIBRS standard.
3. As applicable, costs for local agencies to provide technical assistance to critical agency personnel in how to collect, input, process, and submit incident-based data in the agency system.

Under this solicitation, the following costs are NOT allowable:

1. staff positions beyond the length of the award period
2. software maintenance beyond the length of the award period
3. training or technical assistance not in direct support of automating data processes to collect, extract, and submit NIBRS-conformant data
4. technical assistance for hardware or software beyond the length of the award period.

### **Goals, Objectives, Deliverables, and Expected Scholarly Products**

This program aims to help selected local LE agencies with fewer than 750 sworn officers submit incident-based crime data to their state UCR Program or directly to the FBI's NIBRS. This goal will be achieved through the following two objectives: (1) ensure that these agencies have the resources, through funding and technical assistance, to transition to IBR that conforms to the state IBR standard or the NIBRS standard, as applicable; and (2) provide the funding and technical assistance resources to eligible agencies to extract incident-based data and submit those data to the state UCR Program or directly to the FBI.

Note: BJS will hold two teleconferences for eligible applicants to ask questions about this solicitation. The first teleconference will take place on Thursday, June 1, 2017, from 10:00 a.m. to 11:00 p.m. EST. The number to dial is 415-655-0003, and the meeting access code is 643 489 194. The second teleconference will take place on Thursday, June 1, 2017, from 2:00 to 3:30 p.m. EST. The number to dial is 415-655-0003, and the meeting access code is 642 095 276. For additional information about the planned teleconferences, email [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov) and include "NCS-X Small and Medium" in the subject line.

Applicants for this solicitation may apply for awards to support the agency's transition to IBR. Applications made by eligible local agencies should document the need for and the costs associated with converting the agency's crime incident data to the state IBR or the FBI's NIBRS standard and reporting those IBR data to the state UCR Program or directly to the FBI. Applicants in states in which the state UCR Program does not have a certified NIBRS program may choose to submit data directly to the FBI. However, if agencies choose to submit directly to the FBI, they must include in their application (1) a letter of support for the direct submission from the state UCR Program, and (2) a statement that the agency will cease direct submission to the FBI and will begin reporting incident-based data to the state UCR Program once the state program establishes a NIBRS-certified reporting capability.

Proposals from local agencies under this solicitation must specify the need for and cost of each major component of their agency's plan for collecting, validating, and extracting IBR data and reporting those data to the state UCR Program or directly to the FBI. These components include, but are not limited to—

- hardware, software, and telecommunications and bandwidth needs
- direct and contractual personnel costs necessary for carrying out proposed program activities (not to exceed the length of the funding period)
- technical assistance to agency staff in support of program activities

- technical support from outside professionals.

The activities proposed under this award should be completed within a maximum of 24 months. BJS discourages applicants from proposing project periods longer than 24 months but acknowledges that exigent circumstances may require some agencies to request more time. Applicants that propose a project period longer than 24 months must include additional justification for the extended timeframe, including how costs to the project will be minimized and the ways in which the additional time will benefit the final deliverables under this award.

#### *Statement of Work and Deliverables*

Applicants should document the approach they will take to transition to incident-based crime reporting. Applicants should address the gaps in IBR/NIBRS compliance identified during their readiness assessment, how those gaps will be addressed, and how the applicant's proposal compares to the information provided in the readiness assessment report. If the agency will contribute directly to the FBI, the funding proposal should identify steps the agency will take to begin submitting data to the state UCR Program when that option becomes available. The proposal requesting funding should clearly identify the cost for each component of the overall request and should include how the applicant assessed the technical, human resource, and management needs for transitioning their crime reporting to the state IBR standard and how they generated the costs associated with those components. The transition plan should also include details regarding the mechanism by which data will be submitted to the state IBR program or directly to the FBI (i.e., a flat file submission format or XML) and the justification for the choice, as applicable. It is assumed that applicants seeking funding under this solicitation have engaged in sufficient planning to reasonably identify the costs included in the proposal for funding and to ensure that the goals of the award can be met.

Applications should address the following:

- a) A review and analysis of the current and anticipated technical capacity and system needs (e.g., hardware, software, telecommunications) in the agency to support the request for grant funds.
- b) Additional staffing needs, both internal and external to the organization, during the project period required to transition to incident-based crime reporting to the state UCR Program or directly to the FBI.
- c) A plan to absorb the costs associated with any new functions required as part of the process of converting to IBR after the end of the project period.
- d) Needs for technical assistance during the transition period for staff who will directly support the IBR conversion and reporting effort, including technical assistance to support modifying current or implementing new business processes related to crime data management.
- e) How the implementation process will identify and address hurdles that must be overcome to enable reporting of IBR data to the state UCR Program or directly to the FBI, as applicable, and the expected costs of addressing these concerns.
- f) A plan to collaborate with the state UCR Program on the development of the incident-based data reporting and submission structure. For agencies that will initially be reporting directly to the FBI, this plan must outline how the agency will communicate with the state to ensure that any state-specific IBR requirements under development by the state UCR Program are included in the local agency IBR reporting structure.

- g) A plan to collaborate with the NCS-X Implementation Team on project tasks, including any required outreach to stakeholders, technical assistance, project management, and deliverables identified by the applicant.
- h) A timeline for implementation and completion of the project and a detailed task plan and tentative dates for all major project milestones and deliverables, including completing certification of the NIBRS data submission process by the state UCR Program (or the FBI, if submitting directly to the national program).
- i) A detailed budget, including staffing, travel, and any subcontract costs associated with the project tasks.

Final deliverables include documentation verifying that the local agency is certified to report IBR data to the state UCR Program or directly to the FBI. Interim deliverables include those identified by the applicant in the funding proposal and all required award progress reports.

All applicants should briefly describe how each task proposed will be completed and include the estimated costs associated with each task. This task plan should include (1) a description of the specific strategies and approaches that will be used to complete the task, (2) a description of the 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 should sufficiently communicate the applicant's knowledge of the challenges and complexities associated with the proposed work.

Each application should include a discussion of the following set of tasks, in addition to any other tasks identified directly by the applicant:

- a) **Project timeline:** Each application is required to include a preliminary, detailed task plan and timeline for implementing the project. The timeline should include plans for a project kickoff meeting to be held shortly after the start of the award.<sup>3</sup> For planning purposes, projects should start no sooner than October 2017. The kickoff meeting should be done via teleconference or video conference to save on travel costs. Based on the discussion with BJS and the FBI's CJIS at the kickoff meeting, the recipient will then make any necessary revisions to the project budget and the detailed timeline provided in the application, including dates of completion for each task, dates of delivery for any deliverables, dates of delivery for monthly status reports, and the dates of scheduled meetings, where applicable.
- b) **Communication strategy:** Each application should outline a communication strategy that describes how the recipient of funds will provide project updates to BJS and the FBI's CJIS, and how project activities will be communicated to senior leadership and management in the applicant agency and with the state UCR Program. The communication strategy should include regular phone conferences with BJS and the FBI's CJIS Division.
- c) **Status reports:** Along with required financial reports (see below), applicants must provide monthly written reports that update the status of each task identified, report the progress made toward completion of each task, and indicate the cumulative and last-month expenditures in each of the budget categories.

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<sup>3</sup>Award activities should not begin until the final budget clearance is issued, which may occur 1-2 months after the successful applicant has received the official award notification.

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 multiple awards for varying amounts, with an associated period of performance of 24 months or less. To allow time for, among other things, any necessary post-award review, modification, and clearance by the Office of Justice Programs (OJP) of the proposed budget, applicants should propose an award start date of no earlier than October 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, and OJP's assessment of both the management of the award (e.g., timeliness and quality of progress reports) and the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law. 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 and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. Funding recipients will be required to work directly with the NCS-X Implementation Team in carrying out the project. 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>4</sup>) must, as described in the Part 200 Uniform Requirements<sup>5</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

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<sup>4</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>5</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.

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.

Although supplanting is prohibited, 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 a record management system 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 match for other federal awards.

### **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>6</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 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.

### **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

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<sup>6</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.

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 a very 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>7</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**

1. Demonstrate a clear understanding of the need for IBR by LE agencies and the goals of the solicitation to facilitate IBR from small- and medium-sized local agencies.
2. Demonstrate a clear understanding of the current status of incident-based crime reporting in their state. For agencies in states without a current NIBRS-certified state program, demonstrate an understanding of the state's plans for establishing IBR in the state and becoming certified by the FBI to report incident-based data to NIBRS.
3. Demonstrate clear understanding of the state pipeline for crime reporting and the need to report to the state UCR Program incident-based data that meet the state IBR requirements.
4. Demonstrate understanding of the FBI's NIBRS and the difference between a state IBR standard and the FBI's NIBRS standard.
5. Demonstrate knowledge of the impediments to local LE agencies to reporting incident-based data with all of the required NIBRS elements.

#### **Project Design and Implementation**

1. Articulate a clear plan to report IBR data to the state UCR Program or directly to the FBI, as applicable. The application should include a well-developed plan for transitioning the local agency to IBR and submitting IBR data to the state UCR Program or directly to the FBI. If applicable, the applicant should also include a plan to transition from being a direct FBI reporter to reporting through the state pipeline

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<sup>7</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.

when the state program has the capacity to receive these data. Activities outlined in the application address in detail the required elements indicated above in the section “Statement of Work and Deliverables.”

2. Show that the proposed project is justified and feasible. Clearly demonstrate the ability to accomplish the project tasks outlined in the proposal, and the ability to complete the tasks and meet the project goals within the proposed time frame.
3. Demonstrate an awareness of potential pitfalls of the proposed project design and has suggested feasible and reasonable actions to minimize or mitigate those pitfalls.

**Capabilities and Competencies**

1. Provide sufficient justification that the proposed project staff (i.e., the 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 goals of the project and to complete project tasks.
2. Provide sufficient information on the capabilities and competencies of all proposed contract staff who will be used for project activities. If the staff are not yet employed, provide sufficient detail regarding the capabilities and competencies the local agency will seek for such staff.
3. Demonstrate the ability of the organization to manage the overall project effort.
4. Make a clear connection between the capabilities and competencies of the proposed project staff, including the applicant organization, and the scope of the proposed project and activities required to achieve the project goals.

**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 are not required at the time of the application.)

Performance measures for this solicitation are as follows:

Objective	Performance measures	Data recipient provides
Assess the needs associated with transitioning to	Number of meetings or conference calls held	Number of meetings or conference calls held with the NCS-X Implementation Team

incident- based crime reporting to the state UCR Program or directly to the FBI		Number of meetings or conference calls held with applicable contract agencies or companies to clarify system needs at the local agency level
	Develop a plan as a result of an assessment	Provide a plan as a result of assessing the technical capacity and system needs to transition to IBR to the state UCR Program or directly to the FBI
	Deliverables completed on time	Provide documentation of meetings with NCS-X Implementation Team members, including meeting minutes and next steps identified during those meetings  Provide memos summarizing contacts and meetings with applicable contract agencies or companies and any next steps identified from those discussions
Coordinate with NCS-X Implementation Team to receive technical assistance to support NIBRS reporting activities	Number of requests for technical assistance made to Implementation Team	Number of requests for technical assistance made to the NCS-X Implementation Team, by type of technical assistance
	Number of hours of technical assistance received	Number of technical assistance hours received from the NCS-X Implementation Team
	Number of requests for technical assistance completed	Number of requests for technical assistance completed by the NCS-X Implementation Team, by type of technical assistance
Establish a NIBRS-certified IBR program in the local agency (if applicable)	Deliverables completed on time	Provide letter of support from the designated authority of the state UCR Program in support of local agency program and reporting activities
	Deliverables that meet expectations	Submit a complete, feasible, and high-quality plan for submitting local agency incident-based crime data that is certified by the FBI to report data to NIBRS  Provide a complete plan for ceasing direct submission to the FBI and beginning submission of incident-based data in the state-specific IBR format (if applicable) to the state UCR Program after the state has established a NIBRS-certified program

### 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](#)” webpage of the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017](#),” available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

#### **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](#) webpage.

**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. Incident-Based Reporting Readiness Assessment Form**

See IBR readiness assessment description on page 6.

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

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

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

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

- The Federal or State funding agency
- The solicitation name/project name
- The point of contact information at the applicable 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."

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

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

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization’s managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization’s compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service regulations with regard to its compensation decisions.

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

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

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

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

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

### **How to Apply**

Applicants must register in and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

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

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

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully submitted applications to the OJP 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 POC (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-2017-12781.
- 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 June 30, 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) – 10%
2. Project Design and Implementation (Quality and technical merit of the proposed project activities, including the project timeline) – 50%
3. Capabilities and Competencies (Capabilities, demonstrated productivity, experience, and other project-relevant qualifications of the applicant organization and proposed project staff) – 25%
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures
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>8</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.

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

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<sup>8</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.

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 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 webpages 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 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 BJS, responsibility for the day-to-day conduct of the funded project rests with the recipient. BJS, 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, BJS 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 website at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any recipient, post award, to provide the data listed as “Data Recipient Provides” in the performance measures table in [Section D. Application and Submission Information](#), under “Program Narrative,” so that OJP can calculate values for this solicitation's performance measures.

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

For OJP contact(s), see 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@lmsolas.com](mailto:ojppeerreview@lmsolas.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

**Appendix – NCS-X Small and Medium Sized Local Law Enforcement Agencies  
Eligible for Funding Under this Solicitation**

<b>Arizona</b>		<b>Missouri</b>	
CHANDLER POLICE DEPARTMENT	AZ00705	GREENE COUNTY SHERIFF'S OFFICE	MO03900
PEORIA POLICE DEPARTMENT	AZ00721	MARCELINE POLICE DEPARTMENT	MO05803
PIMA COUNTY SHERIFF'S DEPARTMENT	AZ01000	NIXA POLICE DEPARTMENT	MO02202
SAN LUIS POLICE DEPARTMENT	AZ01408	PAGEDALE POLICE DEPARTMENT	MO09557
SIERRA VISTA POLICE DEPARTMENT	AZ00209	SIKESTON POLICE DEPARTMENT	MO10106
<b>Indiana</b>		SPRINGFIELD POLICE DEPARTMENT	MO03903
INDIANA STATE EXCISE POLICE	INIEP00	WARRENTON POLICE DEPARTMENT	MO11003
INDIANA UNIVERSITY: GARY	IN04518	<b>New York</b>	
INDIANA UNIVERSITY: BLOOMINGTON	IN05302	BUFFALO POLICE DEPARTMENT	NY01401
DELAWARE COUNTY	IN01800	<b>North Carolina</b>	
HENDRICKS COUNTY	IN03200	BEAUFORT POLICE DEPARTMENT	NC01601
ST. JOSEPH COUNTY	IN07100	CARTHAGE POLICE DEPARTMENT	NC06305
PARKE COUNTY	IN06100	CUMBERLAND COUNTY SHERIFF'S OFFICE	NC02600
FORT WAYNE POLICE DEPARTMENT	IN00201	DURHAM COUNTY SHERIFF'S OFFICE	NC03200
SOUTH BEND POLICE DEPARTMENT	IN07102	EAST SPENCER POLICE DEPARTMENT	NC08002
FISHERS POLICE DEPARTMENT	IN02907	FAYETTEVILLE POLICE DEPARTMENT	NC02601
NEW ALBANY POLICE DEPARTMENT	IN02201	GRANVILLE COUNTY SHERIFF'S OFFICE	NC03900
GOSHEN POLICE DEPARTMENT	IN02002	GREENSBORO POLICE DEPARTMENT	NC04102
WHITING POLICE DEPARTMENT	IN04511	MARSHVILLE POLICE DEPARTMENT	NC09001
WINCHESTER POLICE DEPARTMENT	IN06802	OAK ISLAND POLICE DEPARTMENT	NC01001
<b>Kansas</b>		ONSLow COUNTY SHERIFF'S OFFICE	NC06700
OLATHE POLICE DEPARTMENT	KS04605	ROWAN COUNTY SHERIFF'S OFFICE	NC08000
<b>Louisiana</b>		SALISBURY POLICE DEPARTMENT	NC08005
LAFAYETTE PARISH SHERIFF'S OFFICE	LA02800	SEVEN DEVILS POLICE DEPARTMENT	NC09504
LAKE CHARLES POLICE DEPARTMENT	LA01002	SMITHFIELD POLICE DEPARTMENT	NC05101
MONROE POLICE DEPARTMENT	LA03701	WARREN COUNTY SHERIFF'S OFFICE	NC09300
TERREBONNE PARISH SHERIFF'S OFFICE	LA05500	WEST JEFFERSON POLICE DEPARTMENT	NC00501
WALKER POLICE DEPARTMENT	LA03203	<b>Ohio</b>	
WASHINGTON POLICE DEPARTMENT	LA04905	ROCKY RIDGE POLICE DEPARTMENT	OH06208
<b>Maine</b>		VANDALIA POLICE DEPARTMENT	OH05713
ROCKLAND POLICE DEPARTMENT	ME00702	<b>Oklahoma</b>	
SAGADAHOC COUNTY SHERIFF'S OFFICE	ME01200	ENID POLICE DEPARTMENT	OK02401
<b>Missouri</b>		UNIVERSITY OF CENTRAL OKLAHOMA	OK05517
BIRCH TREE POLICE DEPARTMENT	MO10201	<b>Oregon</b>	
CAMERON POLICE DEPARTMENT	MO02501	KLAMATH FALLS POLICE DEPARTMENT	OR01801
CAPE GIRARDEAU COUNTY SHERIFF'S OFFICE	MO01600	WASHINGTON COUNTY SHERIFF'S OFFICE	OR03400
COLUMBIA POLICE DEPARTMENT	MO01002	<b>Wyoming</b>	
FREEMAN POLICE DEPARTMENT	MO01913	CODY POLICE DEPARTMENT	WY01501
FRONTENAC POLICE DEPARTMENT	MO09531	EVANSTON POLICE DEPARTMENT	WY02101

## Application Checklist

# 2017 NCS-X Implementation Assistance Program: Phase VI – Support for Small and Medium Local Law Enforcement Agencies

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 27)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 28)

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

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 28)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 28)

#### *To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 28)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 28)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 26)

\_\_\_\_\_ 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 14)

#### *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 pages 28-29)

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

\_\_\_\_\_ Contact BJS regarding experiencing technical difficulties (see page 29)

### 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.

### Eligibility Requirement:

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

### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 15)

\_\_\_\_\_ Project Abstract (see page 16)

\_\_\_\_\_ Program Narrative (see page 17)

\_\_\_\_\_ Statement of the Problem (see page 17)

\_\_\_\_\_ Project Design and Implementation (see page 17)

_____	Capabilities and Competencies	(see page 18)
_____	Plan for Collecting the Data Required for this Solicitation's Performance Measures	(see page 18)
_____	Budget Detail Worksheet	(see page 20)
_____	Budget Narrative	(see page 20)
_____	Project Implementation Timeline	(see page 11)
_____	Incident-Based Reporting Readiness Assessment Form	(see page 6)
_____	Indirect Cost Rate Agreement (if applicable)	(see pages 22)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 23)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 24)
_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 24)
_____	Disclosure of Process related to Executive Compensation	(see page 25)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 14)