

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS), in partnership with the Federal Bureau of Investigation's Criminal Justice Information Services (CJIS) Division, is seeking applications for funding to support efforts of selected local law enforcement (LE) agencies to report incident-based crime data to the FBI's National Incident-Based Reporting System (NIBRS). Under this solicitation, funding will be provided to support the transition to incident-based reporting (IBR) among LE agencies selected for participation in the National Crime Statistics Exchange (NCS-X) that currently do not report IBR data to their state Uniform Crime Reporting (UCR) Program or the FBI's NIBRS. This program furthers the Department's mission to develop innovative strategies that support information sharing among sectors of the justice community.

FY 2018 NCS-X Implementation Assistance Program: Support for Local Law Enforcement Agencies, Part 1

Applications Due: May 16, 2018

Eligibility

Eligible applicants are 173 local LE agencies selected for participation in the NCS-X: 20 agencies with 750 or more sworn officers and 153 with fewer than 750 officers that: (1) are located in states in which the state UCR Programs currently have or will have by June 2018 a state IBR standard; (2) currently do not report incident-based data to their state UCR Program or NIBRS; (3) have not previously received funding to transition to IBR/NIBRS; (4) are not already in the process of transitioning to IBR/NIBRS; and (5) are not located in states in which the state UCR Program or State Administering Agency plans to manage funds on behalf of NCS-X to all selected agencies in the state. Eligible LE agencies are identified in [Appendix B](#) of this solicitation.

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

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).¹ The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application.

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

Deadline

Applicants must register in the [OJP Grants Management System](#) (GMS) prior to submitting an application under this solicitation. All applicants must register, even those that previously registered in GMS. Select the “Apply Online” button associated with the solicitation title. All registrations and applications are due by 5:00 p.m. eastern time on May 16, 2018.

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 GMS Support Hotline at 888-549-9901, option 3, or via email at GMS.HelpDesk@usdoj.gov. The GMS Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen GMS 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** to request approval to submit its application after the deadline. For information on reporting technical issues, see “Experiencing Unforeseen GMS Technical Issues” in the [How to Apply](#) in [Section D. Application and Submission Information](#).

For assistance with any other requirements of this solicitation, contact Andrea Gardner, NCS-X Program Manager, by telephone at 202-307-0765, or by email at askbjs@usdoj.gov. Include “NCS-X SLLEA P1” in the subject line.

Release date: March 27, 2018

Contents

A. Program Description	4
Overview	4
Program-Specific Information	4
Goals, Objectives, and Deliverables.....	9
Evidence-Based Programs or Practices	13
Information Regarding Potential Evaluation of Programs and Activities.....	14
B. Federal Award Information.....	14
Type of Award.....	14
Financial Management and System of Internal Controls	15
Budget Information.....	16
Cost Sharing or Matching Requirement.....	16
Pre-agreement Costs (also known as Pre-award Costs)	16
Limitation on Use of Award Funds for Employee Compensation; Waiver	16
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs.....	17
Costs Associated with Language Assistance (if applicable)	17
C. Eligibility Information.....	17
D. Application and Submission Information	17
What an Application Should Include.....	17
How to Apply.....	27
E. Application Review Information.....	30
Review Criteria.....	30
Review Process	32
F. Federal Award Administration Information	33
Federal Award Notices.....	33
Administrative, National Policy, and Other Legal Requirements.....	33
General Information about Post-Federal Award Reporting Requirements	34
G. Federal Awarding Agency Contact(s)	34
H. Other Information.....	35
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a).....	35
Provide Feedback to OJP	35
Appendix A: Performance Measures Table	36
Appendix B: List of Eligible Agencies	38
Appendix C: Application Checklist.....	41

FY 2018 NCS-X Implementation Assistance Program: Support for Local Law Enforcement Agencies, Part 1 (CDFA # 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 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 scientifically selected sample of 400 LE agencies nationwide. Through this solicitation, BJS seeks proposals to enable up to [173 local LE agencies](#) in the NCS-X sample—agencies 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 with the 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 of the UCR Program. The deadline for the NIBRS transition is January 1, 2021. Local agencies typically contribute data to NIBRS through their "state pipeline." 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 data from all of the state's contributing agencies to the FBI. The FBI and BJS advocate using the state pipeline for crime data reporting. 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 submitted data meet the requirements of the state program.

Statutory Authority: 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 28, U.S.C., Section 530C, 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 seeks 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 the NCS-X and

signed a [joint statement of support](#) for the project. The NCS-X aims to enroll a sample of 400 scientifically selected LE agencies to submit data to NIBRS. When data from these 400 new NIBRS-reporting agencies are combined with data from the more than 6,800 agencies that already report to NIBRS, the nation will be able to generate nationally representative incident-based crime statistics drawn from the operational data systems of local police departments.² These incident-based data will capture the attributes and circumstances of criminal incidents and allow for more detailed and transparent descriptions of crime.

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 U.S. LE agencies 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 https://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 makes up the NCS-X Implementation Team, including RTI International, 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. Recipients should contact the NCS-X Implementation Team for technical assistance. Consultation on technical assistance and NIBRS certification may occur at no cost to recipients.

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 *NCS-X 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.

Funding and Support for LE Agencies Selected for Participation in the NCS-X Initiative

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.

² Total number of NIBRS reporting in 2016 is available at https://ucr.fbi.gov/nibrs/2016/resource-pages/nibrs-2016_summary.pdf.

Agency type	Total number of—	
	Sworn officers	Agencies
State, county, or municipal	750 or more	72
State	1–749	12
State or municipal	0	2
County or township	36–749	72
County or township	0–35	22
Municipal	181–749	48
Municipal	61–180	40
Municipal	16–60	47
Municipal	1–15	71
Remainder, nontribal	Any	5
Tribal	Any	9

Eligible agencies will only be considered for funding if they have completed a NCS-X Readiness Assessment and include that assessment in their application. A readiness assessment examines 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. A NCS-X 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 NCS-X Readiness Assessments are available for agencies with a [Commercial Off-The-Shelf](#) record management system (RMS) and 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 <https://www.bjs.gov/content/ncsx.cfm>.

NCS-X 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. If an applicant has already participated in a readiness assessment, would like to receive a copy of its agency's form, or needs assistance in filling out the readiness assessment form, it should contact the NCS-X Implementation Team at ncsx@rti.org. **Applicants requesting funding to support the transition of an eligible local LE agency to NIBRS reporting will not be considered unless the completed NCS-X Readiness Assessment is appended to the application and its results referenced in 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. The NCS-X program has provided funding and technical assistance to support the establishment or expansion of NIBRS-certified programs throughout the nation. In addition, 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 state UCR Programs, the NCS-X program ensures the state pipeline may accept incident-based data from local LE agencies in the NCS-X sample, as those agencies transition to IBR.

A total of 35 state UCR Programs accept incident-based data reported by local LE agencies in the state and 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 state incident-based data into the NIBRS format for submission to the FBI. In states with an IBR component, agencies must ensure compliance with the state standard when converting to IBR. The remaining 15 states and the District of Columbia do not yet have a NIBRS-certified UCR Program. Eleven of the 15 states are working to implement a NIBRS Program within the state, and four are planning for the state-level transition to NIBRS. The following table provides a list of the states by their current NIBRS status.

NIBRS Status by State				
<i>Accepting NIBRS data from local LE agencies</i>				
AR	IN	MN	OK	TX
AZ	KS	MO	OR	UT
CO	KY	MT	PA	VA
CT ^b	LA	ND	RI ^b	VT
DE	MA	NE	SC	WA
IA	ME	NH	SD	WI
ID	MI	OH	TN	WV
<i>Implementing a NIBRS program in the state</i>				
AK	GA	NC	NY	
AL	HI	NJ	WY	
FL	MD	NV		
<i>Planning a NIBRS program in the state</i>				
CA	IL	MS ^a	NM	
Note: Excludes the District of Columbia.				
^a Does not have a state-level UCR Program.				
^b No agencies were selected for main NCS-X sample.				

Costs Considered Allowable Under this Solicitation

Funding provided to local LE 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 directly necessary 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 and hardware 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/NIBRS compliant data to the state UCR Program, costs for improving the automation of processes associated with data collection and management, and costs for validation testing to ensure conformance with state-IBR/NIBRS standards.
2. As applicable, contract support costs for local agencies to procure technical assistance for critical agency personnel in how to collect, input, and process incident-based data, if the agency system undergoes substantial modification to become state-IBR/NIBRS compliant.

Under this solicitation, certain costs are NOT allowable, including the following:

1. personnel costs
2. software maintenance costs

3. staff training
4. technical assistance not in direct support of automating data processes to collect, extract, and submit NIBRS-conformant data
5. hardware- or software-related contract costs beyond the length of the award period
6. equipment that is not directly and primarily related to implementing NIBRS reporting system.

Goals, Objectives, and Deliverables

LE agencies funded through this solicitation must submit incident-based data that conform to the state-IBR or NIBRS standard, as applicable, within the project period and are certified to report state IBR-compliant data by January 1, 2012. 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, extracting, and reporting IBR data to the state UCR Program or directly to the FBI.

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. Award recipients are expected to hold monthly status calls with BJS, CJIS, and the NCS-X Team to update on project progress. In addition, award recipients must provide monthly written reports that (1) update the status of each project task, (2) report the progress made toward completion of each task, and (3) provide up-to-date award expenditure information.

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.

The activities proposed under this award should be completed within a maximum of 24 months. BJS discourages applicants from proposing project periods more than 24 months but acknowledges that exigent circumstances may require some agencies to request more time. Applicants that propose a project period more 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

Planning for the transition to NIBRS-compliant crime reporting requires that applicants have a basic understanding of their state-specific implementation of IBR. Some states have incorporated additional IBR requirements that vary from the national NIBRS reporting standards, often in response to state legislative or policy mandates. Applicants are encouraged to contact their state UCR Program for information about the IBR reporting requirements and technical specifications. Applicants should consider the state-specific IBR reporting requirements when completing their [NCS-X Readiness Assessment](#). Responses to the readiness assessment provide support for the resources requested in the application for funding.

Successful applicants to this solicitation will be required to—

1. Procure appropriate technology solutions that address their agency's hardware and software needs for transitioning to IBR/NIBRS reporting, as identified in the funding application and in the agency's readiness assessment.
2. Develop contractual agreements with technology solution providers that will enable the IBR/NIBRS transition, as needed; oversee the work of these third-party contractors; and ensure contractor deliverables are received on time and on budget.
3. Develop contractual agreements with other organizations that share an RMS with your agency, if applicable.
4. Establish and maintain regular communication with the state UCR Program to ensure the applicant agency's incident-based crime data are compliant with state IBR requirements.
5. Test IBR data submissions with the state UCR Program; obtain certification to report IBR data to the state Program; and report state IBR-compliant data by January 1, 2021.
6. Provide status reports to BJS, to include monthly project status calls and written summaries with updates on expenditures and project completion.

Applicants are encouraged to review the application review criteria included in [Section E. Application Review Information](#).

Section 1: Agency Overview and Current Crime Data Management Processes

In this section, applicants are asked to provide background information about their agency and the agency's current crime data reporting practices. Applicants should also review and analyze the current and anticipated technical and systems needs (e.g., hardware, software) of the agency when making the transition to IBR/NIBRS. Information provided in this section should reference the agency's [NCS-X Readiness Assessment](#).

Agency overview and background information

1. Provide a brief overview of their agency that includes agency demographics (e.g., size of agency, size of jurisdiction served, average number of reports, general organization) and any other important information.
2. If their agency is part of a consortium of agencies that use a shared RMS, briefly describe these agencies and the governance structure relevant to making modifications to the system.
3. Describe how their agency records, manages, and stores incident information. Include an outline of the workflow of incident reporting how incident information is gathered, input, and reviewed, and how data are accessed, modified, and validated/verified.
4. Indicate if their agency submits summary-based data to the state UCR Program.
 - a. Describe the process to produce summary UCR submissions and send those data to the state UCR Program.
 - b. Identify the format in which data are transmitted (e.g., XML, other electronic format, paper forms).
 - c. If summary UCR data are not provided to the state, indicate the reasons for not reporting.
 - d. Describe any anticipated changes to the process of reporting data to the state UCR Program that may result from the transition to NIBRS.

*Assessment of agency's ability to comply with **federal** NIBRS and **state-specific** IBR standards*

5. Determine if their agency currently collects all of the required NIBRS data elements and values.³
 - a. If they are not collected, indicate if their agency's current system is capable of becoming NIBRS compliant (e.g., by purchasing a NIBRS module for the RMS or upgrading the current system to a new version).
 - b. If the system cannot be made NIBRS-capable, discuss how the agency will achieve compliance.
 - c. Discuss the steps taken to identify the software and hardware (if any) needed to report incident-based data.
6. Determine whether their agency's current reporting system imposes the NIBRS edit checks and data validation rules. If necessary, describe the steps required to incorporate the NIBRS edits checks and validation rules into the system.
7. Discuss any other NIBRS-specific data collection gaps identified in their agency's readiness assessment and the actions their agency must take to address those gaps to report NIBRS-compliant data.
8. Describe any state-specific data elements agencies are required to collect for submission to the state UCR Program.
 - a. Discuss how those additional elements will affect their agency's ability to implement a NIBRS-compliant reporting process.
 - b. Describe any additional challenges their agency may confront in reporting incident-based data to the state UCR Program or the FBI.
9. Determine the types of technical assistance, if any, required to transition to IBR/NIBRS.
 - a. Describe any vendor-provided technical assistance required for agency staff to report state-specific IBR or NIBRS-compliant data into the RMS. Include information about the type of technical assistance needed and how it will be deployed to agency staff.
 - b. Describe any technical assistance required from the state UCR Program or CJIS for agency personnel to learn NIBRS reporting rules.⁴

Section 2: Project Design and Implementation

In this section, applicants should describe the specific activities the agency will undertake to transition to IBR. The project plan should describe how the applicant agency will address any NIBRS-specific data collection gaps identified in their readiness assessment and must make clear connections to the deficiencies and needs identified in Section 1. Applicants are encouraged to detail the specific steps their agency will take to transition to NIBRS. Applications should describe how the project activities would specifically improve the automated capture and management of incident-based data.

1. Outline and describe the changes necessary for the applicant agency to transition from reporting summary-formatted crime data to reporting data in the state-IBR/NIBRS format (as applicable).
 - a. Indicate the technical changes necessary to meet the state-IBR/NIBRS required data standard and technical specification. Provide the specific steps the applicant agency must take to make those technical changes, including any hardware, software, or equipment modifications or procurements.

³ The [NCS-X Readiness Assessment](#) will assist agencies to determine NIBRS compliance. Applicants should reference their completed readiness assessment when describing the agency's readiness for NIBRS reporting and the technology modifications, if any, required to become NIBRS compliant.

⁴ Please note NCS-X funds cannot be used to pay for agency personnel-related costs of any training.

- b. Describe the improvements to automation that will result from technical and other changes made to collect state-IBR/NIBRS compliant incident data.
 - c. Describe the technical assistance requirements for a successful transition to state-IBR/NIBRS. (Note: Staff personnel costs to receive technical assistance cannot be funded through this solicitation.)
- 2. Describe the impact that transitioning to IBR/NIBRS will have on current crime data management practices, if any, and how the agency plans to address those challenges.
- 3. Describe how IBR data will be reported to the state UCR Program or the FBI. Indicate the structure of the data submission (i.e., flat file or XML) and if the agency's current RMS may generate output in the format required for submission. Proposals should articulate a clear plan that demonstrates how the applicant agency will report IBR data.
- 4. Describe the agency's plan for achieving IBR certification from the state UCR Program or the FBI, as applicable.
- 5. Provide a timeline for transitioning to state-IBR/NIBRS, including the major milestones toward full implementation. Applicants are strongly encouraged to submit a timeline table that encompasses all major project activities and includes separate columns for project tasks, start dates, tentative completion dates, and deliverables.

Section 3: Project Communication Plan

This section should include a plan for communicating about project activities, status, timelines, and challenges with BJS, CJIS, the NCS-X Implementation Team, and the state UCR Program, as necessary.

- 1. Draft a project timeline that includes a 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. For planning purposes, projects should start no sooner than April 2018. The kickoff meeting should be held via teleconference or video conference to save on travel costs. Based on discussion during the kickoff meeting, the recipient of funds will then make any necessary revisions to the project budget and timeline provided in the application, including dates of completion for each task, completion of any deliverables, delivery for monthly status reports, and scheduled meetings, where applicable.
- 2. Outline a communication strategy describing how the recipient of funds will provide project updates to BJS and CJIS. It should also explain 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 monthly phone conferences with BJS, the FBI, and the NCS-X Implementation Team.
- 3. Indicate plan for completing and submitting the required grant reports:
 - a. quarterly financial status reports (see below)
 - b. semiannual grant progress reports
 - c. monthly written project status reports that update the status of each task identified, report the progress made toward completion of each task, and provide an update on budget expenditures in each of the budget categories.

Section 4: Transition Costs

In this section, applicants must identify the costs associated with their transition to NIBRS. Applicants are asked to detail costs associated with improving the automated capture of incident-based data

1. Describe the costs associated with the project activities and deliverables identified in Section 2 above. When possible, quotes from third party companies (e.g., RMS solution provider) should be included with the application. Ensure applications differentiate between costs requested under this solicitation and those that cannot be funded as part of this funding request (if applicable).
2. Provide a detailed budget, using the [OJP Budget Detail Worksheet](#), indicating all items and activities to be funded. Each funding request should be directly related to improving automation and enabling the applicant agency to report state-IBR/NIBRS data.
3. Include a Budget Narrative describing each expense listed in the Budget Detail Worksheet and how each expense is necessary to report state-IBR/NIBRS data.
4. Discuss how the applicant agency will absorb ongoing costs, if any, associated with the transition to IBR.

Section 5: Capabilities and Competencies of Project Staff

This section should describe the agency's plan for managing the proposed project activities and provide information about the particular expertise, skills, or abilities of the staff identified to implement the project plan.

1. Provide a thorough justification that the project staff identified in the application have the necessary qualifications and experience to oversee project tasks and fulfill the project goals. Applicants should make a clear connection between the capabilities and competencies of the proposed project staff and activities necessary to successfully achieve the deliverables required.
2. Include a description, if applicable, of the capabilities and competencies of any proposed contract staff that will support the project activities. For contract staff not yet hired, applicants must adequately describe the process to identify candidates with appropriate experience and expertise.
3. Describe how project staff will communicate project goals, activities, and status to senior leadership and management within the agency and how decisions about project activities will be made within the organization. If the proposal includes working with other agencies (e.g., agencies that share your RMS) or other organizations (e.g., RMS vendor), describe how project staff will coordinate to ensure project activities are completed on time and on budget.

Section 6: Plan for Collecting Performance Measures

In this section, applicants should describe how their agency will collect and report the performance measures required for this award. The performance measures for this solicitation are listed in the [Plan for Collecting the Data Required for this Solicitation's Performance Measures](#).

The Goals, Objectives, and Deliverables listed in the Statement of Work above are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

Evidence-Based Programs or Practices

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

- improving the quantity and quality of evidence OJP generates
- integrating evidence into program, practice, and policy decisions within OJP and the field
- improving the translation of evidence into practice.

OJP considers programs and practices to be evidence based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence based.

The OJP CrimeSolutions.gov website at <https://www.crimesolutions.gov> is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

Information Regarding Potential Evaluation of Programs and Activities

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that the Office of Justice Programs may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and sub-recipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

B. Federal Award Information

BJS expects to make multiple awards of varying amounts, with an associated project period of 24 months or less. To allow time for 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 August 1, 2018.

In certain cases, BJS may provide additional funding in future years to awards made under this solicitation through continuation awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, OJP's assessment of both the management of the award (e.g., timeliness and quality of progress reports), and the progress of the work funded under the award.

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

Type of Award

BJS expects to make any award under this solicitation in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under

[Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁵) must, as described in the Part 200 Uniform Requirements⁶ as set out at 2 C.F.R. 200.303:

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

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the Department of Justice (DOJ) Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information), which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire—the [OJP Financial Management and System of Internal Controls Questionnaire](#)—that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

⁵ 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. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

⁶ 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.

Budget Information

Cost Sharing or Matching Requirement

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

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" at <https://ojp.gov/financialguide/doj/index.htm> 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.⁷ The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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 BJS 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

⁷ 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.

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

<https://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 and some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the “Civil Rights Compliance” section under [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

C. Eligibility Information

For eligibility information, see the title page and [Appendix B](#).

For information on cost sharing or matching 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. For this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, and Budget Narrative.

NOTE: OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the “Note on File Names and File Types” under [How To Apply](#) to be sure applications are submitted in permitted formats.

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. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 5), 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.) Also, these applicants should enter the 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. To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), 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). Also, these recipients should enter the Employer Identification Number (EIN) in box 8c 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 (GAN) updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name, its address, its EIN, and its Data Universal Numbering System (DUNS). A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

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

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

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

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

3. Program Narrative

The program narrative section of the application should not exceed 25 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 25-page limit for the narrative section. The project abstract, table of contents, appendices, readiness assessment form, and government forms do not count toward the 25-page limit.

If the program narrative fails to comply with these length-related restrictions, BJS may consider such noncompliance when making final award decisions.

The following sections should be included as part of the program narrative. The program narrative must also address all of the elements included in the solicitation above under the section “Statement of Work and Deliverables.”

The following sections should be included as part of the program narrative⁸:

- a. Agency Overview and Current Crime Data Management Processes
- b. Project Design and Implementation
- c. Project Communication Plan
- d. Transition Costs
- e. Capabilities and Competencies of Project Staff
- f. Plan for Collecting the Data Required for this Solicitation’s Performance Measures

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see [General Information about Post-Federal Award Reporting Requirements](#) in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the goals, objectives, and deliverables identified under [Goals, Objectives, and Deliverables](#) in [Section A. Program Description](#).

⁸ 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](#).

Applicants should visit OJP's performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program.

Performance measures for this solicitation are listed in [Appendix A: Performance Measures Table](#).

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

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 2018 Awards](#)," available through the OJP Funding Resource Center at <https://ojp.gov/funding/Explore/SolicitationRequirements/index.htm>.

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

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to

Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

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

b. Budget Narrative

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

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) and 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 an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction, as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes, DOJ regulations, and others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a

procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>:

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients](#)
- [Checklist to Determine Subrecipient or Contractor Classification](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist](#).

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, contract, or 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. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

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 Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not 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 of more than \$150,000)

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. 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.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source GAN. Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

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 (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 (unexpired) federally approved indirect cost rate must 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 Office of the Chief Financial Officer (OCFO) Customer Service Center at 800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://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.) For additional eligibility requirements, please see Part 200 Uniform Requirements, as set out at https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rgn=div8.

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

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

Among other things, the form requires each applicant to disclose whether it currently is designated high risk by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or

financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

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

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

7. 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) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. 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”).

8. Additional Attachments

The following required documents should be submitted online as a single file attachment or as separate attachments:

a. NCS-X Readiness Assessment Form

See NCS-X 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
- POC information at the applicable federal or state funding agency.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail 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 (IRS) regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (question 9c in the “OJP Financial Management and System of Internal Controls Questionnaire” located at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> and 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) 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) appropriate data as to comparability of compensation that is obtained in advance and relied on by the body that reviews and approves compensation arrangements for covered persons; and (4) 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 IRS 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

An applicant must submit its application through the [Grants Management System \(GMS\)](#), which provides support for the application, award, and management of awards at OJP. Each applicant entity **must register in GMS for each specific funding opportunity** and should **register immediately** to meet the GMS registration deadline for this funding opportunity, especially if this is the first time the applicant is using the system. Find complete instructions on how to register and submit an application in GMS at www.ojp.gov/gmscbt/. An applicant that experiences technical difficulties during this process should email GMS.HelpDesk@usdoj.gov or call 888-549-9901 (option 3), available 24 hours per day, 7 days per week, except for federal holidays. OJP recommends that each applicant **register immediately** to prevent delays in submitting an application package by the deadline.

Note on File Types: 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.

Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the 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 an award to a different applicant.

If the applicant entity already has an EIN, the SAM registration will take **up to two weeks to process**. If the entity does not have an EIN, then **the applicant should allow two to five weeks for obtaining the information from IRS when requesting the EIN via phone, fax, mail or Internet**. For more information about EIN, visit <https://www.irs.gov/individuals/international-taxpayers/taxpayer-identification-numbers-tin>.

Registration and Submission Steps

- 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.

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. A DUNS number is usually received within 1–2 business days.

- 2. Acquire or maintain registration with SAM.** All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). 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 may take as long as 10 business days to complete (2 more weeks to acquire an EIN).

Information about SAM registration procedures can be accessed at www.sam.gov.

- 3. Acquire a GMS username and password.** New users must create a GMS profile by selecting the “First Time User” link under the sign-in box of the [GMS](http://www.gms.gov) home page. For more information on how to register in GMS, go to www.ojp.gov/gmscbt. Previously registered

applicants should ensure, prior to applying, that the user profile information is up to date in GMS (including, but not limited to, address, legal name of agency and authorized representative) as this information is populated in any new application.

4. **Verify the SAM (formerly CCR) registration in GMS.** OJP requires each applicant to verify its SAM registration in GMS. Once logged into GMS, click the “CCR Claim” link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
5. **Search for the funding opportunity on GMS.** After logging in to GMS or completing the GMS profile for username and password, go to the “Funding Opportunities” link on the left side of the page. Select “Bureau of Justice Statistics” and the “FY 2018 NCS-X Implementation Assistance Program: Support for Local Law Enforcement Agencies, Part 1.”
6. **Register by selecting the “Apply Online” button associated with the funding opportunity title.** The search results from step 5 will display the “funding opportunity” (solicitation) title along with the registration and application deadlines for this solicitation. Select the “Apply Online” button in the “Action” column to register for this solicitation and create an application in the system.
7. **Follow the directions in GMS to submit an application consistent with this solicitation.** Once the application is submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before submitting an application. OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date.

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 GMS Technical Issues

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline must contact the [GMS Help Desk](#) or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the BJS contact identified in the [Contact Information](#) section **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 application, the applicant’s DUNS number, and any GMS 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 GMS Help Desk 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 their application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or GMS in sufficient time (SAM registration and renewal can take as long as 10 business days to complete.)
- Failure to follow GMS instructions on how to register and apply as posted on the GMS website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls.

E. Application Review Information

Review Criteria

In making decisions to award funds under this program, BJS, in collaboration with the FBI CJIS, will determine whether the application meets program requirements. Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria:

1. Description of the Issue

- Includes a clear description of the applicant agency, including if the agency uses a shared RMS.
- Describes in sufficient detail the applicant agency's current crime reporting practices, including how the agency records and manages crime incident information and how they process and report those data to the state UCR Program.
- Provides adequate detail about the agency's technical and systems needs (e.g., hardware, software) required to report crime incident data compliant with the state IBR or NIBRS requirements.
- Includes the [NCS-X Readiness Assessment](#) and clearly connects the technical and systems needs to the information in the readiness assessment.

2. Project Design and Implementation

- Provides a thorough plan for addressing the technical and systems needs required to report incident-based data to the state UCR Program or the FBI, as applicable.
- Describes the impact that transitioning to IBR/NIBRS will have on current crime data management practices and how the applicant plans to address those challenges.
- Thoroughly addresses all of the elements associated with transitioning to IBR/NIBRS, including transition activities that are outside the scope of funding through this solicitation. Includes a plan for addressing those additional nonfundable activities, if applicable.
- Includes a thorough justification for each of the project elements, and how each project activity is related to improving the automation of crime reporting within the agency.
- Describes potential challenges or risks associated with the proposed project design and suggests reasonable actions to mitigate those risks.
- Provides justification that the proposed project design and implementation plan is feasible and likely to accomplish all tasks and deliverables within the project period.

3. Project Communication Plan

- Outlines an adequate strategy for providing project updates to BJS and FBI CJIS, including how monthly phone conferences will be managed by the recipient of funds.
- Includes a project timeline that includes a detailed task plan, preliminary timeframes for completing project tasks, a preliminary schedule for completion of project

deliverables, and the tentative schedule of project meetings and teleconferences, as applicable.

- Includes a plan for updating the monthly project reporting template.

4. Capabilities and Competencies

- Adequately describes the agency's plan for managing the proposed project activities.
- Describes the ability of the applicant agency to ensure project activities are completed on time and on budget. For agencies using a shared RMS, application includes a plan for working with the other agencies or organizations using that RMS.
- Provides thorough justification that the project staff identified in the application have the necessary qualifications and experience to oversee project tasks and fulfill the project goals. Applicant makes a clear connection between the capabilities and competencies of the proposed project staff and the activities necessary to successfully achieve the deliverables required.
- Includes a description, if applicable, of the capabilities and competencies of any proposed contract staff that will support the project activities. For contract staff not yet hired, applicant adequately describes the process they will use to identify candidates with the appropriate experience and expertise.

5. Plan for Collecting the Data Required for this Solicitation's Performance Measures

- Indicates an understanding of the required [performance measures](#).
- Discusses how the applicant will gather the performance measures data.

6. Transition Costs/Budget must be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.⁹

- Describes the anticipated costs associated with each project activity or component, along with a justification that those activities or components are required for the agency's transition to IBR/NIBRS (i.e., if the activities or components included in the proposal are not completed, the IBR/NIBRS transition cannot occur).
- Identifies any agency transition costs that cannot be funded under this solicitation, and adequately addresses how the applicant agency will cover those costs, as applicable.
- Provides an adequate description of how the applicant agency will absorb costs associated with the IBR/NIBRS transition after the project period ends.
- Provides a detailed budget that includes a thorough justification for each of the project elements and how each project activity is related to improving the automation of crime reporting within the agency and is necessary to report data in the state-IBR/NIBRS format.
- Discusses how the agency will pursue implementation strategies that maximize the cost effectiveness of grant expenditures.

⁹ 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

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, achievable, and consistent with the solicitation.

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

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

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

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicant. OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award, among other things to help assess whether an applicant with one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics.

In addition, 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, (FAPIS)).

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

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 the BJS and FBI CJIS review of the program requirements and other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2018. 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 and submission 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 and applicable requirements of federal statutes and regulations (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 2018 Awards](https://ojp.gov/funding/index.htm), available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. 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 (An applicant is not required to submit these documents as part of an application.):

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

The webpages accessible through the [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](https://ojp.gov/funding/index.htm) 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 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJS expects that any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the nature of 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 and its NCS-X partner agencies, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, implementation strategies, and major project-generated materials. In addition, BJS often indicates in the award terms and conditions 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 BJS include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

General Information about Post-Federal Award Reporting Requirements

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

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

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

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, and to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA; P.L. 103-62) and the GPRA Modernization Act of 2010 (P.L. 111-352), OJP will require any award recipient, post-award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program. Performance measures are also listed as [Appendix A](#).

G. Federal Awarding Agency Contact(s)

For contact(s), see the title page.

For contact information for GMS, 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 the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law enforcement-sensitive information.

Provide Feedback to OJP

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

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@l-secb.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 A: Performance Measures Table

Objective	Performance measures	Data grantee provides
<p>Assess the needs associated with transitioning to incident- based crime reporting to the state UCR Program or directly to the FBI.</p>	<p>Number of meetings or conference calls held.</p>	<p>Number of meetings or conference calls held with the NCS-X Implementation Team.</p> <p>Number of meetings or conference calls held with applicable contract agencies or companies to clarify system needs at the local agency level.</p>
	<p>Develop a plan as a result of an assessment.</p>	<p>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.</p>
	<p>Deliverables completed on time.</p>	<p>Provide documentation of meetings with NCS-X Implementation Team members, including meeting minutes and next steps identified during those meetings.</p> <p>Provide memos summarizing contacts and meetings with applicable contract agencies or companies and any next steps identified from those discussions.</p>
<p>Coordinate with NCS-X Implementation Team to receive technical assistance to support NIBRS reporting activities.</p>	<p>Number of requests for technical assistance made to the Implementation Team.</p> <p>Number of hours of technical assistance received.</p> <p>Number of requests for technical assistance completed.</p>	<p>Number of requests for technical assistance made to the NCS-X Implementation Team, by type of technical assistance.</p> <p>Number of technical assistance hours received from the NCS-X Implementation Team.</p> <p>Number of requests for technical assistance completed by the NCS-X Implementation Team, by type of technical assistance.</p>

Objective	Performance measures	Data grantee provides
<p>Establish a NIBRS-certified IBR program in the local agency (if applicable).</p>	<p>Deliverables completed on time.</p> <p>Deliverables that meet expectations.</p>	<p>Provide a letter of support from the designated authority of the state UCR Program in support of local agency program and reporting activities.</p> <p>Create 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.</p> <p>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.</p>

Appendix B: List of Eligible Agencies

State	Agency	ORI
AK	SEWARD POLICE DEPARTMENT	AK00108
AL	CULLMAN COUNTY SHERIFF'S OFFICE	AL02500
AL	MONTGOMERY POLICE DEPARTMENT	AL00301
AZ	CHANDLER POLICE DEPARTMENT	AZ00705
AZ	COLORADO RIVER TRIBAL POLICE DEPARTMENT	AZ01502
AZ	PEORIA POLICE DEPARTMENT	AZ00721
AZ	SAN LUIS POLICE DEPARTMENT	AZ01408
AZ	SIERRA VISTA POLICE DEPARTMENT	AZ00209
AZ	TUCSON POLICE DEPARTMENT	AZ01003
CA	ANAHEIM POLICE DEPARTMENT	CA03001
CA	ARCADIA POLICE DEPARTMENT	CA01902
CA	BLYTHE POLICE DEPARTMENT	CA03303
CA	CALIFORNIA STATE UNIVERSITY POLICE DEPARTMENT: STOCKTON	CA03923
CA	CALIFORNIA HIGHWAY PATROL	CA03499
CA	CONTRA COSTA COUNTY SHERIFF'S OFFICE	CA00700
CA	CRESCENT CITY POLICE DEPARTMENT	CA00801
CA	FARMERSVILLE POLICE DEPARTMENT	CA05403
CA	FRESNO COUNTY SHERIFF'S OFFICE	CA01000
CA	FRESNO POLICE DEPARTMENT	CA01005
CA	GARDEN GROVE POLICE DEPARTMENT	CA03009
CA	GLENDALE POLICE DEPARTMENT	CA01925
CA	GLENN COUNTY SHERIFF'S DEPARTMENT	CA01103
CA	KERN COUNTY SHERIFF'S OFFICE	CA01500
CA	MERCED COUNTY SHERIFF'S OFFICE	CA02400
CA	MURRIETA POLICE DEPARTMENT	CA03342
CA	NAPA POLICE DEPARTMENT	CA02802
CA	ONTARIO POLICE DEPARTMENT	CA03607
CA	OXNARD POLICE DEPARTMENT	CA05604
CA	PASADENA POLICE DEPARTMENT	CA01953
CA	RICHMOND POLICE DEPARTMENT	CA00710
CA	RIVERSIDE COUNTY SHERIFF'S OFFICE	CA03300
CA	RIVERSIDE POLICE DEPARTMENT	CA03313

State	Agency	ORI
CA	SACRAMENTO COUNTY SHERIFF'S OFFICE	CA03400
CA	SAN BERNARDINO COUNTY SHERIFF'S OFFICE	CA03600
CA	SAN FRANCISCO POLICE DEPARTMENT	CA03801
CA	SAN JOAQUIN COUNTY SHERIFF'S OFFICE	CA03900
CA	SAN JOSE POLICE DEPARTMENT	CA04313
CA	SANTA BARBARA POLICE DEPARTMENT	CA04203
CA	SANTA CLARA COUNTY SHERIFF'S OFFICE	CA04300
CA	SANTA CLARA POLICE DEPARTMENT	CA04314
CA	TEHAMA COUNTY SHERIFF'S OFFICE	CA05200
CA	UNION CITY POLICE DEPARTMENT	CA00113
CA	UNIVERSITY OF CALIFORNIA POLICE DEPARTMENT: SANTA CRUZ	CA04497
CA	VALLEJO POLICE DEPARTMENT	CA04807
CA	WOODLAND POLICE DEPARTMENT	CA05703
DC	DISTRICT OF COLUMBIA POLICE DEPARTMENT	DCMPD00
GA	ATLANTA METROPOLITAN COLLEGE POLICE DEPARTMENT	GA06042
GA	ATLANTA POLICE DEPARTMENT	GAAPD00
GA	AUGUSTA-RICHMOND COUNTY SHERIFF'S OFFICE	GA12100
GA	BARROW COUNTY SHERIFF'S OFFICE	GA00700
GA	BARTOW COUNTY SHERIFF'S OFFICE	GA00800
GA	BYROMVILLE POLICE DEPARTMENT	GA04604
GA	CANTON POLICE DEPARTMENT	GA02801
GA	CARROLL COUNTY SHERIFF'S OFFICE	GA02200
GA	CLARK ATLANTA UNIVERSITY POLICE DEPARTMENT	GA06030
GA	COASTAL GEORGIA COMMUNITY COLLEGE POLICE DEPARTMENT	GA06303
GA	EARLY COUNTY SHERIFF'S OFFICE	GA04900
GA	FULTON COUNTY POLICE DEPARTMENT	GA06013
GA	GWINNETT COUNTY POLICE DEPARTMENT	GA06702
GA	HEPHZIBAH POLICE DEPARTMENT	GA12103
GA	MUSCOGEE COUNTY SHERIFF'S OFFICE	GA10600

State	Agency	ORI
GA	NEWNAN POLICE DEPARTMENT	GA03801
GA	POLK COUNTY POLICE DEPARTMENT	GA11503
GA	SMYRNA POLICE DEPARTMENT	GA03304
GA	SUWANEE POLICE DEPARTMENT	GA06709
ID	NEZ PERCE TRIBAL POLICE DEPARTMENT	IDDI004
IL	ARMINGTON POLICE DEPARTMENT	IL09018
IL	AURORA POLICE DEPARTMENT	IL04501
IL	BUFFALO GROVE POLICE DEPARTMENT	IL01614
IL	CHAMPAIGN COUNTY SHERIFF'S OFFICE	IL01000
IL	ELMHURST POLICE DEPARTMENT	IL02207
IL	FAIRMOUNT POLICE DEPARTMENT	IL09204
IL	FREEBURG POLICE DEPARTMENT	IL08208
IL	GENEVA POLICE DEPARTMENT	IL04507
IL	GREENVILLE POLICE DEPARTMENT	IL00301
IL	HANCOCK COUNTY SHERIFF'S OFFICE	IL03400
IL	MACON COUNTY SHERIFF'S OFFICE	IL05800
IL	MARTINSVILLE POLICE DEPARTMENT	IL01203
IL	MINONK POLICE DEPARTMENT	IL10204
IL	MOUND CITY POLICE DEPARTMENT	IL07702
IL	PALMYRA POLICE DEPARTMENT	IL05912
IL	PHOENIX POLICE DEPARTMENT	IL01690
IL	RIDGWAY POLICE DEPARTMENT	IL03001
IL	SAUK VILLAGE POLICE DEPARTMENT	IL0161A
IL	SOUTH BARRINGTON POLICE DEPARTMENT	IL0165A
IL	SPRINGFIELD POLICE DEPARTMENT	IL08402
IL	ST. CLAIR COUNTY SHERIFF'S OFFICE	IL08200
IL	WABASH COUNTY SHERIFF'S OFFICE	IL09300
IL	WILLOWBROOK POLICE DEPARTMENT	IL02230
IL	WOODSTOCK POLICE DEPARTMENT	IL05615
IN	DELAWARE COUNTY SHERIFF'S OFFICE	IN01800
IN	FISHERS POLICE DEPARTMENT	IN02907
IN	INDIANA UNIVERSITY POLICE DEPARTMENT: GARY	IN04518

State	Agency	ORI
IN	INDIANA UNIVERSITY POLICE DEPARTMENT: BLOOMINGTON	IN05302
IN	INDIANAPOLIS POLICE DEPARTMENT	INIPD00
IN	NEW ALBANY POLICE DEPARTMENT	IN02201
IN	PARKE COUNTY SHERIFF'S OFFICE	IN06100
IN	SOUTH BEND POLICE DEPARTMENT	IN07102
IN	ST. JOSEPH COUNTY SHERIFF'S OFFICE	IN07100
IN	WHITING POLICE DEPARTMENT	IN04511
IN	WINCHESTER POLICE DEPARTMENT	IN06802
MD	BALTIMORE CITY POLICE DEPARTMENT	MDBPD00
MD	HAGERSTOWN POLICE DEPARTMENT	MD02203
MO	BIRCH TREE POLICE DEPARTMENT	MO10201
MO	CAMERON POLICE DEPARTMENT	MO02501
MO	CAPE GIRARDEAU COUNTY SHERIFF'S OFFICE	MO01600
MO	COLUMBIA POLICE DEPARTMENT	MO01002
MO	EAST PRAIRIE POLICE DEPARTMENT	MO06702
MO	FRONTENAC POLICE DEPARTMENT	MO09531
MO	SAINT LOUIS POLICE DEPARTMENT	MOSPD00
MO	SIKESTON POLICE DEPARTMENT	MO10106
MO	WARRENTON POLICE DEPARTMENT	MO11003
MS	CHOCTAW TRIBAL POLICE DEPARTMENT	MSDI050
MS	INDIANOLA POLICE DEPARTMENT	MS06701
MS	POPLARVILLE POLICE DEPARTMENT	MS05502
MS	SHELBY POLICE DEPARTMENT	MS00603
MS	WASHINGTON COUNTY SHERIFF'S OFFICE	MS07600
NC	BEAUFORT POLICE DEPARTMENT	NC01601
NC	CARTHAGE POLICE DEPARTMENT	NC06305
NC	CUMBERLAND COUNTY SHERIFF'S OFFICE	NC02600
NC	DURHAM COUNTY SHERIFF'S OFFICE	NC03200
NC	EAST SPENCER POLICE DEPARTMENT	NC08002
NC	FAYETTEVILLE POLICE DEPARTMENT	NC02601
NC	GRANVILLE COUNTY SHERIFF'S OFFICE	NC03900

State	Agency	ORI
NC	GREENSBORO POLICE DEPARTMENT	NC04102
NC	MARSHVILLE POLICE DEPARTMENT	NC09001
NC	OAK ISLAND POLICE DEPARTMENT	NC01001
NC	ONslow COUNTY SHERIFF'S OFFICE	NC06700
NC	ROWAN COUNTY SHERIFF'S OFFICE	NC08000
NC	SALISBURY POLICE DEPARTMENT	NC08005
NC	SEVEN DEVILS POLICE DEPARTMENT	NC09504
NC	SMITHFIELD POLICE DEPARTMENT	NC05101
NC	WARREN COUNTY SHERIFF'S OFFICE	NC09300
NC	WEST JEFFERSON POLICE DEPARTMENT	NC00501
ND	FORT TOTTEN AGENCY POLICE DEPARTMENT	NDDI002
NE	OMAHA TRIBAL POLICE DEPARTMENT	NB08702
NJ	PORT AUTHORITY POLICE DEPARTMENT	NJNYPOA
NM	GUADALUPE COUNTY SHERIFF'S OFFICE	NM01000
NM	LAGUNA TRIBAL POLICE DEPARTMENT	NM03303
NM	LAS CRUCES POLICE DEPARTMENT	NM00701
NM	LOGAN POLICE DEPARTMENT	NM02002
NY	CATTARAUGUS COUNTY SHERIFF'S OFFICE	NY00400
NY	CHEMUNG COUNTY SHERIFF'S OFFICE	NY00700
NY	CLYDE VILLAGE POLICE DEPARTMENT	NY05822
NY	GENEVA POLICE DEPARTMENT	NY03402
NY	GREECE TOWN POLICE DEPARTMENT	NY02754
NY	HAMBURG TOWN POLICE DEPARTMENT	NY01465
NY	HEMPSTEAD VILLAGE POLICE DEPARTMENT	NY02906
NY	ITHACA POLICE DEPARTMENT	NY05401
NY	MANLIUS TOWN POLICE DEPARTMENT	NY03329

State	Agency	ORI
NY	MECHANICVILLE POLICE DEPARTMENT	NY04523
NY	NASSAU COUNTY SHERIFF'S OFFICE	NY02900
NY	NEW YORK CITY POLICE DEPARTMENT	NY03030
NY	ORCHARD PARK TOWN POLICE DEPARTMENT	NY01460
NY	OSSINING VILLAGE POLICE DEPARTMENT	NY05905
NY	PUTNAM COUNTY SHERIFF'S OFFICE	NY03900
NY	SUFFOLK COUNTY POLICE DEPARTMENT	NY05101
NY	SYRACUSE POLICE DEPARTMENT	NY03301
NY	WASHINGTONVILLE VILLAGE POLICE DEPARTMENT	NY03520
NY	YORKTOWN TOWN POLICE DEPARTMENT	NY05968
OH	VANDALIA POLICE DEPARTMENT	OH05713
OK	ENID POLICE DEPARTMENT	OK02401
OK	UNIVERSITY OF CENTRAL OKLAHOMA	OK05517
OR	KLAMATH FALLS POLICE DEPARTMENT	OR01801
OR	WARM SPRINGS TRIBAL POLICE DEPARTMENT	ORDI050
OR	WASHINGTON COUNTY SHERIFF'S OFFICE	OR03400
PA	PITTSBURGH POLICE BUREAU	PAPPD00
TX	HARRIS COUNTY SHERIFF'S OFFICE	TX10100
TX	HOUSTON POLICE DEPARTMENT	TXHPD00
WA	SUQUAMISH TRIBAL POLICE DEPARTMENT	WADI009
WA	UPPER SKAGIT TRIBAL POLICE DEPARTMENT	WADI065
WI	KENOSHA COUNTY SHERIFF'S OFFICE	WI03000
WI	WAUSAU POLICE DEPARTMENT	WI03703

Appendix C: Application Checklist

FY 2018 NCS-X Implementation Assistance Program: Support for Local Law Enforcement Agencies, Part 1

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

What an Applicant Should Do:

Prior to Registering in GMS:

- Acquire a DUNS Number (see page 28)
- Acquire or Renew Registration with SAM (see page 28)

To Register with GMS:

- For New Users, Acquire a GMS Username and Password* (see page 28)
- For Existing Users, Check GMS Username and Password to Ensure Account Access* (see page 28)
- Verify SAM Registration in GMS (see page 29)
- Search for Correct Funding Opportunity in GMS (see page 29)
- Select Correct Funding Opportunity in GMS (see page 29)
- Register by Selecting the “Apply Online” Button Associated with the Funding Opportunity (see page 29)
- Read OJP Policy and Guidance on Conference Approval, Planning, and Reporting Available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 17)
- If Experiencing Technical Difficulties in GMS, Contact BJS (see page 29)

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

Overview of Post-Award Legal Requirements:

- Review the [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](http://ojp.gov/funding/index.htm) in the OJP Funding Resource Center at <http://ojp.gov/funding/index.htm>

Scope Requirement:

- The federal amount requested is within the allowable limit(s) as stated in the solicitation (see page 14)

Eligibility Requirement:

- Eligible applicants are limited to the LE agencies listed in [Appendix B](#)

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 18)

_____	Project Abstract	(see page 19)
_____	Program Narrative	(see page 19)
_____	Agency Overview and Current Crime Data Management Processes	(see page 10)
_____	Project Design and Implementation	(see page 11)
_____	Project Communication Plan	(see page 12)
_____	Transition Costs	(see page 12)
_____	Capabilities and Competencies of Project Staff	(see page 13)
_____	Budget Detail Worksheet	(see page 21)
_____	Budget Narrative	(see page 21)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 23)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 24)
_____	Disclosure of Lobbying Activities (SF-LLL) (if applicable)	(see page 25)
_____	Additional Attachments	
_____	NCS-X Readiness Assessment Form	(see page 25)
_____	Applicant Disclosure of Pending Applications	(see page 25)
_____	Disclosure of Process Related to Executive Compensation	(see page 26)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 16)