

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 FBI's Criminal Justice Information Services Division, seeks applications for funding to support efforts of local law enforcement (LE) agencies with 750 or more sworn officers to report incident-based crime data to the FBI's National Incident-Based Reporting System (NIBRS), either through their state NIBRS-certified Uniform Crime Reporting (UCR) Program or directly to the FBI. Under this solicitation, funding will be provided to support the transition to incident-based reporting (IBR) among agencies with 750 or more sworn officers that currently do not report IBR data to their state UCR Program or to the FBI's NIBRS. BJS and the FBI are implementing the NCS-X program to further the Department's mission to work with the justice community to develop innovative strategies that support information sharing between and across sectors of the justice community.

2016 National Crime Statistics Exchange (NCS-X) Implementation Assistance Program: Phase III – Support for Large Local Agencies

Applications Due: June 10, 2016

Eligibility

Eligible applicants are local LE agencies with 750 or more sworn officers that (1) currently do not report incident-based data to their state UCR Program or to the FBI's NIBRS and (2) have had a readiness assessment¹ completed through the NCS-X Initiative.

In general, BJS is authorized to make grants to, or enter into contracts or cooperative agreements with, states (including territories), units of local government, federally recognized Indian tribal governments that perform law enforcement functions (as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

¹ Readiness assessments are explained in greater detail below in the section titled "Providing funding and support for local law enforcement agencies with 750 or more sworn officers to report incident-based data to the state UCR Program or directly to the FBI."

BJS welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, the eligible local LE agency must be the lead applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the program. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award.

Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

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

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 10, 2016.

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

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

Contact Information

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the BJS contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Alexia Cooper, NCS-X Program Manager, by telephone at 202-307-0765, or by email at askbjs@usdoj.gov. Include "NCS-X Local" in the subject line. General information on applying for BJS awards can be found at <http://www.bjs.gov/index.cfm?ty=fun>. Answers to frequently asked questions that may assist applicants are posted at <http://www.bjs.gov/content/ncsx.cfm>.

Grants.gov number assigned to this announcement: BJS-2016-9980

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Contents

A. Program Description	4
Overview	4
Program-Specific Information	5
Goals, Objectives, and Deliverables	9
B. Federal Award Information	12
Type of Award	12
Financial Management and System of Internal Controls	12
Budget Information	13
Cost Sharing or Matching Requirement	13
Pre-Agreement Cost (also known as Pre-award Cost) Approvals	13
Limitation on Use of Award Funds for Employee Compensation; Waiver	13
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs	14
Costs Associated with Language Assistance (if applicable)	14
C. Eligibility Information	14
Limit on Number of Application Submissions	15
D. Application and Submission Information	15
What an Application Should Include	15
How to Apply	23
E. Application Review Information	26
Selection Criteria	26
Review Process	27
F. Federal Award Administration Information	28
Federal Award Notices	28
Administrative, National Policy, and other Legal Requirements	28
General Information about Post-Federal Award Reporting Requirements	29
G. Federal Awarding Agency Contact(s)	30
H. Other Information	30
Provide Feedback to OJP	30
Appendix A – NCS-X Sample of Large Local Agencies with 750 or More Sworn Officers	31
Application Checklist	32

2016 National Crime Statistics Exchange (NCS-X) Implementation Assistance Program: Phase III – Support for Large Local Agencies

(CFDA # 16.734)

A. Program Description

Overview

Funding under this solicitation will support local LE agencies with 750 or more sworn officers selected for the sample of agencies included in the National Crime Statistics Exchange (NCS-X) to report incident-based crime data to the FBI, either through their state National Incident-Based Reporting System (NIBRS)-certified Uniform Crime Reporting (UCR) Program or directly to the FBI. Bureau of Justice Statistics (BJS) funding decisions under this solicitation will be made in coordination and concurrence with the FBI's Criminal Justice Information Services (CJIS) Division.

BJS seeks proposals from local law enforcement (LE) agencies with 750 or more sworn officers that were selected for the sample of agencies included in the National Crime Statistics Exchange (NCS-X) to report incident-based crime data to the FBI's NIBRS, either through their state NIBRS-certified UCR Program or directly to the FBI. BJS has partnered with the FBI's CJIS Division, which established and maintains the NIBRS program, for this project. The FBI has formally announced its intention to establish NIBRS as the LE crime data reporting standard for the nation, with a complementary plan to retire the Summary Reporting System (SRS) of the UCR Program. This will result in a large increase in the number of local LE agencies reporting incident-based data to the state UCR Program and to the FBI. The typical mechanism by which a local agency contributes data to NIBRS is through its "state pipeline," where agencies report their state-specific incident-based crime data to the NIBRS-certified UCR Program in their respective state, and the state agency then sends the data from all of the state's contributing agencies to the FBI. The FBI advocates the use of the state pipeline for crime data reporting, a view that BJS supports. For instances in which the 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 the local agencies until the state pipeline is in place. The plan to transition local agencies to incident-based reporting (IBR) requires that local LE agencies work closely with the state UCR Program to ensure the incident-based data submitted by local agencies meet the requirements of the state program. Enhancing the ability of the largest LE agencies in the nation (those with 750 or more sworn officers) to submit incident-based data to their state UCR Program or to the FBI directly is an effort jointly supported by BJS and the FBI's CJIS Division.

Authorizing Statutes: Under Section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to "make grants to, or enter into cooperative agreements or contracts with, public agencies, institutions of higher education, private organizations, or private individuals" for purposes of collecting and analyzing criminal justice statistics. Under Title 31, United States Code (U.S.C.), Section 1535, the FBI is authorized to provide funds to BJS 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 law enforcement and related agencies.

Program-Specific Information

The NCS-X is an effort to expand the FBI's NIBRS into a nationally representative system of incident-based crime statistics. BJS and the FBI have partnered together to implement NCS-X with support from other Department of Justice agencies, including the Office for Victims of Crime. At the outset of the project, the FBI and BJS signed a joint statement of support for NCS-X (http://www.bjs.gov/content/pub/pdf/NCS-X_FBI_BJS%20Joint_Statement.pdf). The goal of NCS-X is to enroll a sample of 400 scientifically selected LE agencies to submit data to NIBRS. When these 400 new NIBRS-reporting agencies are combined with the more than 6,500 agencies that reported to NIBRS as of 2014,² the nation will have a nationally representative system of incident-based crime statistics drawn from the operational data systems of local police departments. These incident-based data will draw upon the attributes and circumstances of criminal incidents and allow for more detailed and transparent descriptions of crime in communities.

The sample-based approach to enrolling new NIBRS reporting agencies will allow the production of national estimates of crime based on incident-based data, while the FBI gradually transitions NIBRS to the system to which all LE agencies in the United States submit their UCR data. The sample of 400 agencies has been drawn, including a subset of additional agencies held in reserve to replace agencies that may decline to participate and to accommodate other needs for replacement. The list of sample and reserve agencies is available on the BJS website at http://www.bjs.gov/content/pub/pdf/NCSX_sampled_agencies.pdf.

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

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

Recipients of funds under this solicitation will be expected to consult with the NCS-X Implementation Team for technical assistance and with the state UCR Program and/or FBI CJIS Division staff for details about IBR/NIBRS certification and other reporting requirements.

Providing funding and support for local law enforcement agencies with 750 or more sworn officers to report incident-based data to the state UCR Program or directly to the FBI

² Total number of NIBRS reporting agencies by population group in 2014 is available at https://www.fbi.gov/about-us/cjis/ucr/nibrs/2014/tables/number_of_agencies_and_population_covered_by_population_group_2014_final.pdf.

The NCS-X sample of agencies includes all large local LE agencies with 750 or more sworn officers that are not currently reporting crime data to NIBRS. These large agencies were selected into the sample with certainty, meaning that no other agencies are available to replace them in the sample; consequently, their participation is critical to the success of the NCS-X effort. When the NCS-X sample was originally determined, a total of 72 agencies with 750 or more sworn officers were identified as non-NIBRS reporters and were included as certainty agencies in Stratum 2 of the NCS-X sample. Since that time, 3 of the 72 agencies have begun reporting to NIBRS. The remaining 69 agencies in Stratum 2 are potentially eligible for funding under this solicitation. Funding under this solicitation is intended to support the transition to IBR of the local agencies identified in [Appendix A](#).

Agencies will only be considered eligible for funding if they have had a readiness assessment completed and a readiness assessment report generated by May 1, 2016. The intent of a readiness assessment is to gain an understanding of an agency's capabilities and barriers to collect and reporting crime incident data according to the FBI's NIBRS standard. Readiness assessments consist of on-site meetings with staff from LE agencies to (1) document an agency's capacity to report to 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. Readiness assessments result in a generated report for the local department that contains a preliminary estimate of the cost of converting to IBR and documents changes necessary for the agency to make the conversion. Interested applicants can review the NCS-X readiness assessment forms at <http://www.bjs.gov/content/ncsx.cfm>.

Readiness assessments with local agencies typically include the following activities:

1. Review the agency's crime incident data capture form to ensure that the IBR data elements are being collected or to identify the gaps.
2. Review the Record Management System (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. Brief the agency's executive leadership team on the findings of the assessment.
6. Prepare a report summarizing the findings and provide the agency with a copy of this report.
7. Discuss 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. The majority of these readiness assessments completed to date were conducted with the largest agencies in the NCS-X sample (i.e., agencies with 750 or more sworn officers who are targeted for eligibility under the solicitation). The Implementation Team has been the primary source for technical assistance on facilitating and completing readiness assessments, including (1) conducting outreach, (2) preparing for the assessment, (3) working with the local agencies to better understand their

systems and extracting incident-based data for those systems, (4) conducting follow-up briefings, and (5) writing reports summarizing the findings of the readiness assessments for each agency. For a full list of agencies for which readiness assessments have been completed or are currently planned to have readiness assessment completed by May 1, 2016, see <http://www.bjs.gov/content/ncsx.cfm>.

The reports generated from completed readiness assessments have been provided to the respective agencies; if your agency would like to request a copy of your readiness assessment report, please contact ncsx@rti.org. Agencies with 750 or more sworn officers that have not yet participated in a readiness assessment can arrange for a readiness assessment by the NCS-X Implementation Team by contacting ncsx@rti.org or by emailing askbjs@usdoj.gov and including "NCS-X Local" in the subject line.

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

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

A total of 33 state UCR Programs are certified by the FBI to report data to NIBRS. States certified by the FBI to report to NIBRS have established a state IBR standard to which local agencies in those states must report; the state UCR Program generally takes responsibility for converting the state incident-based data into the NIBRS format for submission to the FBI. In states with an IBR component, agencies in those states must ensure compliance with the state standard when converting to IBR. The remaining 17 states and the District of Columbia do not have a NIBRS-certified UCR Program; 15 of the 17 states report only to the FBI's SRS, and 2 of the 17 have no state-level UCR Program. In those states, it will be critical for local agencies to consult with the state UCR Program and with BJS to ensure that the transition at the local level complies with changes being made in the state program to develop or implement an IBR component. Table 1 provides a list of states by type of crime reporting.

Table 1. Type of crime reporting by state		
SRS only	SRS and NIBRS	NIBRS only
AK	AZ	AR
AL	CT ^b	CO
CA	KS ^c	DE
FL	LA	IA
GA	MA	ID
HI	ME	KY
IL	MO	MI
IN ^a	NE	MT
MD	OH	ND
MN	OK	NH
MS ^a	OR	SC
NC	PA	SD
NJ	RI ^c	TN
NM ^a	TX	VA
NV	UT	VT
NY	WA	WV
WY	WI	

Note: Does not include the District of Columbia.
^a Does not have a state-level UCR Program.
^b No agencies were selected for main NCS-X sample.
^c 95% or more of agencies report incident data.

Developing state programs and expanding their capacity to receive and process incident-based data will build each state’s infrastructure, which is consistent with the FBI’s approach to obtaining NIBRS data and with the goals of BJS’s authorizing statute.³ In the majority of states, many local LE agencies are already submitting summary crime statistics to, and have established relationships with, their state’s UCR Program, facilitating effective management of both the data submission and review process and the analytic use of these data at the state level. In addition, building and enhancing a state data management capacity will establish the infrastructure needed to support the larger program goal of recruiting all of the additional 400 NCS-X sample agencies to participate in NIBRS in order to generate national estimates of crime based on incident-based data. This supports the FBI’s broader goal of transitioning all LE agencies to IBR and retiring the SRS. With certified and capable state UCR Programs in place, the sampled agencies that agree to participate in NIBRS will have a place in their state to send local agency data.

³ From 42 USC § 3731, identifying the statement of purpose for establishing the Bureau of Justice Statistics: “...to support the development of information and statistical systems at the Federal, State, and local levels to improve the efforts of these levels of government to measure and understand the levels of crime, juvenile delinquency, and the operation of the criminal justice system... The Bureau shall utilize to the maximum extent feasible State governmental organizations and facilities responsible for the collection and analysis of criminal justice data and statistics.”

Costs considered allowable under this solicitation

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

Under this solicitation, the following costs are allowable:

1. Reasonable costs for software, hardware, and labor that directly support or enhance an agency's technical capacity for collecting and processing data and submitting those data to the state UCR Program or directly to the FBI. This includes acquiring software to enable reporting of state IBR-compliant data to the state UCR Program, and labor and software costs for validation testing to ensure conformance with state IBR standards.⁴
2. Costs related to obtaining technical assistance for LE agency personnel responsible for (1) managing the agency's crime incident data, (2) processing and validating the data, and (3) extracting and submitting IBR data to the state UCR Program according to the state standard or directly to the FBI according to the NIBRS standard.
3. As applicable, costs for local agencies to provide technical assistance to agency personnel in how to collect, input, process, and submit incident-based data in the agency system.

Under this solicitation, the following costs are NOT allowable:

1. Funding of staff positions beyond the length of the award period.
2. Funding to support software maintenance beyond the length of the award period.
3. Funding to support technical assistance for hardware or software beyond the length of the award period.

Goals, Objectives, and Deliverables

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

Note: BJS will hold two teleconference to enable eligible applicants to ask questions about this solicitation. The first teleconference will take place on Monday, April 25, 2016, from 3:30 to 5:00 p.m. The second teleconference will take place on Thursday, April 28, 2016, from 3:30 to 5:00 p.m. If you would like more information about the planned teleconferences, email askbjs@usdoj.gov and include "NCS-X Local" in the subject line.

Applicants for this solicitation may apply for awards to support the agency's transition to IBR. Applications made by eligible local agencies should document the need for and the costs

⁴ For large local agencies in states in which an IBR program has not yet been established and a state IBR standard does not exist, allowable costs include those for software to enable reporting of NIBRS-compliant data directly to the FBI and validation testing to ensure conformance with the NIBRS standard.

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

Proposals from local agencies under this solicitation must specify the need for and cost of each major component of their agency's plan for collecting, validating, and extracting IBR data and reporting those data to the state UCR Program or to the FBI. These components include, but are not limited to, hardware, software, and telecommunications and bandwidth needs; direct and contractual personnel costs necessary for carrying out proposed program activities (not to exceed the length of the funding period); technical assistance to agency staff in support of program activities; and technical support from outside professionals. The activities proposed under this award should be completed within a maximum of 24 months. BJS discourages applicants from proposing project periods longer than 24 months but acknowledges that exigent circumstances may require some agencies to request more time. Applicants that propose a project period longer than 24 months must include additional justification for the extended timeframe, including how costs to the project will be minimized and the ways in which the additional time will benefit the final deliverables under this award.

Statement of Work and Deliverables

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

Applications should address the following:

- a) A review and analysis of the current and anticipated technical capacity and system needs (e.g., hardware, software, telecommunications) in the agency to support the request for grant funds.
- b) Additional staffing needs, both internal and external to the organization, during the project period required to transition to incident-based crime reporting to the state UCR Program or directly to the FBI.
- c) A plan to absorb the costs associated with any new functions required as part of the process of converting to IBR after the end of the project period.

- d) Needs for technical assistance during the transition period for staff who will directly support the IBR conversion and reporting effort.
- e) How the implementation process will identify and address hurdles that must be overcome to enable reporting of IBR data to the state UCR Program or directly to the FBI, as applicable, and the expected costs of addressing these concerns.
- f) A plan to collaborate with the state UCR Program on the development of the incident-based data reporting and submission structure. For agencies that will initially be reporting directly to the FBI, this plan should outline how the agency will communicate with the state to ensure that any state-specific IBR requirements under development by the state UCR Program are included in the local agency IBR reporting structure.
- g) A plan to collaborate with the NCS-X Implementation Team on project tasks, including any required outreach to stakeholders, technical assistance, project management, and deliverables identified by the applicant.
- h) A timeline for implementation and completion and detailed task plan and tentative dates for all major project milestones and deliverables, including completing certification of the NIBRS data submission process by the FBI, if applicable.
- i) A detailed budget, including staffing, travel, and any subcontract costs associated with the project tasks.

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

All applicants should briefly describe how each task proposed will be completed and include the estimated costs associated with each task. This task plan should include (1) a description of the specific strategies and approaches that will be used to complete the task, (2) a description of the capabilities and demonstration of the expertise that will enable the applicant to complete each task, and (3) cost estimates for performing the work. The application should sufficiently communicate the applicant's knowledge of the challenges and complexities associated with the proposed work.

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

- a) **Project timeline:** Each application is required to include a preliminary, detailed task plan and timeline for implementing the project. The timeline should include plans for a project kickoff meeting to be held shortly after the start of the award. For planning purposes, projects should start no sooner than October 2016. The kickoff meeting should be done via teleconference or video conference to save on travel costs. Based on the discussion with BJS and the FBI's CJIS, the recipient will then make any necessary revisions to the project budget and the detailed timeline provided in the application, including dates of completion for each task, dates of delivery for any deliverables, dates of delivery for monthly status reports, and the dates of scheduled meetings, where applicable.
- b) **Communication strategy:** Each application should outline a communication strategy that describes how the recipient of funds will provide project updates to BJS and the FBI's CJIS, and how project activities will be communicated to senior leadership and management in the applicant agency and with the state UCR Program. The communication strategy should

include regular phone conferences with BJS and the FBI's CJIS.

- c) Status reports: Along with required financial reports (see below), applicants must provide monthly written reports that update the status of each task identified, report the progress made toward completion of each task, and indicate the cumulative and last-month expenditures in each of the budget categories.

B. Federal Award Information

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

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law. Funding will be pursuant to a cooperative agreement between BJS and the recipient.

Type of Award⁵

BJS expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used because BJS expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. Funding recipients will be required to work directly with the NCS-X Implementation Team in carrying out the project. See [Administrative, National Policy, and other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity⁶) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

⁵ See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

⁶ For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

(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 better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

Budget Information

Cost Sharing or Matching Requirement

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

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

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant 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. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on [Costs Requiring Prior Approval](#) in the [Financial Guide](#), for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% 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 2016 salary

⁷ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with nonfederal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

The Director of BJS may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on conference approval, planning, and reporting available at 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 of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the "Civil Rights Compliance" section under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

C. Eligibility Information

Eligibility

For eligibility information, see title page.

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

Limit on Number of Application Submissions

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

D. Application and Submission Information

What an Application Should Include

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

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means the project manager and any and all primary project staff working on activities defined in the applicant’s proposal. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP’s 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).

Intergovernmental Review: This funding opportunity (program) is **not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

2. Project Abstract

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

Applications should include a high-quality project abstract that summarizes the proposed project in 250–400 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.

Project abstracts should follow the detailed template (including the detailed instructions as to content) available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

3. Program Narrative

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

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

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

Program Narrative Guidelines:

a. Title Page (not counted against the 30-page program narrative limit)

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and email address) for both the applicant organization and the primary point of contact for the project.

b. Main Body

The main body of the program narrative should describe the proposed project in depth. The following sections should be included as part of the program narrative:

- Statement of the Problem
 1. Applicant demonstrates a clear understanding of the need for IBR by law enforcement agencies and the goals of the solicitation to facilitate IBR from large local agencies.
 2. Applicant demonstrates a clear understanding of the current status of incident-based crime reporting in their state. For agencies in states without a current NIBRS-certified state program, the agency demonstrates understanding of the state’s plans for establishing IBR in

the state and becoming certified by the FBI to report incident-based data to NIBRS.

3. Applicant demonstrates clear understanding of the state pipeline for crime reporting and the need to report to the state UCR Program incident-based data that meet the state IBR requirements.
 4. Applicant demonstrates understanding of the FBI's NIBRS and the difference between a state IBR standard and the FBI's NIBRS standard.
 5. Applicant demonstrates knowledge of the impediments to local LE agencies to reporting incident-based data with all of the required NIBRS elements.
- Project Design and Implementation
 1. The grant activities included in the application articulate a clear plan to report IBR data to the state UCR Program or directly to the FBI, as applicable. The application includes a well-developed plan for transitioning the local agency to IBR and submitting IBR data to the state UCR Program or directly to the FBI. If applicable, the applicant also includes a plan to transition from being a direct FBI reporter to reporting through the state pipeline when the state program has the capacity to receive these data. Activities outlined in the application address in detail the required elements indicated above in the section "Statement of Work and Deliverables."
 2. The proposed project is justified and feasible. The applicant clearly demonstrates the ability to accomplish the project tasks outlined in the proposal, and the ability to complete the tasks and meet the project goals within the proposed time frame.
 3. The applicant demonstrates an awareness of potential pitfalls of the proposed project design and has suggested feasible and reasonable actions to minimize or mitigate those pitfalls.
 - Capabilities and Competencies
 1. The applicant has provided sufficient justification that the proposed project staff (that is, the project lead and other individuals and organizations) identified in the application who will be significantly involved in supporting the activities outlined in the proposal have the necessary qualifications and experience to fulfill the goals of the project and to complete project tasks.
 2. The applicant has provided sufficient information about the capabilities and competencies of any proposed contract staff who will be used for project activities. If the staff are not yet employed, the applicant has provided sufficient detail regarding the capabilities and competencies the state agency will seek for such staff.

3. The applicant has demonstrated the ability of the applicant organization to manage the overall project effort.
4. The applicant has made a clear connection between the capabilities and competencies of the proposed project staff, including the applicant organization, and the scope of the proposed project and activities required to achieve the project goals.

- **Plan for Collecting the Data Required for this Solicitation’s Performance Measures**

To demonstrate program progress and success, as well as to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

Objective	Performance Measures	Data Grantee Provides
Assess the needs associated with transitioning to incident-based crime reporting to the state UCR Program or directly to the FBI.	Number of meetings or conference calls held.	Number of meetings or conference calls held with the NCS-X Implementation Team. Number of meetings or conference calls held with applicable contract agencies or companies to clarify system needs at the local agency level.
	Develop a plan as a result of an assessment.	Provide a plan as a result of assessing the technical capacity and system needs to transition to IBR to the state UCR Program or directly to the FBI.

	Deliverables completed on time.	<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>
Coordinate with NCS-X Implementation Team to receive technical assistance to support NIBRS reporting activities.	<p>Number of requests for technical assistance made to 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>
Establish a NIBRS- certified IBR program in the local agency (if applicable).	<p>Deliverables completed on time.</p> <p>Deliverables that meet expectations.</p>	<p>Provide letter of support from the designated authority of the state UCR Program in support of local agency program and reporting activities.</p> <p>Submit a complete, feasible, and high-quality plan for submitting local agency incident-based crime data that is certified by the FBI to report data to NIBRS.</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>

BJs does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJS will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants

should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. BJS expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet. The Budget Detail Worksheet should be broken down by year.

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

b. Budget Narrative

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

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be sound mathematically, and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

c. Noncompetitive Procurement Contracts In Excess of Simplified Acquisition Threshold

If an applicant proposes to make one or more noncompetitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

d. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant is eligible to use and elects to use the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the “Glossary of Terms” in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf.

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.⁸

6. Tribal Authorizing Resolution (if applicable)

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

7. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- The date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status.

⁸ See 2 C.F.R. § 200.414(f).

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

8. Additional Attachments

Applicant disclosure of pending applications⁹

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

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

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

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

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

Applicants should include the table as a separate attachment to their application. The file should be named “Disclosure of Pending Applications.”

⁹ Typically, the applicant is not the principal investigator; rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

9. Financial Management and System of Internal Controls Questionnaire

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

10. Disclosure of Lobbying Activities

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

How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](#). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

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

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

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

Grants.gov is designed to forward successfully submitted applications to OJP's Grants Management System (GMS).

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (')
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	When using the ampersand (&) in XML, applicants must use the “&” format.		

Grants.gov is designed to forward successfully submitted applications to the OJP Grants Management System (GMS).

GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRRegister> to create a username and password. Individual applicants should complete all steps except 1, 2, and 4.

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

registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.734, titled "Special Data Collections and Statistics Studies," and the funding opportunity number is BJS-2016-9980.
- 6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 10, 2016.

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

Note: Duplicate Applications

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How to Apply](#).

Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the BJS contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The email must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJS does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desk to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, including firewalls, browser incompatibility, etc.

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

E. Application Review Information

Selection Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria. Applicants should refer to [Section D. Application and Submission Information](#) under "[What an Application Should Include](#)" for specific details about what the program narrative should address for sections 1 through 4 of the "Selection Criteria" below.

1. **Statement of the Problem** (Understanding of the problem and its importance) – 10%
2. **Project Design and Implementation** (Quality and technical merit) – 50%
3. **Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 25%

4. **Plan for Collecting the Data Required for this Solicitation’s Performance Measures**
5. **Budget:** complete, cost effective, and allowable (e.g., reasonable, allowable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures and should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project) – 15%

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant
- Applications must request funding within programmatic funding constraints (if applicable)
- Applications must be responsive to the scope of the solicitation
- Applications must include all items designated as “critical elements”
- Applicants will be checked against the System for Award Management.

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

BJS may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior *BJS* and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance

4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of BJS. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, planned scholarly products, proposed budgets, past performance (including scholarly products) under prior BJS and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must submit in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements¹⁰ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, BJS expects that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJS.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award, consistent with OJP policy and guidance on “conference” approval, planning, and reporting.

General Information about Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at www.nsf.gov/bfa/dias/policy/rppr/. Future awards and fund drawdowns may be withheld if reports are delinquent.

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

¹⁰ See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

G. Federal Awarding Agency Contact(s)

For Federal Awarding Agency Contact(s), see the title page.

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

H. Other Information

Provide Feedback to OJP

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

IMPORTANT: This email is for feedback and suggestions only. Replies are not sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, you must directly contact the appropriate number or email listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to ojppeerreview@lmsolas.com. The OJP Solicitation Feedback email account will not forward your résumé. Note: Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

Appendix A – NCS-X Sample of Large Local Agencies with 750 or More Sworn Officers

Stratum	Agency	State	Stratum	Agency	State
2	BIRMINGHAM POLICE DEPARTMENT	AL	2	BOSTON POLICE DEPARTMENT	MA
2	MESA POLICE DEPARTMENT	AZ	2	BALTIMORE CITY POLICE DEPT	MD
2	PHOENIX POLICE DEPARTMENT	AZ	2	BALTIMORE COUNTY POLICE DEPT	MD
2	TUCSON POLICE DEPARTMENT	AZ	2	MARYLAND STATE POLICE	MD
2	ALAMEDA COUNTY	CA	2	PRINCE GEORGE'S COUNTY PD	MD
2	FRESNO POLICE DEPARTMENT	CA	2	MINNEAPOLIS POLICE DEPARTMENT	MN
2	KERN COUNTY	CA	2	SAINT LOUIS POLICE DEPARTMENT	MO
2	LONG BEACH POLICE DEPARTMENT	CA	2	ST. LOUIS COUNTY POLICE DEPT	MO
2	LOS ANGELES COUNTY	CA	2	OMAHA POLICE DEPARTMENT	NB
2	LOS ANGELES POLICE DEPARTMENT	CA	2	CHARLOTTE-MECKLENBURG PD	NC
2	RIVERSIDE COUNTY	CA	2	JERSEY CITY POLICE DEPARTMENT	NJ
2	SACRAMENTO COUNTY	CA	2	NEW JERSEY STATE POLICE	NJ
2	SAN BERNARDINO COUNTY	CA	2	NEWARK POLICE DEPARTMENT	NJ
2	SAN DIEGO COUNTY	CA	2	ALBUQUERQUE POLICE DEPARTMENT	NM
2	SAN DIEGO POLICE DEPARTMENT	CA	2	LAS VEGAS METROPOLITAN POLICE DEPARTMENT	NV
2	SAN FRANCISCO POLICE DEPT	CA	2	NASSAU COUNTY	NY
2	SAN JOSE POLICE DEPARTMENT	CA	2	NEW YORK CITY POLICE DEPT	NY
2	SANTA CLARA COUNTY	CA	2	NEW YORK STATE POLICE: ALBANY COUNTY	NY
2	DISTRICT OF COLUMBIA PD	DC	2	SUFFOLK COUNTY POLICE DEPT	NY
2	CLASSIFICATION & COMPENSATION	FL	2	OKLAHOMA CITY POLICE DEPT	OK
2	FLORIDA HIGHWAY PATROL	FL	2	OREGON STATE POLICE	OR
2	HILLSBOROUGH COUNTY	FL	2	PORTLAND POLICE BUREAU	OR
2	JACKSONVILLE POLICE DEPT	FL	2	PENNSYLVANIA STATE POLICE	PA
2	MIAMI POLICE DEPARTMENT	FL	2	PHILADELPHIA POLICE DEPARTMENT	PA
2	MIAMI-DADE POLICE DEPARTMENT	FL	2	PITTSBURGH POLICE BUREAU	PA
2	ORANGE COUNTY	FL	2	AUSTIN POLICE DEPARTMENT	TX
2	PALM BEACH COUNTY	FL	2	EL PASO POLICE DEPARTMENT	TX
2	TAMPA POLICE DEPARTMENT	FL	2	HARRIS COUNTY SHERIFF'S OFFICE	TX
2	ATLANTA POLICE DEPARTMENT	GA	2	HOUSTON POLICE DEPARTMENT	TX
2	DEKALB COUNTY POLICE DEPT	GA	2	SAN ANTONIO POLICE DEPARTMENT	TX
2	HONOLULU POLICE DEPARTMENT	HI	2	TRAVIS COUNTY SHERIFF'S OFFICE	TX
2	INDIANAPOLIS POLICE DEPARTMENT	IN			
2	EAST BATON ROUGE PARISH	LA			
2	JEFFERSON PARISH	LA			
2	NEW ORLEANS POLICE DEPARTMENT	LA			

Application Checklist

2016 National Crime Statistics Exchange (NCS-X) Implementation Assistance Program: Phase III – Support for Large Local Agencies

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 24)
- _____ Acquire or renew registration with SAM (see page 24)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 25)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 25)

To Find Funding Opportunity:

- _____ Search for the Funding Opportunity on Grants.gov (see page 25)
- _____ Download Funding Opportunity and Application Package (see page 25)
- _____ Sign up for Grants.gov email [notifications](#) (optional) (see page 23)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 14)

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

- _____ (1) application has been received,
- _____ (2) application has either been successfully validated or rejected with errors (see page 25)

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

- _____ contact BJS regarding experiencing technical difficulties (see page 26)

General Requirements:

- _____ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 15)
- _____ Project Abstract (see page 15)
- _____ Program Narrative (see page 16)
- _____ Budget Detail Worksheet (see page 20)
- _____ Budget Narrative (see page 20)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 21)
- _____ Tribal Authorizing Resolution (if applicable) (see page 21)
- _____ Applicant Disclosure of High Risk Status (see page 21)
- _____ Additional Attachments
- _____ Applicant Disclosure of Pending Applications (see page 22)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 23)
- _____ Disclosure of Lobbying Activities (see page 23)

_____ Employee Compensation Waiver request and justification

(see page 13)