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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is pleased to announce that it is seeking applicants for the Smart Policing Initiative. This program furthers the Department's mission by assisting state and local jurisdictions in reducing crime and improving the criminal justice system.

## Smart Policing Initiative FY 2011 Competitive Grant Announcement

### Eligibility

Applicants are limited to state, local, and tribal law enforcement agencies.

### Deadline

Registration with [Grants.gov](#) is required prior to application submission. (See "How to Apply," page 10. All applications are due by 11:59 p.m. eastern time on April 21, 2011. (See "Deadlines: Registration and Application," page 3.)

### Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center at 1-877-927-5657 or via email to [JIC@telesishq.com](mailto:JIC@telesishq.com). The BJA Justice Information Center hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to announcement: BJA-2011-2942

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# **Smart Policing Initiative (CFDAs #16.738 and #16.751)**

## **Overview**

This FY 2011 grant announcement seeks to build upon data-driven, evidence-based policing by encouraging state, local, and tribal law enforcement agencies to develop effective, economical, and innovative responses to precipitous or extraordinary increases in crime, or in a type or types of crime within their jurisdictions. This program is funded under both the Edward Byrne Memorial Competitive Grant Program (Byrne Competitive Program) and the Edward Byrne Memorial Justice Assistance Grant (JAG) Program. The Byrne Competitive Program helps local communities improve the capacity of state and local criminal justice systems and provides for national support efforts including training and technical assistance programs strategically targeted to address local needs. The JAG Program (42 U.S.C. 3751(a)) is the primary provider of federal criminal justice funding to state and local jurisdictions, and JAG funds support all components of the criminal justice system. The JAG Program authorization also provides that “the Attorney General may reserve not more than 5 percent, to be granted to 1 or more States or units of local government, for 1 or more of the purposes specified in section 3751 of this title, pursuant to his determination that the same is necessary—(1) to combat, address, or otherwise respond to precipitous or extraordinary increases in crime, or in a type or types of crime” (42 U.S.C. 3756). Under JAG, there is also a 3 percent set aside for training and technical assistance programs.

## **Deadlines: Registration and Application**

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on April 21, 2011. Please see the “How to Apply” section, page 10 for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on April 21, 2011, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see “Contact Information” on the title page for more information about BJA’s Justice Information Center).

## **Eligibility**

Please refer to the title page for eligibility under this program.

## **Smart Policing Initiative—Specific Information**

Most agree that the United States is in a period of decreased state and local revenue and that high rates of unemployment may exacerbate problems caused by a weakened economy and may lead to increased crime and calls for service. Developing prevention strategies and tactics that are effective, efficient, and economical is of great benefit to law enforcement agencies in an era of budget constraints and limited staffing.

The Smart Policing Initiative (SPI) seeks to build upon concepts of “offender-based” and “place-based” policing. Several longitudinal projects in the United States and the United Kingdom have

demonstrated convincingly that a small number of offenders commit a disproportionate amount of crime. It is also well documented that crime reports and calls for service often cluster predominately at specific locations or narrow, easily-defined areas, and that the most convincing research indicates that “place-based” or “hotspot” policing reduces violent crime and neighborhood disorder. These persuasive findings suggest that effective policing requires a tightly focused, collaborative approach that is measurable; based on sound, detailed analysis; and includes policies and procedures for accountability.

The consistent use of preventive and tactical tools that are rooted in a scientific knowledge base of “what works” should be promoted and integrated into daily police work.<sup>1</sup> Inculcating evidence-based policies and procedures in everyday police operations is critically important to an agency’s ability to provide quality law enforcement services.

## **Goals, Deliverables, and Technical Assistance**

SPI seeks to identify law enforcement tactics and strategies that are effective, efficient, and economical. SPI grantees will identify a local crime problem to address and enlist a local research partner to help assess the effectiveness of their SPI efforts.

To help achieve these important outcomes, SPI grantees will work closely with BJA’s selected national partner, the CNA Corporation (CNA), to assist agencies with incorporating evidence-based policing as a fundamental element in their response to crime. CNA works directly with BJA to provide training and technical assistance information sharing sessions, facilitate peer-to-peer exchanges of information, administer targeted subject matter expertise that is relevant to specific SPI agencies, and produce reports on the lessons learned from the SPI community.

Applicants may submit an application under one of the following purpose areas:

**Purpose Area 1** seeks applications from state, local, or tribal law enforcement agencies interested in applying evidence-based policing to contemporary crime problems and criminogenic circumstances within their jurisdictions.

**Purpose Area 2** seeks applications from state, local, or tribal law enforcement agencies interested in developing innovative, data-driven approaches to contemporary crime problems and criminogenic circumstances within their jurisdictions.

**Purpose Area 3** seeks applications from law enforcement agencies seeking to inculcate evidence-based policies, procedures, tactics, and strategies throughout their organization in innovative ways that reach beyond tactical approaches in one area of the department or the community.

For more information on SPI, go to [www.smartpolicinginitiative.com/](http://www.smartpolicinginitiative.com/). The SPI web site provides innovative and evidence-based law enforcement resources to the BJA Smart Policing community and to the nation's law enforcement community at large.

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<sup>1</sup> Lum, Cynthia, 2009, “Translating Research into Practice,” *Ideas in American Policing* 11(August).

## SPI Purpose Areas for Funding

### **PURPOSE AREA I: SMART POLICING EVIDENCE-BASED REPLICATION. Competition ID: BJA-2011-2943**

Applications are solicited from law enforcement agencies interested in replicating a **specific**, evidence-based approach to a crime problem or criminogenic circumstance in their jurisdiction (see page 6 for OJP's definition of an evidence-based program or practice). Applicants will:

- Identify the specific evidence-based approach to be replicated.
- Enlist a local research partner from the accredited criminal justice/social science educational community.
- Identify a specific category of crime or criminogenic circumstance. Crime examples include **but are not limited** to: 1) neighborhood drug markets; 2) gun violence in a specific neighborhood; 3) domestic violence; and 4) repeat violent offenders.
- Develop a prevention/mitigation strategy to address the problem using the specific approach identified.
- Develop performance measures for the initiative.
- Assess and report the results to BJA, who will make the results publicly available.

Program design must include outcome measures capable of informing a credible assessment of the effectiveness of the intervention(s). Applications absent such measures will not be awarded.

Priority consideration will be given to those applicants that choose to replicate strategies that are proactive, focused rather than general, and have produced statistically significant findings of effectiveness.

For examples of research on police and crime reduction using George Mason University's Evidence-Based Policing Matrix<sup>®</sup>, go to <http://gemini.gmu.edu/cebcp/Matrix.html>. The Matrix is a research-to-practice translation tool that categorizes and visualizes all experimental and quasi-experimental research on police and crime reduction.

### **PURPOSE AREA 2: SMART POLICING INNOVATION. Competition ID: BJA-2011-2944**

Applications are solicited from state, local, or tribal law enforcement agencies interested in developing innovative, data-driven approaches to precipitous or extraordinary increases in crime, or in a type or types of crime in their jurisdiction. Applicants will:

- Describe the innovative, data driven approach to be implemented.
- Enlist a local research partner from the accredited criminal justice/social science educational community.
- Identify a specific category of crime or criminogenic circumstance. Crime examples include **but are not limited** to: 1) neighborhood drug markets; 2) gun violence in a specific neighborhood; 3) domestic violence; and 4) repeat violent offenders.
- Develop a prevention/mitigation strategy to address the problem.
- Develop performance measures for the initiative.  
Assess and report the results to BJA, who will make the results publicly available.

Program design must include outcome measures capable of informing a credible assessment of the effectiveness of the intervention(s). Applications absent such measures will not be awarded.

While applicants in purpose area 2 are encouraged to innovate, a data driven innovation will be given priority consideration.

### **PURPOSE AREA 3: INSTITUTIONALIZATION OF EVIDENCE-BASED PRACTICES.**

#### **Competition ID: BJA-2011-2945**

Applications are solicited from law enforcement agencies interested in developing processes and procedures to sustain and support the use of evidence-based policing at all agency levels; for example, expanding Smart Policing practices to other operational components of the department, (i.e., patrol functions.). BJA is soliciting applications from law enforcement agencies that seek to use research to inform police leadership and improve decision making at all agency levels (from the chief executive level to the line officer). (See below for OJP's definition of an evidence-based program or practice.) Applicants will:

- Develop a partnership with a researcher from the accredited criminology/criminal justice/social science educational community to assist with developing processes by which evidence-based policing may be institutionalized into practice and creating project performance measures.
- Identify a strategy for how they plan on sustaining and supporting the use of evidence-based policing throughout the department.

The goal behind this purpose area is to institutionalize evidence-based thinking in the law enforcement culture, and to ensure that evidence-based strategies are used in administrative, managerial, and operational components of the department.

Some examples of activities applicants *may* address in their application:

- Document the commitment to regularly incorporate evidence-based practices throughout all levels of the agency (line officer, supervisor, management, executive and functions (patrol, investigation, crime/intelligence analysis, strategy and tactical planning, etc.).
- Demonstrate the capacity to incorporate activities, strategies, and tactics that are based in proactive, research driven principles.
- Create policies and procedures that address how the agency will integrate and incorporate the use of research and analysis to inform daily operations.
- Develop performance measures to evaluate efforts and report the results to BJA, who will make the results available.

The program design must include outcome measures capable of informing a credible assessment of the effectiveness of the project. Applications absent such measures will not be awarded.

### **Evidence-Based Programs or Practices**

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.

## **Amount and Length of Awards**

For law enforcement agencies serving populations<sup>2</sup> of less than 500,000, the maximum award is \$300,000; for law enforcement agencies serving populations greater than 500,000, the maximum award amount is \$500,000. The project period will be 24 months in length.

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

## **Budget 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, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2011 salary table for SES employees is available at [www.opm.gov/oca/11tables/indexSES.asp](http://www.opm.gov/oca/11tables/indexSES.asp).) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General (AAG) for OJP. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its 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 its budget.

The justification should include: the particular qualifications and expertise of the individual, the uniqueness of the service being provided, 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 that is to be done.

**Match Requirement:** This solicitation does not require a match.

## **Performance Measures**

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP

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<sup>2</sup> As reported to the Federal Bureau of Investigation's (FBI) Uniform Crime Report (UCR), or for tribal law enforcement agencies, as reported to the Bureau of Indian Affairs (BIA).

can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
<p><b>Purpose Areas 1 and 2:</b> Identify and address a specific crime problem within a jurisdiction using a specific evidence-based OR data driven/innovative approach.</p>	<p>Percent of program goals and objectives completed that are directly linked to grant funding and address a specific crime problem or criminogenic circumstance within a jurisdiction.</p>	<p>Number of program tasks that were completed during the reporting period that are directly linked to grant funding. (Task: a grant activity defined in application project plan.)</p> <p>Number of total program tasks (complete or incomplete) that are directly linked to grant funding.</p>
<p><b>Purpose Area 1 and 2:</b> Enhance law enforcement knowledge of effective strategies and tactics for crime problems or criminogenic circumstances.</p>	<p>Percent decrease in reported incidents.</p> <p>Increase in cost savings as a result of new initiative implemented.</p> <p>Number of new interventions/tactics employed.</p> <p>Percent increase in frequency of evidence or data collection.</p> <p>Percent increase in scheduled data collection series and special analyses to be conducted.</p>	<p>Number of reported incidents of the targeted crime problem during the six months prior to grant funding.</p> <p>Number of reported incidents of the targeted crime problem for the current reporting period.</p> <p>Total amount of non-grant dollars expended by the agency to address the targeted crime during the six months prior to grant funding.</p> <p>Total amount of non-grant dollars expended by the agency to address the targeted crime during the current reporting period.</p> <p>Number of new interventions/tactics employed during the current reporting period.</p> <p>Number of times evidence or data were collected during the six months prior to grant funding.</p> <p>Number of times evidence or data are collected for the current reporting period.</p> <p>Number of statistical data analyses conducted (e.g. cluster, link, time-series, etc.) to inform decision-making, devise tactics/interventions, and measure results for the current reporting period.</p> <p>Number of statistical data analyses conducted (e.g. cluster, link, time-series, etc.) to inform decision-making, devise tactics/interventions, and measure results during the six months prior to grant funding.</p>
<p><b>Purpose Area 3</b> Support and sustain evidence-</p>	<p>Number of new or revised polices created that outline the use or</p>	<p>Number of new or revised polices created that outline the use or</p>

<p>based policing agencywide (from chief executive to the line officer).</p>	<p>demonstrate the value of research as part of department strategic decision making.</p> <p>Number of partnerships established</p> <p>Number of research projects initiated.</p> <p>Increase in number of research or evidence-based tools, interventions or tactics deployed. (For example, use of the Evidence-Based Policing Matrix or new analytical technology.)</p> <p>Number of staff trained.</p> <p>Number of departmental briefings or trainings promoting evidence-based practices.</p> <p>Increase in staff able to perform a specific skill.</p>	<p>demonstrate the value of research as part of department strategic decision making</p> <p>Number of new research partnerships (i.e., MOUs, etc.) since grant reporting period began.</p> <p>Number of new research-based initiatives within the department since grant reporting period began.</p> <p>Number of research or evidence-based tools, interventions or tactics deployed in six months prior to grant funding. (For example, use of the Evidence-Based Policing Matrix or new analytical technology.)</p> <p>Number of research or evidence-based tools, interventions or tactics deployed during current reporting period. (For example, use of the Evidence-Based Policing Matrix or new analytical technology.)</p> <p>Number and rank of officers attending briefings or trainings</p> <p>Number of briefings or outreach to the public/community about evidence based practices.</p> <p>Type of briefings or outreach to the public/community about evidence based practices.</p> <p>Number of staff employed in the six months prior to grant funding who perform crime analysis or coordinate research-based efforts.</p> <p>Number of staff hired during this reporting period to perform crime analysis or coordinate research-based efforts</p>
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Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section “What an Application Should Include” (below) for additional information.

**Note on project evaluations:** Applicants that propose to use funds awarded 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 protections. 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

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likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections 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, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP Other Requirements for OJP Applications” web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that web page.

## Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsr.gov/](http://www.fsr.gov/).

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

## How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 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 up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for [Grants.gov](http://www.Grants.gov) registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a

unique nine-digit sequence recognized as the universal standard for identifying and keeping track of 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. Obtain a DUNS number by calling Dun and Bradstreet at 866–705–5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.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/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
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. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) numbers for this solicitation are 16.738, titled "Edward Byrne Memorial Justice Assistance Grant Program," and 16.751, titled "Edward Byrne Memorial Competitive Grant Program," and the funding opportunity number is BJA-2011-2942.
6. **Submit an 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 an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** The 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."

## Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJA staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page, [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program abstract, program narrative, and a budget detail worksheet including a budget narrative, will neither proceed to peer review nor receive further consideration.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that resumes be included in a single file.

For examples of successful FY 2010 applications, go to:  
[www.ojp.usdoj.gov/BJA/funding/Example\\_Applications\\_2010.html](http://www.ojp.usdoj.gov/BJA/funding/Example_Applications_2010.html).

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

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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, please select "For-Profit Organization" or "Small Business" (as applicable).

## 2. Program Abstract

Applicants must provide an abstract that clearly identifies the Purpose Area (i.e., Evidenced-Based Replication, Innovation, or Institutionalization; the names of the lead applicant and any collaborating agency or organization; a description of the target population; a brief description of how the applicant plans to address the problem; and the amount of federal funding requested. The abstract should be single-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 1 page.

## 3. Program Narrative

The program narrative must respond to the solicitation (see Smart Policing—Specific Information on pages 3-6) and the Selection Criteria (1–4) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 10 pages. Please number pages “1 of 10,” “2 of 10,” etc.

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

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures  
Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJA as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

Further information is available under the Selection Criteria section, page x.

## 4. Budget Detail Worksheet and Budget Narrative

### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

### b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be mathematically sound

and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated 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.

Purpose Areas 1 and 2 applicants should also budget travel/lodging expenses for four-person teams of agency and research partner representatives to attend three 2-day meetings during the 24-month project period. One of these meetings will be held in Washington, D.C.; the second and third meetings will be held regionally.

**5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's 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. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm](http://www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm).

**6. Tribal Authorizing Resolution (if applicable)**

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided 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 authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

**7. Additional Attachments: Project Timeline and Position Descriptions/Resumes**

Attach a project timeline with each project goal, related objective, activity, expected completion date, and responsible person or organization; and position descriptions for key positions and resumes for current staff.

**8. Other Standard Forms**

Additional forms that may be required in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

- a. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#) (required to be submitted in GMS prior to the receipt of any award funds).

- b. [Disclosure of Lobbying Activities](#) (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded).
- c. [Accounting System and Financial Capability Questionnaire](#) (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded).
- d. [Standard Assurances](#) (required to be submitted in GMS prior to the receipt of any award funds).

## Selection Criteria

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, "Statement of the Problem," is worth 5 percent of the entire score in the application review process.

### 1. Statement of the Problem (5 percent of 100)

Purpose Areas 1 and 2: Provide Uniform Crime Reporting (UCR) and/or population served data; describe the serious or violent crime challenges of the jurisdiction. Applicants may also describe any existing partnerships with the academic/research community.

Purpose Area 3: Provide Uniform Crime Reporting (UCR) and/or population served data; describe the serious or violent crime challenges of the jurisdiction. Applicants may also describe any existing partnerships with the academic/research community. Provide an overview of current department structure and if applicable, include discussion of how the department currently incorporates evidence-based policing into daily police operations.

### 2. Project Design and Implementation (25 percent of 100)

Describe project activities that are linked to meaningful and measurable outcomes consistent with crime prevention and the delivery of quality police services. Describe specifically how the project will accomplish expected outcomes by providing the goals, objectives, and the performance measures applicable to the project. Include a comprehensive timeline that identifies milestones, numerically listed deliverables, and who is responsible for each activity (as an attachment). Describe how the program will encompass evidence-based practices.

Applicants should address priority considerations and requirements discussed/listed on pages 4-6 throughout their response to this section.

### 3. Capabilities and Competencies (25 percent of 100)

Fully describe capabilities to implement the project and the competencies of the staff assigned to the project. In addition, applicants should demonstrate sound crime and criminal intelligence analysis capacity. Describe previous law enforcement activities that include research partners and report the results of those efforts. Applicants with no experience in working with research partners should include memorandums of understanding or letters documenting support and participation from their designated research partner (as an attachment).

**4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (35 percent)**

Describe the process for measuring project performance. Identify who will collect the data, who is responsible for performance measurement, and how the information will be used to guide and assess the program. Describe process to accurately report implementation findings.

**5. Budget (10 percent of 100)**

Provide a proposed budget and budget narrative that are complete, allowable, and cost effective. Purpose Areas 1 and 2 applicants should also budget travel/lodging expenses for four-person teams of agency and research partner representatives to attend three 2-day meetings during the 24-month project period. One of these meetings will be held in Washington, D.C.; the second and third meetings will be held regionally.

## **Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. 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, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with BJA, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General (AAG), who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional

information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

## **Application Checklist FY 2011 Smart Policing Initiative**

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

### **Eligibility Requirements:**

- Applicant is a state, local, and tribal law enforcement agency.
- Applicant has enlisted a research partner.
- The federal amount requested is within the allowable limits:
  - \$300,000 for law enforcement agencies serving populations less than 500,000
  - \$500,000 for law enforcement agencies serving populations greater than 500,000

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

- Application for Federal Assistance (SF-424) (see page 12)
- Program Abstract\* (see page 13)
- Program Narrative\* (see page 13)
- Budget Detail Worksheet\* (see page 13)
- Budget Narrative\* (see page 13)
- Indirect Cost Rate Agreement (if applicable) (see page 14)
- Tribal Authorizing Resolution (if applicable)\* (see page 14)
- Additional Attachments (see page 14)
  - Project Timeline
  - Project Descriptions/Resumes
- Other Standard Forms as applicable (see page 14), including:
  - Disclosure of Lobbying Activities (if applicable)
  - Accounting System and Financial Capability Questionnaire (if applicable)

\*These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive funding from BJA.