

**Innovations in Community-Based Crime  
Reduction (CBCR) Program  
FY 2019 Competitive Grant Announcement**

May 10, 2019

This solicitation has been changed to clarify that all nonprofit organizations are eligible to apply. Thank you for your attention to this update.

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP) [Bureau of Justice Assistance](#) (BJA) is seeking applications for the Innovations in Community-Based Crime Reduction (CBCR) Program. This program furthers the Department's mission by enhancing the capacity of local and tribal communities to effectively reduce violent crime in distressed neighborhoods through collaborative approaches.

# **Innovations in Community-Based Crime Reduction (CBCR) Program<sup>1</sup>**

## **FY 2019 Competitive Grant Announcement**

**Applications Due: June 25, 2019**

### **Eligibility**

Eligible applicants are limited to institutions of higher education (including tribal institutions of higher education), units of local government, nonprofit organizations (including tribal nonprofit organizations), and federally recognized Indian tribal governments (as determined by the Secretary of the Interior) acting as a fiscal agent thereof.<sup>2</sup>

The CBCR program targets persistently distressed neighborhoods facing significant violent crime challenges. Successful implementation of the CBCR model may require resources beyond that provided by BJA. Applicants should leverage other resources to sustain their projects, including federal and local funding for expenses not allowable or within the scope of the CBCR program.<sup>3</sup>

A CBCR application requires a plan for engaging a consortium of criminal justice, community, and/or human service partners (hereinafter referred to as "cross-sector partnership") and implementing a strategy addressing violent crime in a specific community. The applicant is an active partner providing grant oversight and accountability. The applicant will ensure that it is committed to the cross-sector partnership, and can successfully oversee key enforcement, prevention, intervention, research and analysis, and community engagement strategies with regular input from law enforcement partners.

Jurisdictions are strongly encouraged to coordinate with and seek the support of their local U.S. Attorney's Office and local policymakers, and to connect CBCR with other violent crime and community revitalization efforts.

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<sup>1</sup> The CBCR program is the new name for the Byrne Criminal Justice Innovation program.

<sup>2</sup> For this solicitation, the terms "fiscal agent" and "applicant" are used interchangeably.

<sup>3</sup> More details on these types of expenses are provided on page 13.

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

BJA may elect to fund applications submitted under this FY 2019 solicitation in future fiscal years, depending on, among other considerations, the merit of the applications, and on the availability of appropriations.

## Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on June 25, 2019.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

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

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at [support@grants.gov](mailto:support@grants.gov). The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the contact identified below **within 24 hours after the application deadline** to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How To Apply](#) section.

For assistance with any unforeseen Grants.gov technical issues beyond an applicant's control that prevent it from submitting its application by the deadline, or any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this solicitation: BJA-2019-15364

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# Innovations in Community-Based Crime Reduction (CBCR) Program CFDA # 16.817

## A. Program Description

### Overview

By focusing on concentrated ‘hot spots’ of crime within communities, the CBCR Program directly supports the Department’s priorities to reduce violent crime, dismantle gang activity, assist communities struggling with drug abuse, and support law enforcement agencies by integrating enforcement strategies into community-based crime reduction efforts.

The CBCR model is based on the principle that sustainable reductions in violent crime require collaboration among partners in the criminal justice system, service providers, and the communities they serve. These partnerships extend to community development corporations and private businesses that are linked to CBCR in local revitalization efforts.

For this solicitation, *community* is defined broadly as a geographic area that has social meaning for its residents. In urban areas, the term *community* may be used interchangeably with *neighborhood* to describe a specific geographic area that is delineated by major streets or other landmarks. In urban areas, a community is typically fewer than two miles wide, while in rural and tribal areas it is often larger and part of an entire county.<sup>4</sup>

**Statutory Authority:** Awards under this solicitation will be made under statutory authority provided by the Consolidated Appropriations Act, 2019, Public Law No. 116-6.

### Program-Specific Information

CBCR is a strategic approach to crime reduction that leverages the knowledge and expertise of community stakeholders with the goal of making neighborhoods safer.

While each CBCR community is unique, most face common challenges and use similar approaches to address crime and safety issues. These include:

- addressing violent crime, as well as drug-related activity;
- implementing strategies to engage youth (through both prevention and education);
- examining conditions that contribute to crime, crime prevention through environmental design (CPTED) assessments, and review of land use, code enforcement, and nuisance laws;
- coordinating with the business community on redevelopment efforts, employment initiatives, and public housing management;

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<sup>4</sup> The CBCR Program understands that there is little research and evaluation of “hot spots” policing theory in rural and tribal areas; through the CBCR Program, BJA seeks to build and contribute to the criminal justice knowledge base on how to employ effective place-based strategies in rural and tribal environments, and encourages these jurisdictions to apply.

- coordinating community supervision and offender reentry strategies, including through individual and family support;
- building social cohesion and improving collective efficacy among neighborhood partners and residents;
- building partnerships not only among law enforcement and the community but with prosecutors, defense counsel, city attorneys, and city auditors; and
- connecting community faith-based leaders with local law enforcement.

BJA will focus its consideration for award recommendations on the stated capacity of the applicant to utilize a full-time site coordinator and effectively lead efforts to achieve CBCR objectives; identification of types of crime to be addressed; geographic diversity; sustainability; past performance; and available funding.

In FY 2019, the CBCR program will give priority consideration to rural jurisdictions facing increases or high sustained levels of [Part I](#) violent crimes (as defined under the FBI's Uniform Crime Reporting Program) overall or specific crime types such as gang-related criminal activity.

To achieve CBCR Program objectives (described in the next section), the applicant must sustain an active and engaged leadership role in the successful management of a CBCR grant award.

The **applicant serves as a core partner and, as such, must** demonstrate the ability and commitment to accomplish the following:

- Sustain a full-time skilled lead site coordinator who will oversee and facilitate collaboration among criminal justice and service providers. **The site coordinator is critically important to achieving CBCR project tasks and adhering to the project timeline.**
- Convene, lead, and engage a broad cross-sector partnership team that must include law enforcement, other criminal justice partners, neighborhood residents, and relevant community stakeholders. The cross-sector partnership team must have the capacity to conduct the necessary activities described throughout this grant announcement.
- Support data collection and analysis throughout the life of the grant.<sup>5</sup>
- Facilitate, as appropriate, collaboration with relevant local, state, or federal initiatives and resources (e.g., the Project Safe Neighborhoods Suite of Programs, Choice Neighborhoods, Promise Neighborhoods, anti-gun and gang programs) located in, adjacent to, or overlapping the selected jurisdiction.
- Employ a range of data-driven, cross-sector strategies (e.g., enforcement, prevention, and intervention) connected with revitalization efforts to reduce crime and violence and improve community trust and engagement.
- Support the planning and sustainment of the program by applying performance metrics to gauge progress.

## Program

The CBCR Program approach, and the training and technical assistance (TTA) to support the model, features four core elements:

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<sup>5</sup> Please see page 18 for a description of the necessary research activities.

1. ***Place-based strategy, to better integrate crime control efforts with revitalization strategies***

Efforts to reduce crime are rooted in broader revitalization activities. CBCR sites target a specific geographic area within a community with high levels of crime or certain types of crime in order to most effectively direct resources and to positively influence factors such as concentration of high-risk residents, limited infrastructure, and neighborhood physical conditions.

2. ***Community engagement in shaping and sustaining crime prevention and revitalization efforts***

To catalyze and sustain change, there must be active involvement and leadership by neighborhood residents, faith-based leaders, and community leaders throughout the revitalization process. Local data and needs should drive community-oriented strategies, and should address critical issues comprehensively. The applicant should have established relationships in the community, demonstrate a daily presence in the community, and lead engagement efforts.

3. ***Data-driven efforts to problem solve and guide program strategy***

CBCR sites are strongly encouraged to work with local law enforcement and community stakeholders (including local non-profit organizations) to conduct a broad examination of crime drivers in hot spots and then consider appropriate evidence-based or innovative strategies to address them. Collaborative local partnerships can help a community to assess program implementation and intended program impacts, as well as to assess gaps in services, strategies, and partners.

4. ***Partnerships and capacity building, to promote sustainable collaboration to tackle problems from multiple angles***

Developing the capabilities of a cross-sector partnership, as well as the community, should be a key strategy of organizations pursuing comprehensive revitalization.<sup>6</sup> Applicants should have a demonstrated commitment and capacity to form partnerships and work collaboratively, and should ensure community members have the right knowledge and skills to contribute meaningfully.

Objectives:

1. Engage in a required 9- to 18-month planning phase to:
  - Pursue community partnerships and leadership that ensures the community is active in the process, using innovative approaches to engage community leaders during the planning phase.
  - Identify, verify, and prioritize chronic crime hot spots within the identified neighborhood.
  - Work with a cross-sector team and law enforcement partners to develop a multi-faceted strategy, drawing on a continuum of approaches to address crime drivers.

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<sup>6</sup> As stated on pages 6-7, *community capacity* is defined as the knowledge, skills, relationships, processes, and resources that neighborhood residents, partner organizations, and city-level stakeholders need to work together to achieve better results in public safety, education, housing, employment, and other key areas with the ability to mobilize collective action toward defined community goals. The *capacity of organizations and cross-sector partnerships* is the ability to bring residents and stakeholders together to exchange ideas, jointly plan, and collaborate in actions intended to increase safety and strengthen the community.

- Complete an early action project in consultation with BJA and the CBCR TTA provider.
- Collaborate regularly with local law enforcement and community partners to conduct an analysis of crime drivers and an assessment of needs and available resources.
- Develop a comprehensive implementation plan to reduce crime that includes a plan that articulates the range of strategies that the CBCR partners plan to pursue.  
**Please note: successful implementation of strategies included in the CBCR implementation plan may require other funding for expenses that fall outside of the scope of BJA's mission and goals.**

2. Upon completion of the planning phase, engage in an implementation phase to:
  - Convene regular meetings with cross-sector partners and the management team.
  - Build the capacity of residents and the management team to coordinate and engage in a problem solving approach.
  - Implement, modify, and evaluate strategies, as appropriate; redirect program activities when ongoing analysis indicates program goals are not being met.
  - Identify and develop a sustainability strategy for long-term implementation of CBCR Program core elements (see above), including the active role of community stakeholders.

Deliverables:

- If the applicant proposes to partner with a non-profit organization and receives a grant award, the applicant must submit to BJA a Memorandum of Agreement (MOA) that outlines specific roles, responsibilities, and expectations of the partnering organization. The MOA must be submitted to BJA no later than 90 days after BJA approves the initial grant budget.

As previously described, at the completion of the planning phase, grantees must submit an implementation plan for approval to BJA. The process for submitting this plan is described below.

The implementation plan package (plan narrative, budget, and timeline) includes critical documents for BJA, the CBCR TTA provider, and CBCR sites; the plan is the roadmap for implementing strategies and provides the necessary analysis to clearly describe: the specific hot spots and crime drivers; use of various data sources to understand and prioritize crime hot spots; and a direct link between the strategies proposed and the crime drivers analyzed. The plan also demonstrates the criminal justice nexus for the strategies that are linked with revitalization and justifies innovative strategies or strategies based on the site's theory of change and/or logic model.

BJA, the CBCR TTA provider, and the cross-sector team will use the implementation plan to guide and track site progress toward project objectives.

- Separate from the implementation plan, grantees must produce a final written report outlining the project's challenges, outcomes, and achievements. The purpose of this report is to share findings and lessons learned with the broader criminal justice and community development fields.

A draft of the final report will be due to BJA 60 days prior to the grant end date. However, the finished version of the final report will be submitted as a part of the grant closeout package, no later than 90 days after the project period end date.

### **Special Withholding Conditions for Planning and Implementation Awards**

During the planning phase, grantees will only have access to Planning and Implementation funds of up to \$150,000 for planning activities.

Implementation plans must be approved in writing by BJA (in consultation with the TTA provider), in order for the grantees to begin their implementation phase and gain access<sup>7</sup> to the remainder of grant funds (please see page 13 for a description of costs or expenses that may be unallowable or require pre-approval.) **Implementation Plans are due to BJA within 9 - 18 months of the award acceptance date.** Grantees will have the opportunity to provide additional feedback, clarification, and data regarding their implementation plans, if requested by BJA and/or the TTA provider. However, applicants should be aware that it is possible that, after a reasonable exchange feedback, an implementation plan may not receive BJA approval, and grantees therefore may not receive access to the remaining grant funds for implementation or an extension of their grant award.

During review of the implementation plan, grantees will have an opportunity to address any issues or concerns in the revised implementation strategy. Grantees must ensure that the core elements of CBCR are in place; they have collected appropriate data; and there is a strong evidence base for proposed place-based programs or interventions.

Applicants should anticipate that they may be required to participate in future national evaluation efforts as a recipient of a CBCR grant. To ensure effectiveness in achieving program objectives, CBCR applicants must agree to work closely with BJA and BJA's competitively selected TTA partner (currently the [International Association of Chiefs of Police](#)), by participating in information sharing sessions, facilitating peer-to-peer exchanges of information, and applying subject matter expertise that is relevant to CBCR neighborhood efforts. These activities will guide each grantee in developing a set of comprehensive strategies that incorporate resident input and evidence-based or data-driven programs, policies, and practices. BJA anticipates that CBCR sites will be able to leverage TTA resources from other BJA TTA providers, such as Project Safe Neighborhoods and other Innovations Suite programs.

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

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

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

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

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<sup>7</sup> Funds are held via a special condition in the award. Once BJA approves the implementation plan, in writing, a Grant Adjustment Notice (GAN) will be processed in GMS to formally release the grant funds.

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

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

### **Information Regarding Potential Evaluation of Programs and Activities**

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

### **Encouraging Program Investments in Economically Distressed Communities (Qualified Opportunity Zones)**

Under this program, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that directly benefit federally designated Qualified Opportunity Zones (QOZs).<sup>8</sup> In order to assist OJP in considering this factor, applicants should include information in the application that specifies how the project will enhance public safety in the specified QOZs. For resources on QOZs, and for a current list of designated QOZs, see the U.S. Department of the Treasury's resource webpage, accessible at <https://www.cdfifund.gov/pages/opportunity-zones.aspx>.

## **B. Federal Award Information**

BJA expects to make up to 14 Planning and Implementation awards of up to \$1,000,000 each with an estimated total amount awarded of up to \$14,000,000. BJA expects to make awards for a 48-month period of performance, to begin on October 1, 2019.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP's strategic priorities, and OJP's assessment of both the

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<sup>8</sup> See Public Law 115-97, Title I, Subtitle C, Part IX, Subpart B, Sec. 13823.

management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

### **Statutory and Regulatory Requirements; Award Special Conditions**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with award conditions, as well as all applicable requirements of federal statutes and regulations. OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions prior to submitting an application.

Individual FY 2019 awards made pursuant to this solicitation will, as appropriate and to the extent consistent with law, include conditions that will require the recipient (and any subrecipient) that accepts the award to do various things, with respect to the “program or activity” that would receive federal financial assistance thereunder. Although the specific terms of each of those conditions are what will govern the awards, included among such conditions will be some that, generally speaking, will require the recipient (and any subrecipient) that accepts the award to do some or all of the following:

- Not to violate 8 U.S.C. § 1373 (prohibiting restrictions on— (1) communication to/from the Department of Homeland Security (“DHS”) of information regarding the citizenship or immigration status of any individual; and (2) maintaining, or exchanging with any government entity, information regarding the immigration status of any individual).
- Not to violate 8 U.S.C. § 1644 (prohibiting restrictions on communication to/from DHS of information regarding the immigration status of an alien).
- Not to publicly disclose federal law enforcement information in an attempt to conceal, harbor, or shield certain individuals from detection, including in violation of 18 U.S.C. §§ 1071 or 1072, or 8 U.S.C. § 1324(a).

The reasonable costs (to the extent not reimbursed under any other federal program) of complying with these conditions, including honoring any duly authorized requests from DHS that is encompassed by these conditions, will be allowable costs under the award.

### **Type of Award**

BJA expects to make any award under this solicitation in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through

entities<sup>9</sup>) must, as described in the Part 200 Uniform Requirements<sup>10</sup> as set out at 2 C.F.R. 200.303.

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

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

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

### **Budget Information**

CBCR resources are targeted specifically at persistently distressed neighborhoods that face significant violent and serious crime challenges. Applicants should understand that the range of strategies that are a part of the CBCR model may require funding in addition to that provided by

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<sup>9</sup> For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to a subrecipient (subgrantee) to carry out part of the funded award or program. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

<sup>10</sup> The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

BJA. It is therefore expected that applicants leverage other resources to support and sustain their effort. This may include federal and local funding for expenses not allowable or within the scope of the CBCR program.

A sample of agencies to consider for leverage funding includes:

For land use strategies:

- Department of Housing and Urban Development (resources and technical assistance)
- Center for Community Progress (resources and technical assistance)

For youth crime or alternatives for youth:

- Office of Juvenile Justice and Delinquency Prevention
- Department of Education, Promise Neighborhoods Program
- Corporation for National and Community Service

For rural and tribal resources:

- Department of Agriculture, Office of Rural Development

For police staffing and community policing resources:

- Office of Community Oriented Policing Services
- BJA's Innovation Suite (Project Safe Neighborhoods, Strategies in Policing Innovations, etc.)

### **CBCR Program Costs that require prior approval or are unallowable**

Applicants should be aware that **all** proposed costs contained within budget documents submitted by CBCR applicants and awardees will be reviewed for reasonableness, necessity, and compliance with relevant federal statutes, regulations, policies, and guidelines as outlined in the Department of Justice Financial Guide. CBCR supports broad-based planning and support for implementation in high-crime communities. While CBCR focuses on community safety and encourages a broad approach, some costs will not be allowable under the CBCR program and/or may require prior approval.

Some specific expenses that are unallowable under CBCR include the use of grant funds to establish and maintain a land bank, land acquisition, and construction/major renovations of real property. Further, applicants should be aware that some costs related to certain physical neighborhood improvements or costs related to Crime Prevention through Environmental Design (CPTED) require specific approval from BJA and may require the site to obtain a National Environmental Protection Act (NEPA) assessment prior to spending grant funds.

CPTED research principles reinforce the need to consider the physical environment when developing strategies to prevent and reduce crime. Therefore, CBCR will support the development of strategies to address these needs, subject to the NEPA and other grant requirements noted above and in the award. While the implementation plan may include strategies focused on crime risks related to conditions in the target area, not all strategies should or will be funded with CBCR Implementation funds. CBCR funds should be focused on the key needs related to public safety outcomes and be reasonable in relation to the overall budget, which BJA expects will fund a range of crime prevention and reduction activities. Revisions to the budget are approved through a separate process once the implementation plan is approved.

### **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.

For additional information on cost sharing and match, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>.

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

Requests for approval of pre-agreement costs will not be considered under this solicitation.

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 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.<sup>11</sup> The 2019 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/19Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the Budget Narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address, in the context of the work the individual would do under the award, the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

<https://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require

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<sup>11</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

### **Costs Associated with Language Assistance (if applicable)**

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

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

## **C. Eligibility Information**

For eligibility information, see title page.

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

## **D. Application and Submission Information**

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

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. **For this solicitation, BJA has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative, and MOUs/Letters of Support.**

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

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

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

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

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

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP’s financial system.) Also, current recipients should enter the Employer Identification Number (EIN) in box 8b exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

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

### 2. Project Abstract

Applicants must provide an abstract identifying the applicant’s name and project title. The abstract **must** include:

1. Identification of the target neighborhood/neighborhood boundaries, population of the target area **and** ZIP code(s).
2. Identification of whether the target neighborhood receives funding from any federal investments that occur, serve, or overlap the target neighborhood, such as other DOJ federal grant programs, including (but not limited to) any of the [BJA Innovation Suite of Programs](#), Community Based Violence Prevention Program, Department of Education’s Promise Neighborhood; Department of Housing and Urban Development’s Choice Neighborhood; a Department of Health and Human Services’ Community Health Center grant; or Department of the Treasury’s Community Development Financial Institution (CDFI) funds.
3. Summary of research plan and activities.

4. Name of the applicant.
5. Indication of whether a full-time project coordinator is already in place or will be hired. Please note the name of the entity under which this position will be managed.
6. Summary of project objectives.
7. Identification of other resources that will support the CBCR efforts.<sup>12</sup>

The abstract should be single-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must not exceed three pages. If the program abstract fails to comply with these restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

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

### 3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria (1-4) in the order given. The program narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must not exceed 20 pages. Number pages "1 of 20," "2 of 20" etc. If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative<sup>13</sup>:

- 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

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

Applicants should visit OJP's performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP.

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

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<sup>12</sup> Do not include these items in the budget. The purpose is to show support, but it will not be tracked as a match.

<sup>13</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

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

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA's online Performance Measurement Tool (PMT) located at <https://bjapmt.ojp.gov>. Applicants should examine the complete list of performance indicators at <https://bjapmt.ojp.gov/help/BCJIPerformanceIndicatorgrid.pdf>.<sup>14</sup>

#### **Note on Project Evaluations**

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute "research" for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements, likely do not constitute "research." Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 ("Protection of Human Subjects").

"Research," for purposes of human subjects protection for OJP-funded programs, is defined as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the "Research and the protection of human subjects" section of the "[Requirements related to Research](#)" webpage of the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)," available through the OJP Funding Resource Center at <https://ojp.gov/funding/Explore/LegalOverview/index.htm>.

Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that webpage.

#### **4. Budget and Associated Documentation**

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

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<sup>14</sup> The CBCR program was previously called the Byrne Criminal Justice Innovation (BCJI) program, and this chart still references the old program name.

**Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

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

**a. Budget Detail Worksheet**

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

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

**b. Budget Narrative**

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

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

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

Please see page 13 for specific information about CBCR costs.

Budget for travel to grantee peer to peer learning sessions (ALL applicants):

- Applicants must budget funding to travel to DOJ-sponsored peer to peer learning sessions. Applicants should estimate the costs of travel and accommodations for up to three personnel to attend at least two sessions, one regional and one in Washington, D.C., during the life of the grant.<sup>15</sup> Approval from BJA is required prior to any use of travel funds outside of DOJ-sponsored CBCR events.

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<sup>15</sup> Exact meeting locations are subject to change but applicants may use Washington, D.C., and a large city anywhere in their region to create the estimated budget for travel to these meetings.

Budget for **planning phase activities**:

- As described on page 9, Planning and Implementation awardees will only have access to up to \$150,000 for planning phase activities (9 to 18 months) and must budget accordingly. Of this, at least one-third and ideally as much as one-half will be committed to the initial data analysis, problem assessment, and identification of data-driven, evidence-based practices, or innovative approaches.

**c. Information on Proposed Subawards (if any) and on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make *subawards*. Applicants also may propose to enter into procurement *contracts* under the award.

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

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

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

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a *subaward* for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given

greater consideration than the form of agreement between the recipient and the outside entity.

### 1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should: (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

### 2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$250,000<sup>16</sup>)

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement "contracts" under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the Simplified Acquisition Threshold—currently, \$250,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive

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<sup>16</sup> Consistent with the provisions of Office of Management and Budget memorandum, OMB M-18-18, dated June 20, 2018, and entitled, "Implementing Statutory Changes to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance," DOJ will allow recipients (and any subrecipients) of awards made under this solicitation to use a simplified acquisition threshold of \$250,000 and a micro-purchase threshold of \$10,000, for federal grants administrative purposes.

approach for the procurement. An applicant that (at the time of its application) intends – without competition – to enter into a procurement contract that would exceed \$250,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$250,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$250,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

#### **d. Pre-Agreement Costs**

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

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

Indirect costs may be charged to an award only if:

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

An applicant with a current (unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1–800–458–0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both—(1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.) For the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

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

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

## **7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high risk status)**

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

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

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

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

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered "high risk" by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the

information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

**8. Disclosure of Lobbying Activities**

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

**9. Applicant Disclosure of Pending Applications**

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

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

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

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

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

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant’s Legal Name on the

application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.”

#### **10. Applicant Disclosure and Justification – DOJ High Risk Grantees<sup>17</sup> (if applicable)**

An applicant that is designated as a DOJ High Risk Grantee is to submit, as a separate attachment to its application, information that OJP will use, among other pertinent information, to determine whether it will consider or select the application for an award under this solicitation. The file should be named "DOJ High Risk Grantee Applicant Disclosure and Justification." (See, also, Application Review Information, for a brief discussion of how such information may be considered in the application review process.)

OJP constantly seeks to optimize its investments in criminal- and juvenile justice-focused programs and activities, increase program effectiveness, and maximize the return – and program impact – from limited programmatic resources. Therefore, OJP may remove from consideration or not select for award a "DOJ High Risk Grantee" applicant that is determined to pose a substantial risk of program implementation failure. In making such determinations, OJP will consider one or more of the following factors: the applicant's lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee designation; the nature and severity of the issues leading to or accompanying the applicant's DOJ High Risk Grantee designation; or the applicant's expected ability to manage grant funds and achieve grant goals and objectives.

In this attachment, the applicant is to provide any additional information or justification – especially with regard to corrective actions yet to be implemented (as of the application date) – that may help demonstrate how the applicant has addressed or otherwise mitigated such uncorrected matters, such that any negative impact on the proposed program and its implementation would be immaterial or would be significantly reduced or eliminated. (To the extent that the applicant believes that any of the information provided pursuant to this disclosure may be confidential in nature, the applicant should specifically identify it.)

#### **11. Additional Attachments**

##### **a. Information regarding Communication with the Department of Homeland Security (DHS) and/or Immigration and Customs Enforcement (ICE)**

Each applicant must provide responses to the following questions as an attachment to the application:

- (1) Does your jurisdiction have any laws, policies, or practices related to whether, when, or how employees may communicate with DHS or ICE?

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<sup>17</sup> A "DOJ High Risk Grantee" is a recipient that has received a DOJ High-Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

(2) Is your jurisdiction subject to any laws from a superior political entity (e.g., a state law that binds a city) that meet the description in question 1?

(3) If yes to either:

- Please provide a copy of each law or policy.
- Please describe each practice.
- Please explain how the law, policy, or practice complies with 8 U.S.C. § 1373.

Note: Responses to these questions must be provided by the applicant as part of the application. Further, the requirement to provide this information applies to all tiers of funding and for all subawards made to state or local government entities, including public institutions of higher education. All subrecipient responses must be collected and maintained by the direct recipient of funding and must be made available to DOJ upon request. Responses to these questions are not required from subrecipients that are either a tribal government/organization, a nonprofit organization, or a private institution of higher education.

OJP will not deny an application for an FY 2019 award for failure to submit these required responses by the application deadline, but a recipient will not receive award funds (and its award will include a condition that withholds funds) until it submits these responses.

**b. Research and Evaluation Independence and Integrity**

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below:

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research,

including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

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

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

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

Each applicant nonprofit organization must state at the time of its application (question 9c in the "OJP Financial Management and System of Internal Controls Questionnaire" located at <http://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> and mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

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

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

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

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

**d. Memoranda of Understanding (MOUs), and Letters of Support.**

Each applicant must submit, as part of its application, a Memorandum of Understanding (MOU), signed by each individual, organization, or agency listed below (1-7). For sample MOUs, please visit the LISC CBCR [Resources](#) page.

MOUs

Each MOU must:

- Describe each partner's financial and programmatic commitment.
- Describe how each partner's existing vision and current activities align with those of the CBCR cross-sector partnership.
- Demonstrate a commitment to provide crime and arrest data needed to complete the crime analysis described in this solicitation, in addition to specific staff that will oversee this effort.

MOUs must include signatures from, at a minimum, the following individuals/organizations:

1. Applicant.
2. Local law enforcement agency.
3. One cross-sector partner.
4. A list of key partners and their leadership.
5. A list of persons who will oversee the required CBCR elements, including data collection, analysis, and a research plan; planning and strategy development; community engagement; and law enforcement.
6. The management structure and staff designated to implement the project; describe their roles and responsibilities including decision making, as well as those of any co-applicants or partners, if applicable.
7. Any existing or non-CBCR resources the cross-sector partnership intends to leverage to complete project activities.

Letters of Support

Applicants should provide Letters of Support from criminal justice partners, community leaders (as defined by the local jurisdiction), and any other key members of the cross-sector partnership team or other entities that will be key partners in the CBCR strategy.

- **Non-profit Partnership: Letter of Participation**  
Qualifications, Expertise, and Letter of Participation

If partnering with a non-profit organization (i.e., a research partner), provide a brief statement of its qualifications. At a minimum, the letter should include the following: years of experience in conducting research and evaluation (specifically as it relates to criminal justice and neighborhood revitalization topics) and a list of no more than three publications relevant to policing and/or evaluation. The partner organization should demonstrate knowledge of community-oriented, place-based crime strategies and evaluation methods, and describe any history of a relationship or familiarity with the police agency (i.e., have they worked with the applicant and/or police agency in the past, or is this a new endeavor). For rural or tribal areas, it may be more appropriate for the partner organization to describe expertise specific to the issues and needs of the targeted community.

Additionally, the non-profit organization should indicate their capacity to assist the police agency with data collection issues and analysis. The letter should include a paragraph about the methods that will be used for the project.

Memorandum of Agreement

If the applicant is selected to receive a grant award, the applicant, police agency (if not the applicant), and the non-profit organization (if applicable) will be asked to include a Memorandum of Agreement (MOA) that outlines specific roles, responsibilities, and expectations. The MOA should be signed by the non-profit organization and the designated officials within the applicant and police department (if they are separate agencies).

**e. Documentation of Anticipated Benefit to Qualified Opportunity Zones (if applicable)**

As is mentioned above, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that will likely enhance public safety in federally designated Qualified Opportunity Zones (QOZs). Each applicant proposing a project it anticipates will likely enhance public safety in one or more QOZs should provide a sufficient narrative explanation in order for OJP to identify clearly the public safety benefit the applicant anticipates that its project will have on a specified QOZ(s). The attachment(s) should be clearly labeled as addressing QOZs. The applicant may also include tables, charts, graphs, or other relevant illustrations that may be useful in comprehending the manner in which the proposed project is anticipated to benefit a QOZ(s).

**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 <https://www.grants.gov/web/grants/support.html>.

Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at

least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. 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. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other). Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

An applicant must use the **Add Attachment** button to attach a file to its application. Do not click the paperclip icon to attach files. This action will not attach the files to the application. After adding an attachment, select the **View Attachment** button to confirm you attached the correct file. To remove the file, select the **Delete Attachment** button.

An application can be checked for errors via the **Check Application** button on the **Forms** tab of the **Manage Workspace** page. The button is active if the set of forms in the workspace matches those required in the application package. If you receive a **Cross-Form Errors** message after clicking the **Check Application** button, refer to the Cross-Form Errors help article for more detailed information about this validation error.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully submitted applications to the OJP Grants Management System (GMS).

Characters
Upper case (A – Z)
Lower case (a – z)
Underscore ( _ )
Hyphen ( - )
Space
Period ( . )

Special Characters		
Parenthesis ( )	Curly braces { }	Square brackets [ ]
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma ( , )	Semicolon ( ; )	Apostrophe ( ' )
At sign (@)	Number sign (#)	Dollar sign (\$)
Percent sign (%)	Plus sign (+)	Equal sign (=)

**\*When using the ampersand (&) in XML, applicants must use the “&amp;” format.**

**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:

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

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

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

### **Registration and Submission Steps**

- 1. Acquire a unique entity identifier (currently, a DUNS number).** The Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at <https://www.dnb.com/>. A DUNS number is usually received within 2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a new entity registration (or updating or renewing a registration) in SAM.gov must submit an original, signed notarized letter appointing the authorized Entity Administrator within thirty (30) days of the registration activation. **Notarized letters must be submitted via U.S. Postal Service Mail.** Read the Alert at [sam.gov/SAM/](http://sam.gov/SAM/) to learn more about what is required in the notarized letter, and read the Frequently Asked Questions (FAQs) at [www.gsa.gov/samupdate](http://www.gsa.gov/samupdate) to learn more about this process change. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). Information about SAM registration procedures can be accessed at [sam.gov/SAM/](http://sam.gov/SAM/).

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username

and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.817 titled "Byrne Criminal Justice Innovations Program," and the funding opportunity number is BJA-2019-15364.
6. **Access Funding Opportunity and Application Package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** To preview the application prior to (or after) submitting, go to the **View Application** tab in Workspace. For additional information, review the [View Application Tab](#) help article and [Attachments Tab](#) help article. Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on June 25, 2019.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

#### **Experiencing Unforeseen Grants.gov Technical Issues**

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and

receive a tracking number. The applicant must email the contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

**Note: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

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

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.**

## **E. Application Review Information**

### **Review Criteria**

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

#### **1. Statement of the Problem (20 percent)**

All applicants should explain the jurisdiction's limitations in funding the program adequately without federal assistance.

a. Describe the recent history of the neighborhood and how violent crime and/or drug abuse have impacted it. Include neighborhood assets, challenges, and any experiences that have restricted or limited opportunities for community and economic development. Describe any issues of mutual trust or mistrust between residents and law enforcement and their ability to identify and address overall neighborhood improvement. Describe the nature and scope of crime in the targeted community, including the number and location of the specific city blocks or other hot spots where a large proportion of crime or types of crime occur, as compared with crime rates in the overall jurisdiction. Provide any local/state data and a trend analysis **for the specific target area** (including Uniform Crime Reporting, FBI violent crime rates, calls for service, and survey results from target area residents) to support the discussion. Crime data must be provided for at least three years or longer to demonstrate persistent serious and violent crime issues. Applicants

should provide data that are verifiable and part of an official records system, and additional information about what is causing the crime in the hot spots. BJA and peer reviewers will use this information to understand crime trends and confirm that the target area generates persistent, high crime over a period of time (at a minimum three years).

b. Describe the geographic boundaries of the targeted neighborhood or community, the ZIP code, as well as the population size and demographic makeup of the population of both the overall jurisdiction and the targeted neighborhood where the CBCR strategy is proposed.

## **2. Project Design and Implementation (40 percent)**

Identify the program objectives and describe the vision for the target neighborhood/community, specifically how this vision will address the problems identified in the Statement of the Problem. Ensure each objective is precise and measurable and identify strategies, programs, and policies to achieve the objectives.

Describe the proposed planning process and resulting potential range of strategies (enforcement, intervention, prevention, and connections to economic development plans) to address the specific crime drivers identified; describe the continuum of solutions, which may include enforcement, prevention, intervention, and treatment strategies. Describe coordination of needed resources across various funding sources. Describe how the objectives support meaningful resident involvement in a manner that fosters trust and builds capacity of partners to sustain a long-term collaborative approach. Applicants should describe a plan for coordinating with the local United States Attorney's Office PSN team.

The project design and overall strategy should conform to the CBCR core program elements and should target the reduction and prevention of crime in the identified crime hot spots. The continuum of solutions must be based on evidence-based policies and practices, where available, and propose to employ innovative approaches to an identified target population.<sup>18</sup> Where there are gaps in knowledge, the applicant should incorporate data and innovation to develop new or revised strategies.

**a. Planning Activities.** Describe how the planning phase will be used to reach critical planning milestones; CBCR grantees will be guided through this phase by the BJA TTA provider's Planning and Implementation guide. Examples of such milestones may include community and resident engagement, regular meetings to discuss research activities, data collection and analysis, building partnership and collaboration infrastructure, and identification of crime reduction strategies and related budget revisions.

- Describe specifically how the project will accomplish expected outcomes by providing objectives and performance measures applicable to the project. Include a comprehensive timeline that identifies milestones, numerically lists deliverables, and identifies who is responsible for each activity.

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<sup>18</sup> Resources on evidence-based programs and practices are available at [BJA Evaluation Scan](#) (June 2016), [Crimesolutions.gov](#), and [BJA Innovation Suite of Programs](#).

- Describe the non-profit organization's roles and responsibilities, if applicable. At a minimum, research should play a role in problem description and definition; solution development; ongoing analysis, monitoring, and assessment of the solution impact(s); and the production of the final summary report.
  - Describe and provide evidence of the types and quality of data sources available to the cross-sector partnership to conduct appropriate analysis. For example: access to multiple sources of data across partner agencies specific to the identified problem(s). Does the applicant or other partners have the ability to integrate data from different sources?
- b. Community Engagement and Capacity.** Describe new or existing activities to build community stakeholder participation in data-driven problem analysis, identify priorities, and select a range of response strategies for implementation. Discuss how communication with policy makers will occur related to law enforcement and neighborhood safety priorities. Describe plans to build the necessary infrastructure for effective community and resident partnerships.
- c. Implementation Strategies and Activities.** Describe the initial plan to develop and implement a range of strategies, and the proposed process to identify the specific strategies that will be conducted to achieve proposed project objectives.

Each strategy should fall within one of the following categories. (See the definition of "evidence" on page 10 and "research" on page 18.)

- **Evidence-Based or Evidence-Informed Policies and Practices:** Describe each evidence-based policy or practice to be employed and how it responds to the issue or need as a place-based strategy and/or with the target population.
  - **Promising Best Practices:** Where there is promising evidence of an effective strategy, discuss current knowledge and how the promising strategy will be replicated in a new location, or offer strategic enhancements of an existing model for application to a different population.
- d. Innovations:** Applicants should discuss new or innovative strategies or programs, policies, service practices, or other activities that are not well-documented in the science literature for the emerging area of criminal justice.
- Address how the applicant will disseminate information and updates about the CBCR project within the cross-sector partnership, as well as to other city/criminal justice partners throughout the life of the project, in order to promote greater knowledge and understanding about the value of research and evidenced-based practice among practitioners, and to adopt successful strategies and practices.
  - CBCR provides an opportunity for successful grantees to work with non-profit partners to evaluate strategies and processes that communities want to implement on a sustained basis, when outcomes are favorable. Describe how the applicant intends to coordinate and lead efforts to sustain effective practices and strategies.

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

The applicant must be able to serve as the program leader and oversee coordination of a consortium of agencies, organizations, and community stakeholders, including but not limited to oversight of subawards. The application must demonstrate, by citing specific examples, its capacity, commitment, and support from key stakeholders in the community, to serve as the lead applicant. The application must specifically document capacity by providing the following information about the applicant and the cross-sector partnership:

- a. Describe how the applicant and cross-sector partnership will:
  - Monitor strategy implementation and achievement of objectives
  - Utilize a full time site coordinator to manage and lead day-to-day tasks and activities during implementation
  - Manage any subaward(s) of CBCR funds
  - Work collaboratively with the CBCR TTA provider and subject matter experts.
  - Govern changes or modifications to the strategy
  - Ensure project and fiscal accountability
  - Collect, collate, and submit timely performance data, semi-annual progress reports, and quarterly financial reports
- b. Describe capacity to lead community outreach and trust building and to engage in building leadership skills, including collaboration with community-based organizations.
- c. Describe the applicant's capacity to manage interagency, cross-sector partnerships to effectively implement place-based, community-oriented crime and community revitalization strategies and community trust building. This includes a plan for bringing local law enforcement and community stakeholders together for a collaborative approach towards crime reduction.

### 4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5 percent)

- a. **Performance Management:** For each project goal, identify the criteria that will determine how and if objectives have been successfully met and one or more specific measurable outcome(s) and the data sources that will be used to determine whether or not the outcome was accomplished.
  - All applicants must indicate their willingness and ability to collect and report performance and outcome data through BJA's Performance Measurement Tool (PMT) (no personally identifiable information shall be collected through the PMT). Applicants are expected to report on behalf of any subawardees. Additionally, please see page 20 that discusses willingness to cooperate with any evaluation efforts.
  - 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. If applicable, describe the process to accurately report implementation findings. Assess the quality and usefulness of any proposed evaluation activities, findings, and reports.

- Describe the steps the applicant will take with the CBCR team to develop a performance management plan. The plan should include strategies to collect data, review data, and use data to improve program performance. The plan should also discuss how the CBCR team will work with the research partner, including any evaluation plans.
- b. **Sustainability Plan:** Applicants must demonstrate strategic leveraging of federal, state, local, and tribal funding sufficient to ensure sustainability. A sustainability plan acknowledges the intent of the CBCR collaborative partners to continue high-impact activities beyond CBCR funding. When developing the sustainability plan, it is important that the cross-sector partnership remain thoughtful in identifying necessary resources and partners that support the strategy. Effective sustainability plans are tied directly to collaborative relationships with neighborhood partners that demonstrate the long-term commitment to neighborhood change.
- Outline a strategy for sustainment when the grant ends. Include a plan for any collaborative efforts that must be maintained to ensure the continued implementation of those projects. Provide a discussion of innovative approaches that will be used to maximize strategy impact and cost-effectiveness.

Address how the applicant will disseminate information and updates about CBCR project within their department/ agency throughout the life of the project in order to promote greater knowledge and understanding about the value of research and evidence-based practice.

## 5. Budget (10 percent)

Budgets should be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the objectives of the project.<sup>19</sup> Please see page 13 for more details on CBCR costs that may be unallowable or require prior approval. Cost sharing will be considered favorably in the review process, consistent with the guidance provided in the solicitation, supporting cross-sector approaches.

## Review Process

OJP is committed to ensuring a fair and open process for making awards. 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. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

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<sup>19</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for BJA include geographic diversity, strategic priorities (specifically including, but not limited to, demonstrable potential enhancement to public safety in one or more federally designated Qualified Opportunity Zones), and available funding, as well as the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

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

In addition, if OJP anticipates that an award will exceed \$250,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System, (FAPIS)).

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

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as:

1. Applicant financial stability and fiscal integrity
2. Quality of the applicant’s management systems, and the applicant’s ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide

3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

**Note on applicants with a “high risk” designation:** Risks associated with DOJ High Risk Grantees, or applicants designated as “high risk” by a federal grant-making agency outside of DOJ, are taken into account during the review process, and each applicant with such “high risk” designations will be considered for funding on a case-by-case basis, depending on the nature and severity of the issues that led to the DOJ High Risk Grantee (or non-DOJ high risk) designation, status of progress in addressing corrective actions, and expected ability to manage grant funds and achieve grant goals and objectives. A “high risk” designated applicant is to submit disclosure and justification documentation consistent with the requirements specified, above, under “What an Application Should Include” in Section C. Application and Submission Information.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

Award notifications will be made by September 30, 2019. OJP sends award notifications 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 steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires a physical signature on the award document by the authorized representative. The fully-executed award document must then be scanned and submitted to OJP.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to verification of employment eligibility. The condition will, generally speaking, require the recipient (and any subrecipient) that accepts the award to verify the employment eligibility of any individual hired under the award, consonant with 8 U.S.C. § 1324a(a)(1).

OJP will include as appropriate an award condition (the specific terms of which will govern the award) requiring recipients of OJP grant funding that will support projects that involve or serve minors under the age of 18 to develop and implement written screening procedures (consistent with pertinent federal, state, and local law) for individuals who will interact in a staff or volunteer capacity with minors involved in the grant-funded programs.

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to competition requirements set forth at 2 C.F.R. § 200.319. The condition will, generally speaking, prohibit recipients (and any subrecipients) from procuring goods and services with award funds by means of any competition that disadvantages or excludes vendors on the basis of their having (or their having had) a prior or existing contractual relationship with the federal government.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2019. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

### **General Information about Post-Federal Award Reporting Requirements**

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

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

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

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103–62, and the GPRA Modernization Act of 2010, Public Law 111–352, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP.

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

For OJP contact(s), see the title page.

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

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a

similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

**Provide Feedback to OJP**

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

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojpprsupport@usdoj.gov](mailto:ojpprsupport@usdoj.gov). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

**Appendix: Application Checklist**  
**FY 19 Innovations in Community-Based Crime Reduction Program**

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

**What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 32)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 32)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 32)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 33)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 33)
- \_\_\_\_\_ Access Funding Opportunity and Application Package
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 30)
- \_\_\_\_\_ 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](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm)

*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 33)

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

- \_\_\_\_\_ contact NCJRS regarding experiencing technical difficulties (see page 33)

**Overview of Post-Award Legal Requirements:**

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

**Scope Requirement:**

- \_\_\_\_\_ The federal amount requested is within the allowable limit of \$1,000,000.

**Eligibility Requirement:**

Eligible applicants are limited to states, institutions of higher education (including tribal institutions of higher education), units of local government, nonprofit organizations (including tribal nonprofit organizations), and federally recognized Indian tribal governments (as determined by the Secretary of the Interior) as applicant.

**What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)
- \_\_\_\_\_ Project Abstract (see page 16)
- \_\_\_\_\_ Program Narrative\* (see page 17)

- \_\_\_\_\_ Budget Detail Worksheet\* (see page 19)
- \_\_\_\_\_ Budget Narrative\* (see page 19)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 22)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 23)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 23)
- \_\_\_\_\_ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 24)
- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 24)
- \_\_\_\_\_ Applicant Disclosure and Justification – DOJ High Risk Grantees (if applicable) (see page 25)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 26)
  - \_\_\_\_\_ Disclosure of Process related to Executive Compensation
  - \_\_\_\_\_ Memoranda of Understanding (MOUs)\*, Letters of Support\* and
  - \_\_\_\_\_ Memorandum outlining cross-sector partnership\*
  - \_\_\_\_\_ Research Partnership: Letter of Participation, if applicable (see page 30)
  - \_\_\_\_\_ Request and Justification for Employee Compensation; Waiver (if applicable)
  - \_\_\_\_\_ Information regarding Communication with the Department of Homeland Security (DHS) and/or Immigration and Customs Enforcement (ICE) (see page 25)
  - \_\_\_\_\_ Documentation of Anticipated Benefit to federally designated Qualified Opportunity Zones (if applicable), if applicable (see page 30)

\* Critical elements