

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications to support its project titled Comparisons of Criminal History Information Systems in the United States and Other Nations (CCHIS). The purpose of this effort is to compare the attributes of national criminal history record systems in the United States and other countries, including the nature of information stored, the sources of this information, record accuracy and completeness, data quality monitoring mechanisms, and the availability of this information to government and nongovernment researchers. This program furthers the Department's mission to identify the most pressing challenges confronting the justice system and to provide information in support of innovative strategies and approaches for dealing with these challenges.

Comparisons of Criminal History Information Systems in the United States and Other Nations (CCHIS)

Applications Due: May 16, 2016

Eligibility

Eligible applicants are national, regional, state, or local public and private entities, including for-profit (commercial) and nonprofit organizations, tribal nonprofit or for-profit organizations, faith-based and community organizations, institutions of higher education (including tribal institutions of higher education), federally recognized Indian tribal governments as determined by the Secretary of the Interior, and units of local government that support initiatives to improve the functioning of the criminal justice system. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply; however, an eligible applicant may subcontract with such entities if they can be shown to provide qualified support for this project

BJS welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, one eligible entity must be the lead applicant and the other(s) must be the subrecipient(s). The lead applicant must be the entity with primary responsibility for administering the funding and managing the entire CCHIS program. Only one application per lead applicant will be considered; however, a subrecipient may be part of multiple proposals.

BJS may elect to make awards for applications submitted under this 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](https://www.grants.gov) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 16, 2016.

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

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

Contact Information

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

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

For assistance with any other requirements of this solicitation, contact Matt Durose, Statistician and Program Manager, by telephone at 202-307-0765 or by email at askbjs@usdoj.gov. Include "CCHIS" in the subject line.

Grants.gov number assigned to this announcement: BJS-2016-9331

Release date: March 16, 2016

Contents

| | |
|---|----|
| A. Project Description..... | 4 |
| Overview..... | 4 |
| Project-Specific Information..... | 4 |
| Goals, Objectives, and Deliverables..... | 6 |
| B. Federal Award Information..... | 8 |
| Type of Award..... | 9 |
| Financial Management and System of Internal Controls..... | 9 |
| Budget Information..... | 10 |
| Cost Sharing or Matching Requirement..... | 10 |
| Pre-Agreement Cost (also known as Pre-award Cost) Approvals..... | 10 |
| Limitation on Use of Award Funds for Employee Compensation; Waiver..... | 10 |
| Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs..... | 11 |
| Costs Associated with Language Assistance (if applicable)..... | 11 |
| C. Eligibility Information..... | 11 |
| Limit on Number of Application Submissions..... | 11 |
| D. Application and Submission Information..... | 11 |
| What an Application Should Include..... | 11 |
| How to Apply..... | 18 |
| E. Application Review Information..... | 21 |
| Selection Criteria..... | 21 |
| Review Process..... | 22 |
| F. Federal Award Administration Information..... | 23 |
| Federal Award Notices..... | 23 |
| Administrative, National Policy, and other Legal Requirements..... | 24 |
| General Information about Post-Federal Award Reporting Requirements..... | 25 |
| G. Federal Awarding Agency Contact(s)..... | 25 |
| H. Other Information..... | 25 |
| Provide Feedback to OJP..... | 25 |
| Application Checklist..... | 26 |

Comparisons of Criminal History Information Systems in the United States and Other Nations (CCHIS) (CFDA 16.734)

A. Project Description

Overview

The criminal history information system is maintained in the United States by tens of thousands of law enforcement agencies, courts, corrections systems, and state and federal repositories. It is used as a primary information resource by criminal justice professionals for a wide variety of reasons, by others to conduct background checks, and by researchers to understand the nature of criminal careers and the effect of interventions on criminal behavior. Little is known about how the criminal history system in the United States compares with those in other industrialized nations. This project will help fill this information gap and provide insight into potential improvements of the U.S. system.

Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to “provide for improvements in the accuracy, quality, timeliness, immediate accessibility, and integration of State and tribal criminal history and related records, and support statistical research for critical analysis of the improvement and utilization of criminal history records.” That statute also authorizes BJS to “make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals” for purposes of collecting and analyzing criminal justice statistics.

Project-Specific Information

The United States has developed a nationwide, biometrically-based, criminal history information system that enables criminal justice professionals to access the arrest, adjudication, and incarceration histories of individuals to support decision making. At its core is a group of state- and one federal-based criminal history record repositories that are largely controlled by their own, somewhat unique reporting requirements.

When functioning as designed, law enforcement agencies within a state submit to that state’s repository a record of each arrest made. This record includes, among other attributes of the arrest, the name of the law enforcement agency, the name of the arrestee, arrestee demographics (including date of birth, sex, race, and Social Security number), and the date of arrest, the arrest charge, and an image of the arrestee’s fingerprints. When the arrest record is received, the state repository reviews its existing records (using the set of fingerprints) to determine if the individual has been arrested previously in the state. If there has been a previous arrest, the repository adds to the submitted arrest record the person’s state identification number (SID) that was assigned to the set of fingerprints in an earlier submission. Next, the submitted arrest record is assigned a chronological arrest cycle number, and the arrest information is added to the person’s criminal history record in the repository.

If the set of fingerprints is new to the state repository, an SID is assigned to the set of fingerprints, and they are sent to the FBI for the federal repository to determine if it had ever received this set of fingerprints from any other repository. If it has not, the FBI/federal repository assigns a person-level federal identification number (or FBIID) to the set of fingerprints and reports this number to the state repository. If the federal repository has seen the fingerprints in the past, it sends the previously established FBIID to the state repository. Through this sharing, each state repository has SID and the linked FBIID for each arrestee, and the federal repository has the set of all state-specific SIDs with the same set of fingerprints for each FBIID.

After the arrest information is recorded in the state repositories, subsequent information on the criminal justice response to each arrest should be sent to the criminal history repository by the law enforcement, prosecution, courts, and custody agencies in the state to form a complete record of the criminal justice system's responses to the arrest. In reality, the goal of a complete criminal history record is often not fulfilled. Information on an unknown number of arrests is never sent to a state repository. States vary regarding the types of arrest that are required to be reported to their repositories. In addition, many prosecutors, courts, and custody agencies do not send their responses to the arrest (e.g., dismissal, diversion, adjudication, conviction, and sentence) to the state repository.

In the United States, when a criminal justice professional requests a multistate (i.e., national) criminal history record, a data transfer system that links all of the state repositories and the federal repository is activated. This system is known as the Interstate Identification Index (III). At its most basic level (which ignores many real-world complexities), this data transfer system works as follows:

- The individual's SID is entered into the Interstate Identification Index (III), initiating a request for a multistate criminal history record (or rap sheet). This request is first sent to the federal repository to obtain all of the other states' SIDs that are associated with the state-specific SID.
- Requests are then made to all repositories that house criminal history information on the individual. Each repository extracts the information it has on the individual and returns a state-specific rap sheet.
- Once all repository responses are received, they are assembled into a single electronic document that is delivered to the criminal justice professional who requested the information.

Currently, each repository stores information in its own unique data structure with its own unique coding categories. Therefore, the state-specific portions of the national rap sheet differ greatly in structure and content, but can be read and interpreted by those who work with these documents on a regular basis.

In recent years, BJS has developed an automated system to request national rap sheets on large samples of individuals. The information on these rap sheets is then extracted into a relational database using parsing software designed to handle the unique structure and content of each repository's rap sheet submissions. Finally, the automated system converts all state-specific codes retrieved from the rap sheets (e.g., offense and disposition information) into a set of standard coding values to support the development of analytic databases that can be explored using standard statistical software packages. Through this system, BJS can obtain and standardize large sets of criminal history records in a fraction of the time that was required to do the same work previously. With this new automated system BJS can access for research

purposes what is essentially an extremely large administrative database that has been in existence for decades and is enhanced on a daily basis.

Although the automated system reliably extracts information from the nation's criminal history repositories, data are limited for statistical analyses by weaknesses related to jurisdictional variations in reporting standards and data quality, the unknown degree of underreporting of data by system actors, and the effects of improved reporting and data quality assessment over time. These problems, which are inherent in any use of administrative data, must be understood and addressed before findings based on these data can be fully trusted. BJS is working on these data quality concerns to improve the validity of the automated data housed in state and federal criminal history repositories.

Goals, Objectives, and Deliverables

BJS is working to (1) use criminal history information found in administrative datasets housed in state and federal repositories to support its research efforts, (2) discover the sources of error in these administrative data, (3) improve data quality in these administrative data systems, and (4) adjust existing data extracted from these administrative data systems to compensate for existing errors. As a part of this work, BJS can benefit from the experiences of other countries in their collection, assessment, and use of official criminal history records for research and statistical purposes.

The award recipient will prepare a report over a 20-month project period documenting (1) efforts to establish and maintain criminal history record systems in at least five other countries, (2) procedures used by those responsible for these criminal history record systems to assess information accuracy and completeness, (3) efforts by those responsible for the criminal history record systems to overcome record system deficiencies, and (4) additional efforts that government and other researchers have made to address data deficiencies when using criminal history records for statistical and research studies. The report should also provide insight for improving the accuracy, quality, timeliness, immediate accessibility, and integration of United States criminal history and related records. Applicants are strongly encouraged to study countries that have criminal history record systems that are highly automated, are biometrically based, serve large populations, and accumulate information from multiple components within their criminal justice systems. The final product of this effort will be a report that contains individual, commonly structured chapters on each country's criminal history record information system, including a chapter on the United States that will be written by BJS and FBI staff. It will also contain an introductory chapter that provides detailed descriptions and comparisons of the criminal history systems in the individual countries.

The application must include the project's management plan. While the applicant may propose any team structure for achieving the project's goals, BJS recommends that the project include a team of at least two people for each country as authoritative sources for producing that country's portion of the work. For each country, BJS also recommends that one team member has current or previous direct involvement with the development, management, or maintenance of the country's criminal justice record system. This would ensure that the applicant will provide (1) a reliable description of the country's criminal history data system, along with government efforts to assess and improve data quality; (2) a description of how data would be used in government research and statistical efforts; and (3) information about the government's established procedures to provide nongovernment researchers with access to these data. In addition, BJS recommends that the second member of the country team be a nongovernment

researcher who has used these data in their own research and can describe how they and other researchers have handled any known data weaknesses or limitations.

Applications will likely vary in terms of the countries identified for study and the levels of identification of team members. That is, while some applications may include a complete set of recommended countries to be studied and the individuals who will comprise the country teams, others may include only partial lists or may plan to make these decisions after the work is funded. All types of applications will be considered. Applications that include a complete set of recommended countries and team members, the application should explain why these selections were made. Applicants that plan to make these selections after funding should detail the selection criteria. Applications that have partially identified countries and/or team members should explain why the selections were made and the criteria that will be used for the subsequent selections.

The deliverables for the project include—

1. **Kickoff meeting.** A kickoff meeting will be held at BJS's offices in Washington, D.C., within the first 2 months of the project period. During the meeting, key project staff will review and reach a consensus on all aspects of the proposed effort, including countries to be studied, staffing, deliverables, a time/task plan that documents time frames and delivery dates for all project milestones, and levels of effort for each significant team member. Key components of this project are the countries to be studied and the team members who will write the chapters on each country's criminal history information system. Applications that propose a complete set of recommended countries and team members should schedule the kickoff meeting within the first month of the project period. Other applicants should schedule the kickoff meeting after developing a proposed list of counties and team members, but no later than the end of the second month of the project period. Within 2 weeks of the kickoff meeting, the project team will provide a revised staffing and management plan, (with a final list of the countries to be studied) a revised description of deliverables, and a revised time/task plan (deliverable #1).
2. **Detailed outline to be used for all country-specific chapters of the report.** The project team should draft a detailed chapter outline that describes the desired attributes of each country's criminal history record information system. The method for developing this outline should be described in the application, and may include a meeting of key staff. Once the team has prepared a draft outline, it will be sent to BJS for review (deliverable #2). BJS will review the outline and provide comments within 2 weeks of receipt. By no later than the end of the fifth month, the project team should deliver a final chapter outline (deliverable #3). The chapter outline should cover at least the following:
 - a. a description of the goals and operational objectives of the country's criminal history record system
 - b. a description of the development of the country's system
 - c. the current characteristics of the system, including—
 - i. legislation and regulations controlling the governance of and contributions to the system
 - ii. sources of the data flowing into the system
 - iii. content and attributes of the data flowing into the system

- iv. use of individual identifiers
 - v. efforts employed to assess and improve the quality of the reported data
 - d. current users of the system and their purposes (e.g., criminal history background checks by criminal justice professionals, noncriminal-justice background checks by potential employers, and data extraction for researchers)
 - e. known limitations of the data and how the system is working to overcome these limitations
 - f. how users of the existing data accommodate known data quality weaknesses
 - g. procedures in place for providing extracts of administrative data to qualified researchers
 - h. Insights for improving the accuracy, quality, timeliness, immediate accessibility, and integration of United States criminal history and related records.
3. **Chapter drafts.** Once the chapter outline is approved, the project team will work on the individual country-specific chapters of the report. Chapter drafts (in English) will be provided to the project team and BJS by no later than the eleventh month of the project for review and comment (deliverable #4).
 4. **Face-to-face meeting in Washington, D.C.** All key staff will attend a face-to-face, 2- or 3-day meeting at BJS's offices in Washington, D.C., by no later than the twelfth month of the project period (deliverable #5). At this meeting, key aspects of each chapter (including the summary chapter) will be presented to the group and discussed in detail to ensure that each chapter covers what project team members and BJS agree should be included in the final report. The meeting will also be a platform for participants to discuss other relevant aspects of each country's criminal history records system that should be included in each country's chapter.
 5. **Delivery of first draft of final report.** Within 3 months of the face-to-face meeting, the project team will deliver a complete draft of the final report (in English) to BJS as an editable .docx file (deliverable #6). BJS will submit detailed comments on the draft within 1 month of receipt.
 6. **Delivery of second draft of final report.** Within 2 months of receiving BJS comments, the project team will deliver a second draft of the final report to BJS for review (deliverable #7). Any further changes should be minor and will be made in consultation with the project director and/or the authors.
 7. **Preparation of report for publication.** After BJS project staff accept the report, it will proceed to BJS's publications unit for editing and layout. The project team should be available during this 2-month period for questions and comments from the publications unit regarding wording and content.

B. Federal Award Information

BJS estimates that it will make one award of up to \$400,000 for up to a 20-month project period, with an anticipated start date of January 1, 2017.

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

Type of Award¹

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

Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity²) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

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

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

¹ See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

² For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

Budget Information

Cost Sharing or Matching Requirement

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

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

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.³ The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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

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

³ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on conference approval, planning, and reporting available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

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

C. Eligibility Information

For additional eligibility information, see title page.

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

Limit on Number of Application Submissions

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and résumés/curriculum vitae of key personnel. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

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

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

2. Project Abstract

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

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

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

All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

3. Program Narrative

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

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

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

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

b. Table of Contents and Figures (not counted against the 30-page program narrative limit).

c. Main Body.

The main body of the program narrative should describe the proposed project in depth.

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

- 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

To demonstrate program progress and success, as well as to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

| Objective | Performance Measures | Data Grantee Provides |
|---|--|--|
| Develop report comparing attributes of national criminal history information systems. | Number of meetings or conference calls held. | Project teams hold a meeting with BJS as least once a month to provide updates on the progress of the work. |
| | Number of deliverables that meet expectations. Number of deliverables that are completed on time. | A revised description of deliverables and a revised time/task plan within 2 weeks of the kickoff meeting. Drafts of the outline and chapter. Drafts of the final report. |

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

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

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.

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

b. Budget Narrative

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

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

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

c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold

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

d. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only under the following circumstances:

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

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the "de minimis" indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the "de minimis" rate) and its election. If the applicant elects the "de minimis" method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.⁴

6. Applicant Disclosure of High Risk Status

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

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

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

7. Additional Attachments

a. Applicant Disclosure of Pending Applications

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

⁴ See 2 C.F.R. § 200.414(f).

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

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

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

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

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

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

b. Research and Evaluation Independence and Integrity

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:

- a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by BJS grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would 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 applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a

specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization 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.

8. Financial Management and System of Internal Controls Questionnaire

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

9. Disclosure of Lobbying Activities

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

How to Apply

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

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

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

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

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

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

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

All applicants are required to complete the following steps:

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

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

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

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

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

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.734, titled "Special Data Collection and Statistical Studies," and the funding opportunity number is BJS-2016-9331.
- 6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 16, 2016.

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

Note: Duplicate Applications

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

Experiencing Unforeseen Grants.gov Technical Issues

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

The following conditions are generally insufficient to justify late submissions:

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

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

E. Application Review Information

Selection Criteria

Selection criteria are those elements used to consider the comparative value of different proposals submitted under this solicitation. These criteria are subjectively judged by reviewers, and accordingly, they are distinct from eligibility criteria, which are an objective snapshot of a person's or organization's status to submit this application. This section includes information on the criteria used (and assignment of percentage weight) to evaluate the applications for this solicitation.

1. Statement of the Problem (15%)

Applicants should demonstrate their understanding of the purpose and goals of this project. The application should demonstrate an understanding of the development, content, and uses of national criminal history record information systems in various

nations. The application should discuss the need to assess and the methods used to improve the quality of the information contained in these national information systems.

2. Project Design and Implementation (40%)

Applicants should present a clear and detailed plan for how they will develop each of the seven deliverables previously described. The plan should include time frames and delivery dates for each deliverable, along with the level of effort each team member will commit to that deliverable. The application should include (1) a recommended list of the countries to be studied in this project and the reasons they were selected, and (2) the personnel who will be responsible for producing each country's chapter and the reasons they were included. However, applications without complete lists (or those with no lists) of recommended countries will be judged by the rationale used to select both countries and team members. Applicants should also confirm that they will be available in the last few months of the project period to support BJS during production of the final report. Because this award is a cooperative agreement, BJS will be closely involved in all aspects of the project. Consequently, applicants should indicate that they will hold conference calls at least once a month to update BJS on the progress of the work and to discuss any issues, problems, or decisions that require BJS input.

3. Capabilities and Competencies (35%)

Applicants should describe the organizational structure of their team along with each member's responsibilities and time commitments. Because the success of this project is directly related to the unique backgrounds and experiences of team members, the application should document that identified (or proposed) team members have the necessary backgrounds and experiences to prepare accurate assessments of each nation's criminal history record information system. Applicants are encouraged, when possible, to identify and have commitments from the specific individuals who will participate in this project.

4. Budget (10%)

The budget should be, cost effective and allowable (e.g., reasonable, allocable, and necessary for project activities). The budget narrative should generally demonstrate how the applicant will maximize cost effectiveness of grant expenditures. The budget narrative should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.⁵

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although

⁵ 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.

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

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

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

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

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

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

F. Federal Award Administration Information

Federal Award Notices

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

signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ, or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

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

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements⁶ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

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

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

⁶ See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJS.

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

General Information about Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

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

G. Federal Awarding Agency Contact(s)

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

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

H. Other Information

Provide Feedback to OJP

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

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

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

Application Checklist

Comparisons of Criminal History Information Systems in the United States and Other Nations (CCHIS)

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 19)
- _____ Acquire or renew registration with SAM (see page 19)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 20)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 20)

To Find Funding Opportunity:

- _____ Search for the Funding Opportunity on Grants.gov (see page 20)
- _____ Download Funding Opportunity and Application Package (see page 20)
- _____ Sign up for Grants.gov email [notifications](#) (optional) (see page 18)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 11)

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 21)

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

- _____ contact BJS regarding experiencing technical difficulties (see page 21)

General Requirements:

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

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of \$400,000.00.

Eligibility Requirement: Eligible applicants are national, regional, state, or local public and private entities, including for-profit (commercial) and nonprofit organizations (including tribal nonprofit or for-profit organizations), faith-based and community organizations, institutions of higher education (including tribal institutions of higher education), federally recognized Indian tribal governments as determined by the Secretary of the Interior, and units of local government that support initiatives to improve the functioning of the criminal justice system. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply; however, an eligible applicant may subcontract with such entities if they can be shown to provide qualified support for this project.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 12)
- _____ Intergovernmental Review (see page 12)
- _____ Project Abstract (see page 12)
- _____ Program Narrative (see page 12)
- _____ Budget Detail Worksheet (see page 14)
- _____ Budget Narrative (see page 14)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 14)
- _____ Applicant Disclosure of High Risk Status (see page 15)
- _____ Additional Attachments
 - _____ Applicant Disclosure of Pending Applications (see page 15)
 - _____ Research and Evaluation Independence and Integrity (see page 16)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 18)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 18)
- _____ Employee Compensation Waiver request and justification (if applicable) (see page 10)