



COPS
Community Oriented Policing Services
U.S. Department of Justice

The U.S. Department of Justice, Office of Community Oriented Policing Services (COPS Office, www.cops.usdoj.gov) is pleased to announce that it is seeking applications for funding for the COPS Office FY 2018 Community Policing Development (CPD) program. CPD funds are used to develop the capacity of law enforcement to implement community policing strategies by providing guidance on promising practices through the development and testing of innovative strategies; building knowledge about effective practices and outcomes; and supporting new, creative approaches to preventing crime and promoting safe communities.

FY 2018 Community Policing Development (CPD) Application Guide

This COPS Office Application Guide is designed to assist applicants in applying for the COPS Office CPD program. This guide includes general information on the administrative and legal requirements governing the COPS Office CPD program as well as detailed program-specific information. Guidance for the CPD program is contained in this Application Guide and can also be found at <https://cops.usdoj.gov/default.asp?Item=2450>. For additional assistance, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

CFDA 16.710

Funding Opportunity Number: COPS-Community-Policing-Development-2018

Eligibility

This solicitation is open to all public governmental agencies, for-profit (commercial) organizations, nonprofit organizations, institutions of higher education, community groups, and faith-based organizations. For-profit organizations (as well as other recipients) must forgo any profit or management fee. Applicants are strongly encouraged to submit an application that shows partnerships with key organizations including institutions of higher education and nonprofit organizations in order to build strong working relationships.

The COPS Office welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any other entities carrying out the federal award must be identified as proposed subrecipients. The applicant must be the entity that would have primary responsibility for carrying out the awards, including administering the funding and managing the entire project. The terms and conditions of the federal award flow down to subrecipients.

Proposals should be responsive to the topic selected, significantly advance the field of community policing, and demonstrate an understanding of community policing as it pertains to the application topic. Except where otherwise indicated, initiatives that primarily or solely benefit one or a limited number of law enforcement agencies or other entities will not be considered for funding.

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

Deadline/application period

The application period for the FY 2018 Community Policing Development (CPD) program begins **April 27, 2018**. All applications must be submitted by **June 7, 2018, at 7:59 p.m. EDT**. Applications submitted after **June 7, 2018** will not be considered for funding.

Completing an application under the CPD program is a two-step process. Applicants are first required to register via www.grants.gov, complete the SF-424 form, and submit it through the Grants.gov website. Once the SF-424 has been submitted via Grants.gov, the COPS Office will send an invitation email to the applicant with instructions on how to complete the second part of the CPD program application through the COPS Office Online Application System (see “Application and Submission Information” beginning on page 18). If you have not renewed your COPS Office Account Access information, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770. An application is not considered submitted until both of these steps are completed.

All guidance for the CPD program is contained in this Application Guide and can also be found at <https://cops.usdoj.gov/default.asp?Item=2450>. In addition, the COPS Office recorded a CPD information session for entities interested in submitting an application to the CPD Program. Viewing or listening to the recording or reading the transcript of this session is optional. Interested applicants who do not view, listen to, or read the pre-application information session are still eligible to apply. During this recorded session, COPS Office staff will review the CPD program requirements, review the solicitation, and address frequently asked questions. The information session is posted on the COPS Office website. The session will be captioned and transcribed in English.

Contact information

For technical assistance with submitting the SF-424, please call the Grants.gov customer service hotline at 800-518-4726, send questions via email to support@Grants.gov, or consult the Grants.gov Organization Applicant User Guide at <https://www.grants.gov/help/html/help/index.htm>. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

For programmatic assistance with the requirements of this program or with submitting the application through the COPS Office Online Application System, please call the COPS Office Response Center at 800-421-6770 or send questions via email to AskCopsRC@usdoj.gov. The COPS Office Response Center operates Monday through Friday, 9:00 a.m. to 5:00 p.m. ET, except on federal holidays.

U.S. Department of Justice
Office of Community Oriented Policing Services
Phil Keith, Director
www.cops.usdoj.gov

FY 2018 Community Policing Development (CPD) Application Guide

This COPS Office Application Guide is designed to assist applicants in applying for the COPS Office CPD program. This guide includes general information on the administrative and legal requirements governing the COPS Office CPD program as well as detailed program-specific information.

For more information about COPS Office awards, please contact the COPS Office Response Center at **AskCopsRC@usdoj.gov** or 800-421-6770.



U.S. Department of Justice
Office of Community Oriented Policing Services
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Washington, DC 20530

Visit the COPS Office online: **www.cops.usdoj.gov**

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Community Policing Development (CPD) (CFDA 16.710)

Program Description

Overview

Community policing is a philosophy that promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address the immediate conditions that give rise to public safety issues such as violent crime, nonviolent crime, and fear of crime.

Community Policing Development (CPD) funds are used to develop the capacity of law enforcement to implement community policing strategies by providing guidance on promising practices through the development and testing of innovative strategies; building knowledge about effective practices and outcomes; and supporting new, creative approaches to preventing crime and promoting safe communities.

With this funding, the COPS Office supports demonstration projects that allow for the identification and expansion of promising practices and produces knowledge products that follow the principles of good guidance:

- Quality-driven, with an emphasis on action statements to drive promising practices and reduce variations in performance
- Evidence-based, with recommendations that are consistent with the weight of the best available evidence identified through systematic review
- Accessible, with clear language and manageable lengths that are appropriate and relevant for the law enforcement field
- Memorable, to encourage immediate actions or aid for the complex situations law enforcement professionals face

To read an overview of the principles of community policing, please see appendix C of this guide, “Community Policing Defined,” beginning on page 101.

Statutory authority

This program is authorized under the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and the Violent Crime Control and Law Enforcement Act of 1994, Title I, Part Q, Public Law 103-322, 34 U.S.C. § 10381 et seq.

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

Program-specific information

The 2018 CPD program has been established to fund specific projects related to the following topic areas:

1. Incorporating Community Policing into Contemporary Broken Windows Theory Applications
2. Supporting First Amendment Rights: The Community Policing Approach
3. Partnerships to Address Labor Trafficking
4. Online Law Enforcement Training

5. Supporting First-Line Supervisors
6. Field-Initiated Law Enforcement Microgrants
 - a. Peer Support for Officer Safety and Wellness
 - b. Human Trafficking
 - c. Hate Crimes
 - d. Recruitment and Hiring
 - e. Incident-Specific After-Action Reviews
 - f. Child and Youth Engagement

<p>The Field-Initiated Law Enforcement Microgrants topic area in the 2018 Community Policing Development solicitation has been placed on hold until further notice due to litigation, and applications will not be accepted at this time. All other topic areas remain open and applications are being accepted until June 7, 2018, at 7:59 p.m. EDT.</p>

7. Open Topic Area
8. Tribal Training and Technical Assistance
9. Invitational Applications

This solicitation is being announced as an open competition except for invitational applications. Invitational applications are by invitation only.

When applying, please be sure to select the most appropriate topic area under which to apply. Please note that applicants may submit multiple applications, but you must submit a separate application for each topic area. Any application that does not clearly state the topic area on the cover page of the project narrative or selects the incorrect topic area may not pass the basic minimum requirement phase of the review process. See “Application and Submission Information” beginning on page 19 and “Application review information” beginning on page 72 for more on the requirements for CPD applicants.

With limited funding, the COPS Office expects a competitive solicitation.

CPD topic areas

The following sections will provide further details on each topic area as well as any further topic-specific requirements for your application. In addition, all applicants should keep the following general requirements in mind:

- All CPD recipients will be expected to begin work immediately upon selection.
- Based on the identified deliverables, the applicant must adhere to the requirements set forth in the COPS Office Curriculum Standards and Review Process Guides (see “XIII. Curriculum development” beginning on page 83).
- Based on the identified deliverables, the applicant must adhere to the requirements set forth in the COPS Office Conference request approval process (see “XII. Prior approval, planning, and reporting of conference/meetings/training costs” beginning on page 82).
- For projects that propose site-specific work, letters of support from the targeted agencies are strongly encouraged.

Topic 1. Incorporating Community Policing into Contemporary Broken Windows Theory Applications

Funding: Up to one award for up to \$500,000

Broken windows theory was first introduced in 1982 (in a paper by James Q. Wilson and George Kelling) as a way of linking instances of social disorder and incivility with serious crime. The concept of broken windows had a significant impact on policing, increasing departments' focus on fear of crime and order maintenance and later on efforts to build the capacity of communities to respond to social disorder (collective efficacy). More than 35 years have passed since the introduction of these concepts and their initial implementation in policing contexts. Just as the application of broken windows interventions has evolved, so too has the need for modern examples of how it can be successfully applied to reduce crime and disorder most effectively on crime and public safety initiatives.

Applicants should be able to describe their knowledge of policing and theories of crime control, their capacity to develop nationally relevant resources for law enforcement practitioners, and their experience working with state and local law enforcement agencies.

Goal

The goal of this project is to develop innovative crime-reduction approaches and use contemporary strategies that are supported by broken windows theory in a way consistent with the community policing philosophy to maximize crime reduction, citizen safety, and citizen perceptions of the police. Applicants to this category should propose projects that pilot innovative practice, develop new training, or create toolkits for implementing promising practices that advance the effective implementation of broken windows concepts to policing.

Objectives

The project description should address the following objectives:

- Expand the knowledge of the contemporary application of broken windows to ensure its most effective application to policing.
- Collaborate with experts on broken windows theory and the contemporary applications to community policing.
- Enhance the skills officers and agencies need to implement the contemporary applications of broken windows theory.

Deliverables

The project description should focus on developing resources that allow local law enforcement to advance community policing through the application of broken windows theory. Deliverables may include piloting innovative practices, developing new training, and creating toolkits.

Applicants should describe the intended deliverables, how they will assist the field in preventing and reducing crime, and how the applicant expects to measure that performance.

Applicants should also describe their outreach efforts. Those efforts may include highlighting the newly developed resources via articles, conference presentations, social media, etc.

Topic 2. Supporting First Amendment Rights: The Community Policing Approach

Funding: Up to one award for up to \$500,000

The intersection of the exercise of the free speech rights of every American with conduct that raises public safety concerns has drawn a spotlight in recent years in a series of tense ideological clashes in public settings. When a public speaking event can lead to a rally, planned demonstration, grassroots-developed protest, or other events, it is the duty of law enforcement officers to serve in a manner that protects the civil liberties and rights of the speakers as well as to ensure the general safety of the surrounding community. This can be a challenging balance to strike, but with the right knowledge, tools, and proper planning, it can be successfully and safely achieved.

Recent events such as the unauthorized removal of public property, violent interchanges between citizens with opposing ideas, and charges of restriction of free speech at colleges and universities present a timely opportunity for exploring ways to promote and protect the exercise of free speech across several arenas from a community policing perspective.

Applicants are encouraged to work with a number of law enforcement agencies to understand past successes and challenges and identify strategic and tactical approaches that both protect the rights and ensure the safety of all involved. Letters of support from participating agencies are strongly encouraged.

Goal

The goal of this project is to develop resources to help law enforcement agencies improve their ability to prepare for and respond to events in which individuals exercise their First Amendment rights.

Objectives

The project description should address the following objectives:

- Expand the agencies' understanding of the First Amendment.
- Collaborate with a number of law enforcement agencies to understand past successes and challenges and identify approaches that protect rights and ensure public safety.
- Enhance the skills officers and agencies need to proactively prepare for and manage speaking events.

Deliverables

The project description should focus on developing tools and resources that allow local law enforcement to plan and manage public speaking events. Deliverables may include promising practice guides, videos, and webinars, built on existing knowledge resources that can be shared with law enforcement across the country.

Applicants should describe the intended deliverables and how they will assist the field in preparing for and responding to events where individuals exercise their first amendment rights.

Applicants should also describe their outreach efforts. Those efforts may include highlighting the newly developed resources via articles, conference presentations, social media, etc.

Topic 3. Partnerships to Address Labor Trafficking

Funding: Up to one award for up to \$500,000

The COPS Office is committed to working with law enforcement to provide the tools and resources to protect and rescue victims of human trafficking and hold traffickers and offenders accountable for these human rights abuses.

There is still much work to do to successfully investigate and prosecute traffickers, especially labor traffickers. Community policing can be an important tool in combating all forms of human trafficking—including labor trafficking, which is the focus of this solicitation. Establishing relationships and partnerships with important stakeholders, including the business community, service providers, advocates, and others can assist in the identification, investigation, and prosecution of human traffickers. This topic area focuses on building greater understanding of labor trafficking and developing tools that allow local law enforcement to develop partnerships with the wide range of critical stakeholders to address labor trafficking crimes.

As defined by the Trafficking Victims Protection Act of 2000 and its subsequent reauthorizations, labor trafficking is “the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery” (22 U.S.C. § 7102(9)).

Labor trafficking occurs in a wide range of industries, from domestic care to agriculture, hospitality, construction, factories, salons, and traveling sales. Labor trafficking may include psychological manipulation, abandonment, fraud, coercion, harassment, and violence to pressure victims—either adults or minors—into working harder and to intimidate those who wish to leave their situation. Victimization can impact all types of vulnerable populations.

Applicants should be able demonstrate their understanding of the labor trafficking problem, their experience in developing technical assistance resources for the law enforcement field, and how their proposed project to develop resources specifically focused on the identification, investigation, and prosecution of these crimes will complement existing victim-oriented resources available from the U.S. Department of Justice.

Goal

The goal of this project is to increase law enforcement knowledge of how to identify victims of labor trafficking and the networks that traffic; encourage investigation of abuses of the J-1 visa program; and promote collaboration with the business community, other local stakeholders, prosecutors, and state and federal entities.

Objectives

The project description should address the following objectives:

- Build a greater understanding of labor trafficking and available resources for law enforcement.
- Collaborate with local law enforcement agencies and business communities to understand additional tools that are needed.
- Expand potential partnerships between the business community and law enforcement.

Deliverables

The project description should focus on developing tools and resources that will allow for a more vigorous identification, investigation, arrest, and prosecution of labor traffickers. Deliverables may include webinars, guidebooks, roll call videos, online training, or toolkits that define the problem, examine the scope, and explain the risks to public safety to address labor trafficking.

Applicants should describe the intended deliverables and how they will assist the field in building a greater understanding in detecting and deterring labor trafficking.

Applicants should also describe their outreach efforts. Those efforts may include highlighting the newly developed resources via articles, conference presentations, social media, etc.

Topic 4. Online Law Enforcement Training

Funding: Up to four awards for up to \$250,000 each

The COPS Office recognizes that training is critical in advancing the capacity for law enforcement agencies and communities to practice effectively the tenets of community policing. A key mechanism to advancing community policing is ensuring law enforcement organizations have access to high quality, relevant, and interactive training. Proper training provides law enforcement professionals with the theoretical knowledge and practical skills necessary to protect and serve.

Online training helps prepare today's law enforcement professionals by introducing and reexamining essential skills, concepts, and promising practices that advance public safety. It serves as an effective and convenient way for law enforcement organizations to train large numbers of personnel at minimal cost. Online training also provides a more flexible option for a modern workforce that must stay current with industry standards to do their jobs well.

Applicants must demonstrate the requisite capability and experience to support the development of quality curriculum and content, and the skill to translate training materials into an online course. The applicant should describe its knowledge and expertise in the topic of the training as well as its experience in developing or partnering to develop online courses for law enforcement professionals.

Goal

The goal of this funding opportunity is to develop innovative, self-paced, and interactive online training course(s) for law enforcement professionals that advance public safety through the application of community policing.

Objectives

The project narrative should address the following objectives:

- Help build a greater understanding of the identified training topic(s) in the law enforcement field.
- Assist law enforcement in developing the knowledge, skills, and abilities that allow local law enforcement to advance public safety.
- Support the training needs of the law enforcement field in community policing.

Deliverables

The project should focus on developing fully functioning, interactive online course(s) that are compatible with the **COPS Office Training Portal**. Applicants must identify the training topic(s) for which they will develop online training as well as identify the needs of the field and how the topic(s) will fill a gap in existing training. The online courses should help build a greater understanding of the identified training topic in the law enforcement field.

Applicants must specify that the proposed online training is not duplicative of other online opportunities supported by the Federal Government.

Organizations that own COPS Office–funded classroom curricula are also eligible to apply for this funding opportunity to revise and translate those courses for the online environment. All existing and new curricula are subject to the full review and approval processes of the COPS Office before online translation work begins.

Applicants should also describe their outreach efforts. Those efforts may include highlighting the newly developed resources via articles, conference presentations, social media, etc.

Other requirements and information

The technical requirements for the solicitation topic include the following:

- Courses should not use proprietary, custom software.
- Courses should be published to LMS - SCORM 1.2. (in Moodle).
- Courses should include HTML5 output.
- Course developers must ensure all assets (images, videos, narration, etc.) are not in violation of copyright infringement laws.
- The course should be accessible according to accessibility requirements as specified in section 508 of the Rehabilitation Act of 1973.
- Videos should contain closed-captioning and audio description options.
- Electronic publications should be created in an HTML, fully tagged PDF, or accessible text file format.
- All websites must be fully compliant with 508 accessibility standards.

For more information on section 508 requirements, consult <https://www.section508.gov/>.

All online training materials must be posted to the COPS Office Online Training Portal at the conclusion of the award period.

The applicant must plan for the certification of the online training course through state or national training certification programs.

At least one pilot training for each course is required for the training courses(s).

The applicant must use the COPS Office online training tracker and adhere to the Level I and Level II evaluation criteria.

The applicant must adhere to the requirements set forth in the COPS Office **Online Curriculum Standards and Review Process Guides**.

Topic 5. Supporting First-Line Supervisors

Funding: Up to one award for up to \$300,000

First-line supervisors play a key role in how police organizations function. These officers are responsible for assigning job roles and responsibilities, conveying information and strategic objectives from police executives to line staff, putting departmental policy into practice, and evaluating officer performance. First-line supervisors serve as a critical bridge between administrators, line-level officers, and the communities they serve and often have an enormous impact on retention and morale within a department. First-line supervisors are also the protectors and promoters of departmental culture and play a critical role in the overall functioning of their agencies.

Applicants should be able to demonstrate their understanding of first-line supervision, their experience in developing resources for the law enforcement field, and how their proposed project will support the day-to-day work of the nation's law enforcement supervisors and in turn the officers they oversee.

Goal

The goal of this project is to enhance the knowledge and skills of officers and agencies to ensure the highest level of first-line supervision. This project may address a range of topics that are critical to first-line supervision, including understanding the importance of officer wellness issues, managing performance, supervisors' role in implementing community policing, and their role in turning departmental policies into practice, as well as organizational issues such as promising practices in supervisor selection methods, training (including leadership and management training), duties and responsibilities, and evaluation of and by first-line supervisors.

Objectives

The project will address the following objectives:

- Collaborate with local law enforcement agencies and first-line supervisors to understand tools that are needed.
- Expand the resources and information related to the tools and promising practices necessary to support the work and roles of first-line supervisors.
- Enhance the skills of first-line supervisors in performing their daily activities.

Deliverables

The project description should focus on developing tools, resources, and promising practices that allow first-line supervisors to effectively manage the range of their complex duties. Deliverables may include webinars, guidebooks, roll call videos, online training, or toolkits that assist first-line supervisors with their duties and responsibilities.

Applicants should describe the intended deliverables and how they will provide guidance, tools, and promising practices in first-line supervision.

Applicants should also describe their outreach efforts. Those efforts may include highlighting the newly developed resources via articles, conference presentations, social media, etc.

Topic 6. Field-Initiated Law Enforcement Microgrants

The Field-Initiated Law Enforcement Microgrants topic area in the 2018 Community Policing Development solicitation has been placed on hold until further notice due to litigation, and applications will not be accepted at this time. All other topic areas remain open and applications are being accepted until June 7, 2018, at 7:59 p.m. EDT.

Funding: Up to 18 awards for up to \$100,000 each

State, local, or tribal law enforcement agencies are invited to propose demonstration or pilot projects to be implemented in their agency that offer creative ideas to advance crime fighting, community engagement, problem solving, or organizational changes to support community policing in one of the following areas:

Peer Support for Officer Safety and Wellness

The COPS Office is committed to working with law enforcement agencies in efforts to support the physical and mental health, safety, and wellness of law enforcement officers. Over the past year, the COPS Office released a report on Improving Law Enforcement Resilience: Lessons and Recommendations (<https://www.ric-zai-inc.com/Publications/cops-p362-pub.pdf>) and convened, in partnership with the Bureau of Justice Assistance, the National Officer Safety and Wellness Group to discuss and explore the importance of emotional health on organizational wellness and officer suicide and prevention. Under this topic area, the COPS Office seeks applications from law enforcement agencies that are interested in developing demonstration or pilot projects to establish peer support and mentoring programs focusing on mental health, well-being, and wellness.

- **Human Trafficking**

As defined by the Trafficking Victims Protection Act of 2000 and its subsequent reauthorizations, human trafficking as defined in 22 U.S.C. § 7102(9) means sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform an act has not attained 18 years of age; or the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery. Under this topic area, law enforcement agencies should develop or implement innovative and collaborative projects to improve the prevention and identification of victims of human trafficking as well as hold traffickers and offenders accountable for these crimes.

- **Hate Crimes**

The U.S. Department of Justice (DOJ) defines hate crimes as acts of physical harm and specific criminal threats motivated by animus based on race, color, national origin, religion, gender, sexual orientation, gender identity, or disability. On April 5, 2017, Attorney General Jefferson B. Sessions announced the department's Task Force on Crime Reduction and Public Safety. The attorney general highlighted the importance of combating hate crimes by creating, as part of that overall committee, a Hate Crimes subcommittee. As part of the work, the Hate Crimes subcommittee is committed to improving reporting, investigation, and prosecution of hate crimes. Under this topic area, the COPS Office seeks law enforcement agencies to work on this priority and develop or implement a project to enhance the response and investigation of bias and hate crimes.

- **Recruitment and Hiring**

Recruitment and hiring are essential functions of law enforcement agencies to attract and retain the best officer candidates who represent a diversity of backgrounds, knowledge, and experiences. In addition to reflecting the communities they serve, new officers must have strong analytical and problem-solving skills, good communication skills, adaptability, and an understanding of agency policies and procedures. Under this

topic area, the COPS Office seeks demonstration or pilot project with creative methods for recruitment and hiring that include quantitative measures of success. A variety of objectives can be proposed to achieve the project goal(s) and may involve agency personnel and resources as well as community partners.

- **Incident-Specific After-Action Reviews**

After-action reviews provide an opportunity for law enforcement agencies involved in an incident to (1) objectively understand all aspects of the incident response; (2) identify lessons from the response that can inform future training, planning, and operational activities; and (3) establish, where appropriate, specific recommendations related to future policy and practice. Law enforcement has a long tradition of after-action review processes. The purpose of these reviews is not to deliver praise nor to offer criticism (although both may be derivatives of an after-action review) but rather to comprehensively understand and assess all aspects of an incident response in a constructive manner that improves future responses and allows others to learn from these lessons. They are consistent with existing continuous review, training, and improvement efforts, which are hallmarks of American policing. Under this topic area, the COPS Office seeks to provide support to agencies interested in conducting incident-specific after-action reviews for their agencies to help them understand the lessons from an incident response. As part of their proposal, agencies should provide background on the incident, propose independent partner(s) that will perform the comprehensive review, and describe the process that they will engage in to conduct the comprehensive review.

- **Child and Youth Engagement**

Many youth are at risk of involvement with the criminal justice system as both offenders and victims. Law enforcement agencies are looking for proactive ways to engage with youth to prevent their involvement in criminal activity and to intervene in effective ways to attempt to prevent juveniles from becoming crime victims. The COPS Office will provide funding to law enforcement agencies seeking to develop or enhance programs supporting youth-police engagement. Funding should be used to promote positive youth and police interactions in ways that have positive outcomes for youth victimization, safety, and offending as well as in improving relationships between youth and law enforcement.

Applicants should be able to describe their knowledge in one of the five areas described here and articulate how the proposed demonstration or pilot project advances public safety.

Goal

The goal of these projects is to provide law enforcement agencies funding for demonstration or pilot projects that advance community engagement, problem solving, or organizational changes. Applicants to this category should propose a demonstration or pilot project under one of the five areas described here and describe how their project goals and activities will increase their capacity to address that area.

Objectives

The projects will address the following objectives:

- Expand law enforcement agencies' capacity to implement the project.
- Where appropriate, collaborate with other organizations that have a demonstrated understanding of community policing and the knowledge and experience to address the chosen topic in order to produce the national deliverable for the project.
- Enhance the skills of law enforcement in one of the five areas described here.

Deliverables

The project description should focus on implementing projects that allow law enforcement agencies to advance the principles of community policing in one of the five areas described here. Deliverables may include demonstration or pilot projects.

Applicants must propose the development of at least one deliverable for publication or production by the COPS Office to describe the program or activity and share lessons learned with other law enforcement agencies around the country.

With the exception of the Incident-Specific After-Action Reviews, applicants are encouraged to partner with other organizations that have a demonstrated understanding of community policing and the knowledge and experience to address the chosen topic in order to produce the national deliverable for the project.

Where appropriate, applicants are encouraged to describe their outreach efforts. Those efforts may include highlighting the newly developed resources via articles, conference presentations, social media, etc.

Topic 7. Open Topic Area

Funding: Up to seven awards for up to \$300,000 each

With 18,000 law enforcement agencies in the United States, there is a plethora of innovative community policing strategies to reduce crime. This topic area offers opportunities for the development, documentation, and distribution of information on these innovative policing strategies that can help agencies replicate the groundbreaking policies, programs, training, and initiatives that their fellow agencies are implementing.

Applicants should clearly identify the topic they wish to address and describe how additional resources on that topic are a current need and would address an existing gap in the field. Among other ideas, the COPS Office is interested in projects that will support and enhance law enforcement engaging children and youth; addressing homelessness; and responding to gangs, violence, and the opioid crisis.

Applicants should be able to describe their knowledge of their selected topic and their experience and capacity in developing their proposed deliverables for a national law enforcement audience.

Goal

The goal of this project is to develop and exchange practice-based innovation in community policing. Applicants to this category can propose to develop training, implement demonstration projects, create promising practice guidebooks and toolkits, deliver topic-specific technical assistance, or produce multimedia resources that capture innovative stories and experiences.

Objectives

The project should address the following objectives:

- Expand law enforcement agencies' knowledge of the principles of community policing.
- Collaborate with local law enforcement agencies to address current needs and identify gaps in the field.
- Enhance law enforcement agencies' skills in implementing innovative community policing strategies to address crime or advance public safety.

Deliverables

The project description should focus on developing tools for the law enforcement field that advance community policing. Deliverables may include training, demonstration projects, promising practice guidebooks and toolkits, topic-specific technical assistance, or multimedia resources that assist law enforcement agencies in implementing community policing strategies across the United States.

Applicants should describe the intended deliverables and how they will advance community policing.

Applicants should also describe their outreach efforts. Those efforts may include highlighting the newly developed resources via articles, conference presentations, social media, etc.

Topic 8. Tribal Training and Technical Assistance

Funding: Up to one award for up to \$300,000

The COPS Office seeks to support tribal law enforcement agencies through training and technical assistance efforts around community policing topics. Applicants are invited to submit proposals that utilize a comprehensive approach to technical assistance, providing guidance and strategies to tribal agencies in need of developing or enhancing their community policing practices. Projects will support the development and delivery of training and technical assistance to tribal law enforcement agencies and non-tribal public safety partners. Proposals should focus on community policing strategies including but not limited to: problem solving, community partnerships, organizational transformation, crime prevention, and community-based strategies.

Goals, objectives, and deliverables

Proposals should include a variety of methods for delivering the required technical assistance, including partnership outreach, regional conferences and workshops, forums, online assistance and training, onsite training, and the development of publications and other deliverables. Proposals must focus on the following topic:

Native American Recruitment for Tribal Law Enforcement

Recruiting Native Americans for law enforcement careers remains a challenge throughout tribal law enforcement agencies. To address this challenge, proposals are requested to develop a training and technical assistance project on this topic. Projects should focus on increasing the recruitment of Native Americans into tribal law enforcement, particularly through specific subpopulations such as veterans, youth, and others. The overall goal is to help address the shortage of officers within Indian country as well as making tribal law enforcement agencies more reflective of the communities they police.

Partnerships / Subawards

Applicants should include details on any proposed partners and subawards, including organizational information, knowledge, capacity, and experience and describe the specific activities the partners will accomplish.

Other requirements and information

Applicants should demonstrate a thorough understanding of community policing in a tribal setting, experience in the delivery of technical assistance to tribes, experience working with law enforcement, and the capacity to provide technical assistance to a multitude of law enforcement agencies, all with varying needs and requiring

varying levels of assistance. All applicants must document their experience and capabilities to implement projects and the competencies of the staff assigned to projects for federally recognized Indian tribes, including the following:

- Demonstrated knowledge of federal and tribal laws for American Indian and Alaska Natives who are citizens of Indian tribes
- Demonstrated knowledge of laws governing federal and tribal law enforcement jurisdictional issues, including for tribes located in Public Law 83-280 status states
- Demonstrated knowledge of federal Indian policies pertaining to Indian self-determination, tribal consultation executive orders, and memoranda
- Demonstrated knowledge of federal agencies responsible for Indian law enforcement, tribal justice systems, and services
- Demonstrated knowledge of Tribal Government governance systems, culture, and intergovernmental protocols

All training must adhere to the COPS Office Curriculum Standards and Review Process Guides.

Topic 9. Invitational Applications

This topic area is invitational only under the FY 18 CPD program.

For more details on the requirements for the invitational applications, please contact the COPS Office Response Center at 800-421-6770 or send questions via email to AskCopsRC@usdoj.gov. The COPS Office Response Center operates Monday through Friday, 9:00 a.m. to 5:00 p.m. ET, except on federal holidays.

Goals

Program goals

Under this solicitation, the COPS Office seeks to support demonstration projects that allow for the identification and expansion of promising practices and produces knowledge products that follow the principles of good guidance:

- Quality-driven, with an emphasis on action statements to drive promising practices and reduce variations in performance
- Evidence-based, with recommendations that are consistent with the weight of the best available evidence identified through systematic review
- Accessible, with clear language and manageable lengths that are appropriate and relevant for the law enforcement field
- Memorable, to encourage immediate actions or aid for the complex situations law enforcement professionals face

Project-specific goals

Applicants should consider the following general categories when developing their own specific project goals.

Develop knowledge. Develop new knowledge or leverage existing knowledge about community policing activities and strategies that show promise.

Increase awareness. Increase the number of agencies/individuals who are aware of the most effective community policing strategies.

Increase skills/abilities. Increase the skills and/or abilities of law enforcement agencies, relevant stakeholders, and/or individuals to engage in proven community policing practices.

Increase practice. Increase the number of law enforcement agencies, relevant stakeholders, and/or individuals using proven community policing practices.

Institutionalize practice. Increase the number of law enforcement agencies, relevant stakeholders, and/or individuals that systematically use and integrate proven community policing strategies as part of their routine business and will continue to engage in these practices for the foreseeable future.

Applicants should also consider the COPS Office performance measures when developing their own specific project goals and activities.

Performance measures

To assist in fulfilling the U.S. Department of Justice's responsibilities under the Government Performance and Results Act Modernization Act (GPRA Modernization Act) of 2010, P.L. 111-352, recipients who receive funding from the Federal Government must measure the results of work that funding supports. This act specifically requires the COPS Office and other federal agencies to set program goals, measure performance against those goals, and publicly report progress in the form of funding spent, resources used, activities performed, services delivered, and results achieved.

Performance measures for CPD are as shown in table 1.

Table 1. Performance measures for CPD

Objective	Performance measures	Data recipient provides
Increase the capacity of law enforcement agencies to implement community policing strategies that strengthen partnerships for safer communities and enhance law enforcement's capacity to prevent, solve, and control crime through funding for personnel, technology, equipment, and training.	Extent to which COPS Office award funding (e.g., officers, equipment, training, technical assistance) has increased your agency's community policing capacity? Extent to which COPS Office knowledge resources (e.g., publications, podcasts, training) have increased your agency's community policing capacity?	Recipients will rate the effectiveness of the COPS Office funding in increasing community policing capacity. Data will be collected on a periodic basis through progress reports.

COPS Office awards target increasing recipient capacity to implement community policing strategies within the three primary elements of community policing: (1) problem solving; (2) partnerships; and (3) organizational transformation. The COPS Office requires all CPD applicants to describe how the personnel, technology, equipment, and/or training requested will assist the applicant in implementing community policing strategies. For more information on community policing, please visit the COPS Office website at www.cops.usdoj.gov or please see appendix C of this guide, "Community Policing Defined," beginning on page 101.

As part of the programmatic progress report (see “Reporting, monitoring, and evaluation requirements” beginning on page 92 for more on reporting), CPD recipients will be required to report on their progress toward implementing community policing strategies. Based on the data collected from recipients, the COPS Office may make improvements to the CPD program to better meet the program’s objective and law enforcement agency needs.

Federal Award Information

Approximately \$10 million is available through this year's program. Depending on the quality of applications received and the availability of funding, the COPS Office may not fund every topic area or may make additional or larger awards under one or more topic areas in this solicitation. In addition, the COPS Office reserves the right to revise the scope of the project in your application submission and modify the associated budget proposal accordingly.

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. With the limited funding, the COPS Office expects a competitive solicitation.

Length of award

The COPS Office expects to make the project period for all cooperative agreements 24 months. The project period for all Microgrant Topic Area awards is 12 months.

Type of award

The COPS Office may make some awards from the CPD solicitation in the form of cooperative agreements, which is the funding instrument used if the COPS Office anticipates ongoing substantial involvement in award activities. Cooperative agreement recipients will be responsible for day-to-day project management but should expect direct oversight and collaboration by the COPS Office in implementing the award. Examples of substantial federal involvement may include, but are not limited to, participating in the selection of key recipient personnel; providing feedback on deliverables before publication; approving all conference-related costs prior to obligation; and redirecting the work as appropriate.

The COPS Office will make all awards under the Microgrant Topic Area in the form of a grant, which does not provide for substantial involvement between the federal awarding agency and the non-Federal entity in carrying out the activity contemplated by the federal award. Grant recipients will be responsible for day-to-day project management and may reach out to the COPS Office with assistance in implementing the award. However, grant recipients will need to work with the COPS Office program manager in situations stated in the terms and conditions, such as scope changes, extensions, or conference request approvals.

Eligibility

This solicitation is open to all public governmental agencies, for-profit (commercial) organizations, nonprofit organizations, institutions of higher education, community groups, and faith-based organizations. For-profit organizations (as well as other recipients) must forgo any profit or management fee. Applicants are strongly encouraged to submit an application that shows partnerships with key organizations including institutions of higher education and nonprofit organizations in order to build strong working relationships.

The COPS Office welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any other entities carrying out the Federal award must be identified as proposed subrecipients. The applicant must be the entity that would have primary responsibility for carrying out the awards, including administering the funding and managing the entire project. The terms and conditions of the federal award flow down to subrecipients.

Cost sharing or match

There is no requirement for cost sharing or a local match for CPD awards. Please see the appendices of this guide addressing, “Program Income Fact Sheet.”

Compliance with 8 U.S.C. § 1373

All state or local government entity applicants (e.g., police departments, sheriff’s departments, state police) and all non-state or local government entities that intend to use Community Policing Development (CPD) funds to make subawards to a state or local government entity are required to certify compliance with 8 U.S.C. § 1373 regarding prohibitions or restrictions on sending to, requesting or receiving from, maintaining, or exchanging information on citizenship or immigration status, including any prohibitions or restrictions imposed or established by a state or local government entity or official. State or local government subrecipients must also certify compliance with 8 U.S.C. §1373. **We strongly recommend notifying your governing body’s chief legal counsel of this certification requirement as soon as possible, so that they may conduct the required reviews necessary for completing the certification before the application deadline.** The Chief Legal Officer is the primary/highest ranking attorney for the governing body that governs any state or local law enforcement applicant (e.g., City Attorney, County Attorney, State Attorney General) or for the entity that is applying for funds and will make subawards to a State or local government entity (e.g., General Counsel for a non-profit organization that will make subawards to a City or County). *(Please note that the Certification may not be completed by a law enforcement agency attorney—the Chief Legal Officer must represent the governing body.)*

Financial management and system of internal controls

Award recipients and subrecipients must, as set out in the Uniform Guidance at 2 C.F.R. § 200.303, do the following:

- 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).
- Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of federal awards.
- Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency designates as sensitive or [the recipient’s (and any subrecipient’s)] considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

Administrative actions and legal remedies related to federal awards

Please be advised that a hold may be placed on any application if it is deemed that the applicant agency is not in good standing on other U.S. Department of Justice awards, has other award compliance issues that would make the applicant agency ineligible to receive COPS Office funding, or is not cooperating with an ongoing compliance investigation regarding a current COPS Office award. A hold may also be placed on any application if it is deemed that the applicant agency is not in compliance with federal civil rights laws or is not cooperating with an ongoing U.S. Department of Justice award review or audit.

Misuse of COPS Office funds or failure to comply with all COPS Office award requirements may result in legal sanctions including suspension and termination of award funds, the repayment of expended funds, ineligibility to receive additional COPS Office funding, and other remedies available by law.

Under the False Claims Act, any credible evidence that a person has submitted a false claim or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving COPS Office funds may be referred to the Office of Inspector General (OIG). The OIG may be contacted at oig.hotline@usdoj.gov, <https://oig.justice.gov/hotline/index.htm>, or **800-869-4499**.

Application and Submission Information

What an application must include

This section describes in detail what an application must include. An applicant should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of its application; and, should a decision be made to make an award, such failure may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the special conditions and the COPS Office makes the funds available. Applicants must comply with any word and field limit requirements described in this Application Guide.

Moreover, CPD applicants should anticipate that an application that the COPS Office determines is nonresponsive to the scope of the solicitation or that the COPS Office determines does not include the application elements that the COPS Office has designated to be critical will neither proceed to peer review nor receive further consideration. For this solicitation, the COPS Office has designated the following application elements as critical:

- Project Narrative
- Budget Narrative (must be submitted as an attachment in section 13)
- Budget Detail Worksheets (section 14)
- Resumes/Curriculum Vitae of Key Personnel

Table 2 outlines the primary steps required to complete your CPD application.

Table 2. Primary steps required to complete CPD application

Step	Complete?
Use Internet Explorer 11 or later version.	<input type="checkbox"/>
Obtain a DUNS number (Data Universal Numbering System)/Confirm DUNS number. (Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply at www.dnb.com) Apply for your DUNS number first; you cannot complete any of the steps below without it. The process can take up to 2 business days to obtain the DUNS number.	<input type="checkbox"/>
Register with SAM database/Confirm SAM number. SAM registration and renewal can take as long as 10 business days to complete. (SAM registration procedures can be accessed at www.sam.gov) The person registering with SAM will be the designated E-Business Point of Contact, who can assign the people who will submit applications for the organization (your Authorized Organization Representatives). You must have a DUNS number to submit a SAM registration. In addition, you must renew your SAM registration once a year. **If you do not have an EIN, the process can take up to 5 weeks. **If you have an EIN, the process takes up to 2 weeks.	<input type="checkbox"/>
Obtain/Confirm the unique Geographic Names Information System (GNIS) identification number assigned to your agency. https://geonames.usgs.gov/	<input type="checkbox"/>
If you do not currently have an ORI number*, submit a request for one at https://portal.cops.usdoj.gov/ORIRequest.aspx or through the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770. *The ORI Number consists of your state abbreviation followed by 5 digits/characters. Requests for an ORI number are processed within 2-3 business days.	<input type="checkbox"/>

Step	Complete?
Register with Grants.gov/Confirm registration. https://apply07.grants.gov/apply/register.faces It can take anywhere from a few days to 2 weeks for your registration to become active and for you to be able to submit an application.	<input type="checkbox"/>
Obtain/Confirm Authorized Organization Representative (AOR) Role for rights to submit an application (SF-424). https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html Please contact the helpdesk for additional information: 800-518-4726	<input type="checkbox"/>
Register or update your agency’s current contact and user information in the COPS Office Agency Portal*. *Refer to Agency Portal Grants Management User Manual for instructions.	<input type="checkbox"/>
<ul style="list-style-type: none"> • Law Enforcement Executive (LE) or Program Official (PO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>
<ul style="list-style-type: none"> • Government Executive (GE) or Government Official (GO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>
<ul style="list-style-type: none"> • Chief Legal Officer(primary/highest ranking attorney for the governing body) 	<input type="checkbox"/>
Set up e-Signatures via Agency Portal*:	<input type="checkbox"/>
<ul style="list-style-type: none"> • Law Enforcement Executive (LE) or Program Official (PO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>
<ul style="list-style-type: none"> • Government Executive (GE) or Government Official (GO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>
<ul style="list-style-type: none"> • Chief Legal Officer (primary/highest ranking attorney for the governing body) 	<input type="checkbox"/>
Add additional user accounts for individual(s) authorized to complete application in the Agency Portal*.	<input type="checkbox"/>
Complete application package on Grants.gov for funding number: COPS-CPD-Application-2018	<input type="checkbox"/>
<ul style="list-style-type: none"> • Standard Form (SF) 424 	<input type="checkbox"/>
<ul style="list-style-type: none"> • COPS Office Application Attachment to SF-424 	<input type="checkbox"/>
Upon receipt of an email from the COPS Office confirming successful submission of the SF-424 on Grants.gov, complete and submit the second part of the application, Attachment to the SF-424 on the COPS Office Online Application System.	<input type="checkbox"/>

Do not wait until the application deadline date to begin the application process through the COPS Office website. The registration steps may take several days to complete, and if you wait until the application deadline date you may be unable to submit your application online. CPD applications will only be accepted via the COPS Office Online Application System (see section “Late Submissions” beginning on page 70 for additional guidance).

Applicants will have the opportunity to print a copy of the application prior to submission and another copy of the application after it has been submitted. Please note that the application package cannot be submitted until all required fields have been completed.

For technical assistance with submitting the online application via the COPS Office website or any other requirements, please call 800-421-6770 or send questions via email to AskCopsRC@usdoj.gov.

1. Obtain or confirm DUNS number

Estimated timeframe: up to two business days to obtain the DUNS number

The Federal Government requires that all applicants for federal awards, with the exception of individuals other than sole proprietors, have a Data Universal Numbering System (DUNS) number prior to application submission. The DUNS number is used to identify related organizations that are receiving funding under awards and to provide consistent name and address data for electronic award application systems. A DUNS number may be obtained by telephone at 866-705-5711 or via the Internet at fedgov.dnb.com/webform.

Data Universal Numbering System (DUNS) number

- The DUNS number is a unique nine- or thirteen-digit identification number provided by Dun & Bradstreet (D&B).
- The DUNS number is site-specific. Therefore, each distinct physical location of an entity (such as branches, divisions, and headquarters) may be assigned a different DUNS number. Organizations should try to keep DUNS numbers to a minimum. In many instances, a central DUNS number with a DUNS number for each major division, department, or agency that applies for an award may be sufficient.
- You should verify that you have a DUNS number or take the steps needed to obtain one as soon as possible, if there is a possibility you will be applying for future federal awards. There is no need to wait until you are submitting a particular application.
- **If you already have a DUNS number.** If you, as the entity applying for a federal award agreement, previously obtained a DUNS number in connection with the federal acquisition process or requested or had one assigned to you for another purpose, you should use that number on all of your applications. It is not necessary to request another DUNS number from D&B. You may request D&B to supply a family tree report of the DUNS numbers associated with your organization. Organizations should work with D&B to ensure the right information is on the report. Organizations should not establish new numbers but use existing numbers and update or validate the information associated with the number.
- **If you are not sure whether you have a DUNS number,** call D&B using the toll-free number 866-705-5711 and indicate that you are a federal award applicant or prospective applicant. D&B will tell you if you already have a number. If you do not have a DUNS number, D&B will ask you to provide the information listed in the following section and will immediately assign you a number free of charge.

To obtain your DUNS number

- The requestor may obtain a DUNS number via the Internet at fedgov.dnb.com/webform.
- The requestor may also obtain a DUNS number via telephone at 866-705-5711. The phone is staffed from 8:00 a.m. to 6:00 p.m. (local time of the caller when calling from within the contiguous United States). Calls placed outside of those hours will receive a recorded message requesting the caller to call back between the operating hours. The process to request a number takes about 5–10 minutes. A DUNS number will be assigned at the conclusion of the call. You will need to provide the following information:
 - Legal name of your organization
 - Headquarters name and address for your organization
 - Doing business as (DBA) or other name by which your organization is commonly known or recognized
 - Physical address, city, state, and ZIP code
 - Mailing address (if separate from headquarters and/or physical address)

- Telephone number
- Contact name and title
- Number of employees at your physical location

Managing your DUNS number

- D&B periodically contacts organizations with DUNS numbers to verify that their information is current. Organizations with multiple DUNS numbers may request a free family tree listing from D&B to help determine what branches or divisions have numbers and whether the information is current. Please call the dedicated toll-free DUNS number request line at 866-705-5711 to request your family tree.
- D&B recommends that organizations with multiple DUNS numbers have a single point of contact for controlling DUNS number requests to ensure that the appropriate branches or divisions have DUNS numbers for federal purposes.
- As a result of obtaining a DUNS number you have the option to be included on D&B's marketing list that is sold to other companies. If you do *not* want your name or organization included on this marketing list, request to be de-listed from D&B's marketing file when you are speaking with a D&B representative during your DUNS number telephone application.
- Obtaining a DUNS number is absolutely free for all entities doing business with the Federal Government. This includes award and cooperative agreement applicants or prospective applicants and federal contractors. Be certain to identify yourself as a federal award applicant or prospective applicant.

2. Register in the SAM database or confirm SAM number

Estimated timeframe: up to 10 business days to complete (if you do not have an EIN, the process can take up to 5 weeks)

In addition, all applicants are required to maintain current registrations in the System for Award Management (SAM) database. The SAM database replaces the Central Contractor Registration (CCR) database as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. DOJ requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the SAM database. Applicants must update or renew their SAM registration annually to maintain an active status. If your organization already has an Employer Identification Number (EIN), your SAM registration will take up to two weeks to process. If your organization does not have an EIN, you should allow two to five weeks for obtaining the information from the IRS when requesting the EIN via phone, fax, mail, or Internet.

Applicants that were previously registered in the CCR database must at a minimum

- create a SAM account;
- log in to the SAM database and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in the SAM database prior to registering in Grants.gov. Please contact the SAM Service Desk at 866-606-8220 or view or update your registration information at www.sam.gov. If your SAM registration is set to expire prior to **September 30, 2018**, please renew your SAM registration prior to completing this application.

To register in SAM, follow the next steps

Step 1.

Obtain a DUNS number at www.dnb.com/us/ or call 866-705-5711 (see section 1 “Obtain or confirm DUNS number” on page 21).

Step 2.

Access the SAM online registration through the SAM home page at www.sam.gov and follow the online instructions for new SAM users.

Step 3.

Complete and submit the online registration. If you already have the necessary information on hand, the online registration takes approximately 30 minutes to complete, depending upon the size and complexity of your business or organization. Please note that organizations must update or renew their SAM registration at least once a year to maintain an active status.

To migrate your legacy system user account from Central Contractor Registration (CCR), FedReg, ORCA, or EPLS, you must first create a personal account in SAM by clicking on “Create an Account” on the homepage. An individual account is required to manage entity registrations in SAM. You will not be able to manage your registration unless you create a system account in SAM. Once you validate that you have access to the email address you provided during the registration process and login, you will see a message on the user dashboard (My SAM) that will ask you, “Would you like to migrate a legacy system account?” Click “Yes” to begin the migration process. Alternatively, you may click on “Manage My User Roles,” then on “Migrate Legacy Account” link to begin the migration process. The roles you had with the legacy system will be mapped to your SAM account.

To update your entity’s SAM registration, follow the next steps:

Step 1.

Go to the SAM homepage (www.sam.gov), enter your username and password, and then click the “Log In” button.

Step 2.

Select “Complete Registrations” under Registration/Update Entity” in the left navigation pane.

Step 3.

Select the entity record that you want to update and click the “Update” button.

For more details on updating your registration, please refer to the SAM User Guide, available at www.sam.gov.

If awarded funds, your agency must maintain the currency of your information in the SAM database until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

Please see the appendix N beginning on page 135 of this guide addressing the SAM and Universal Identifier Award Term.

3. Obtain or confirm Geographic Names Information System (GNIS) ID number

Estimated timeframe: up to one business day

This step can be completed concurrently with step 4.

The Geographic Names Information System (GNIS) database is maintained by the U.S. Geological Survey, U.S. Department of the Interior. The database assigns a unique, permanent feature identifier, the feature ID, which is the only standard federal key for integrating or reconciling feature data from multiple datasets.

To determine your jurisdiction's feature ID number, follow these steps:

- Go to geonames.usgs.gov/ and click on "Search Domestic Names."
- From this screen, you can enter the name of your jurisdiction (for example, "Cleveland").
- Select your state ("Ohio").
- Click "Send Query." (The results will show that Cleveland, Ohio, is a populated place with a feature ID of 1066654.)
- Enter this seven-digit number into your application form. Some jurisdictions may have feature IDs of less than seven digits; for example, American University is a school in the District of Columbia with a feature ID of 531560. In this case, you should place a "0" in front of the number to ensure that seven digits are entered into the application form (e.g., 0531560).

4. Request or verify an ORI

Estimated timeframe: up to three business days to process request

This step can be completed concurrently with step 3.

All FY 2018 CPD applicants are required to have a valid ORI number. The ORI number is assigned by the Federal Bureau of Investigation (FBI) and is your agency's unique identifier. The COPS Office uses the first seven characters of this number. The first two letters are your state abbreviation, the next three numbers are your county's code, and the next two numbers identify your jurisdiction within your county. If you do not currently have an ORI number, the COPS Office will assign one to your agency for the purpose of tracking your award. ORI numbers assigned to agencies by the COPS Office may end in "ZZ."

Please contact the COPS Office Response Center at 800-421-6770 to verify your agency's ORI number. If you do not have an ORI number, a COPS Office Response Center Specialist will assign one to you for the purpose of tracking your award application. This is required before you begin your application on Grants.gov.

5. Register with Grants.gov / Confirm registration

Estimated timeframe: up to two weeks for your registration to become active

CPD applicants are required to submit the first part of the application through the Grants.gov website. If your agency has previously applied for awards using Grants.gov and you already have an account set up with your username and password, please skip this step.

Otherwise, please click this link for details on how to register with Grants.gov:

https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get_Started%2FGet_Started.htm

For additional instructions on how to register with Grants.gov, please visit

<https://www.grants.gov/web/grants/applicants/organization-registration.html>.

For technical assistance with submitting the SF-424, please call the Grants.gov customer service hotline at 800-518-4726, send questions via email to support@Grants.gov, or consult the Grants.gov Organization Applicant User Guide at <https://www.grants.gov/help/html/help/index.htm>. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

6. Obtain or confirm authorized organization representative (AOR) role

Estimated timeframe: up to one business day

This step can be completed concurrently with step 7.

The authorized organization representative (AOR) is the individual responsible for submitting the SF-424 in Grants.gov. In order to set up the AOR, please follow the instructions at

<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>.

For technical assistance with submitting the SF-424, please call the Grants.gov customer service hotline at 800-518-4726, send questions via email to support@Grants.gov, or consult the Grants.gov Organization Applicant User Guide at <https://www.grants.gov/help/html/help/index.htm>. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

7. Register or update an account in the COPS Office Account Access

Estimated timeframe: up to one business day

This step can be completed concurrently with step 6.

All COPS Office applicants must have an account through the COPS Office Online Application System. The information in the Online Application System will prepopulate section 4 of the application, so please ensure it is accurate. The following individuals are deemed critical for the submission of the application and will need to have current contact information and e-Signatures in the system:

- Law Enforcement Executive (LE) or Program Official (PO) for Non–Law Enforcement Agencies
- Government Executive (GE) or Government Official (GO) for Non–Law Enforcement Agencies
- Chief Legal Officer (primary/highest ranking attorney for the governing body that governs any State or local law enforcement applicant [e.g., City Attorney, County Attorney, State Attorney General] or for the entity that is applying for funds and will make subawards to a State or local government entity (e.g., General Counsel for a non-profit organization that will make subawards to a City or County.) *(Please note that the Certification may not be completed by a law enforcement agency attorney – the Chief Legal Officer must represent the governing body.)*
- See the following instructions about designating and setting up the e-signature for the Chief Legal Officer

Designating your Chief Legal Officer (CLO) in Agency Portal:

1. The Law Enforcement Executive (LE) must sign into Agency Portal (IE11 is recommended): <https://portal.cops.usdoj.gov/>
(If you do not know your Agency's LE, or if they need assistance setting up their account, please contact the COPS Office Response Center at 800-421-6770.)
2. On the left-hand menu, click "Add" to add a new user.
3. Enter the CLO's information and check "Chief Legal Officer." See figure 1.

Figure 1. Designating your Chief Legal Officer in Agency Portal

ADD/EDIT USER

Email: * Required
Title:
First Name: * Required
Last Name: * Required
Phone: * Required
Extension:

 **Agency Portal**

Roles: Agency Moderator
 User Moderator
 Law Enforcement Executive LE
 Government Executive GE
 Chief Legal Officer

Note:
Agency Moderators are allowed to modify information in the Agency Information and Agency Contacts sections.
User Moderators are allowed to modify information in the Agency Users section.

4. Scroll to the bottom of the page and click "Update."
5. Once their account has been set-up, the CLO can log in by using their email address as their username and clicking "Forgot Password." They will receive an email prompting them to set up a password for their account.

Setting up the Chief Legal Officer's e-signature in Agency Portal:

1. The CLO must sign in to Agency Portal (IE11 is recommended): <https://portal.cops.usdoj.gov/>
2. On the left-hand menu, click "Account Information."
3. Confirm name and contact information, then enter e-signature (see figure 2).
Note: When signing the application, the signature will be validated against the information entered in this field of Agency Portal. The two signatures must precisely match.

4. Click "Update."

Figure 2. Setting up the CLO's e-signature in Agency Portal

ACCOUNT INFORMATION

Email:

Title:

First Name:

Last Name:

Phone:

Extension:

Please provide your electronic signature below. This signature will be used to authenticate your electronic signature across the various COPS IT systems that require an electronic signature (ex. Award Documents, Withdrawal Requests, etc...).

Signature:

Please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770 for assistance in creating an application or renewing your information.

8. 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. Applicants must complete and submit the SF-424 via www.grants.gov.

Public reporting burden for this collection of information is estimated to average 60 minutes per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SUBMIT IT VIA GRANTS.GOV.

Instructions: Application for Federal Assistance SF-424

The Instructions for the Application for Federal Assistance SF-424 is a standard form (including the continuation sheet) required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the COPS Office. Please see appendix D beginning on page 108 of this guide for a blank SF-424 for reference.

Required items are identified with an asterisk on the form and are specified in the instructions that follow. Applicants must follow these instructions.

1. **Type of Submission** (required). Select one type of submission in accordance with agency instructions.
 - Pre-application
 - Application (select this one for CPD)
 - Changed/corrected application—If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.
2. **Type of Application** (required). Select one type of application in accordance with agency instructions.
 - New—An application that is being submitted to an agency for the first time. (Select this one for CPD.)
 - Continuation—An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.
 - Revision—Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If “other” is selected, please specify in text box provided.
 - Increase award
 - Decrease award
 - Increase duration
 - Decrease duration
 - Other (specify)
3. **Date Received**. Leave this field blank. This date will be assigned by the federal agency.
4. **Applicant Identifier**. Enter the entity identifier assigned by the federal agency, if any, or the applicant’s control number if applicable.
- 5a. **Federal Entity Identifier**. Enter the number assigned to your organization by the federal agency, if any.
- 5b. **Federal Award Identifier**. For new applications, leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.
6. **Date Received by State**. Leave this field blank. This date will be assigned by the state, if applicable.
7. **State Application Identifier**. Leave this field blank. This identifier will be assigned by the state, if applicable.
8. **Applicant Information**. Enter the following in accordance with agency instructions:
 - a. *Legal name* (required). Enter the legal name of the applicant who will undertake the assistance activity. This is what the organization has registered with the System for Award Management (SAM). Information on registering with SAM may be obtained by visiting the Grants.gov website.
 - b. *Employer/Taxpayer number (EIN/TIN)* (required). Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the United States, enter 44-4444444.

- c. *Organizational DUNS* (required). Enter the organization's DUNS or DUNS4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.
 - d. *Address* (required). Enter the complete address as follows: Street address (line 1 required), City (required), County, State (required, if country is United States), Province, Country (required), ZIP/Postal Code (required, if country is United States).
 - e. *Organizational unit*. Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.
 - f. *Name and contact information of person to be contacted on matters involving this application* (required) *and organizational affiliation (if affiliated with an organization)*: Enter the name (first and last name, then the application organization), telephone number (required), fax number, and email address (required) of the person to contact on matters related to this application.
9. **Type of Applicant** (required). Select up to three applicant type(s) in accordance with agency instructions.
- State government
 - County government
 - City or township government
 - Special district government
 - Regional organization
 - U.S. territory or possession
 - Independent school district
 - Public/state controlled institution of higher education
 - Indian/Native American Tribal Government (federally recognized)
 - Indian/Native American Tribal Government (other than federally recognized)
 - Indian/Native American tribally designated organization
 - Public/Indian housing
 - Nonprofit
 - Private institution of higher education
 - Individual
 - For-profit organization (other than small business)
 - Small business
 - Hispanic-serving institution
 - Historically Black colleges and universities (HBCU)
 - Tribally controlled colleges and universities (TCCU)
 - Alaska Native and Native Hawaiian serving institutions
 - Nondomestic (non-U.S.) entity
 - Other (specify)
10. **Name of Federal Agency** (required). Enter the name of the federal agency from which assistance is being requested with this application.
11. **Catalog of Federal Domestic Assistance Number/Title**. Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12. **Funding Opportunity Number/Title** (required). Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13. **Competition Identification Number/Title**. Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.

14. **Areas Affected by Project.** List the areas or entities using the categories (e.g., cities, counties, states) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
15. **Descriptive Title of Applicant's Project** (required). Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
16. **Congressional Districts Of** (required).
 - 16a. Enter the applicant's congressional district.
 - 16b. Enter all district(s) affected by the program or project. Enter in the following format:
 - Two-character state abbreviation followed by three-character district number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina 103rd district.
 - If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.
 - If nationwide, i.e., all districts within all states are affected, enter U.S.-all.
 - If the program/project is outside the United States, enter 00-000.
17. **Proposed Project Start and End Dates** (required). Enter the proposed start date and end date of the project. For the purposes of the CPD program, please use October 1, 2018 to September 29, 2020. For microgrant applications, please use October 1, 2018 to September 29, 2019.
18. **Estimated Funding** (required). Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
19. **Is Application Subject to Review by State under Executive Order 12372 Process?** Applicants should contact the state single point of contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the state intergovernmental review process. Select the appropriate box. If "a" is selected, enter the date the application was submitted to the state.
20. **Is the Applicant Delinquent on Any Federal Debt?** (required) Select the appropriate box. This question applies to the applicant organization, not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans, and taxes. If yes, include an explanation on the continuation sheet.
21. **Authorized Representative** (required). To be signed and dated by the authorized representative of the applicant organization. Enter the name (first and last name required), title (required), telephone number (required), fax number, and email address (required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

It is strongly recommended that applicants register immediately on www.grants.gov. In addition, applicants are strongly encouraged to complete the SF-424 and section 1 on Grants.gov as quickly as possible. Any delays in registering with Grants.gov or submitting the SF-424 may result in insufficient time for processing your application through Grants.gov or the COPS Office Online Application System.

For technical assistance with submitting the SF-424, call Grants.gov Customer Service Hotline at 800-518-4726, email support@grants.gov, or consult the Grants.gov Applicant User Guide at https://www.grants.gov/help/html/help/Get_Started/Get_Started.htm.

9. COPS Office Application Attachment to the SF-424

Once the SF-424 has been submitted via Grants.gov, the COPS Office will send an invitation email to the applicant with instructions on how to complete the second part of the CPD online application through the COPS Office online system via the COPS Office website (www.cops.usdoj.gov). This email should go to the AOR; law enforcement executive or program official for non-law enforcement agencies; and the government executive or government official for non-law enforcement agencies. If you have not renewed your COPS Office Account Access information, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

Table 3 shows the required documentation that must be completed and submitted for your CPD program application to be considered complete. Failure to submit all required documentation at the time of the application deadline may delay processing or result in the denial of your application. Unless otherwise noted, each section listed must be completed in its entirety. You can use this chart as an application checklist to ensure you have met all of the necessary requirements.

Table 3. Required documentation

Application Documents and Sections	Required? Yes, No, or Possible	Completed?
Standard Form 424 (to be completed on Grants.gov)	Yes	<input type="checkbox"/>
COPS Office Application Attachment to SF-424 (to be completed via COPS Office Online Application System)	Yes	<input type="checkbox"/>
Section 1. COPS Office Program Request	Yes	<input type="checkbox"/>
Section 2. Agency Eligibility Information	Yes	<input type="checkbox"/>
Section 3. General Agency Information	Yes	<input type="checkbox"/>
Section 4. Executive Information	Yes	<input type="checkbox"/>
Section 5. COPS Office Hiring Request Form	No	<input type="checkbox"/>
Section 6. Law Enforcement and Community Policing Strategy	Yes (section 6A only)	<input type="checkbox"/>
Section 7. Need for Federal Assistance	Yes (section A only)	<input type="checkbox"/>
Section 8. Continuation of Project after Federal Funding Ends	Yes (section B only)	<input type="checkbox"/>
Section 9. School Safety Assessment	No	<input type="checkbox"/>
Section 10. Project Abstract	Yes	<input type="checkbox"/>
Section 11. Project Description (Narrative)	No (submitted under section 13 as an attachment)	<input type="checkbox"/>
Section 12. Official Partner(s) Contact Information	Possible	<input type="checkbox"/>
Section 13. Application Attachments	Yes	<input type="checkbox"/>

Application Documents and Sections	Required? Yes, No, or Possible	Completed?
Project narrative (required)	Yes	<input type="checkbox"/>
Key curriculum vitae/staff resumes (required)	Yes	<input type="checkbox"/>
Budget narrative (required)	Yes	<input type="checkbox"/>
Indirect cost rate agreement (if applicable)	Possible	<input type="checkbox"/>
Sole source justification (if applicable)	Possible	<input type="checkbox"/>
Consultant rate justification (if applicable)	Possible	<input type="checkbox"/>
State or local Government Subrecipient Certification(s) of Compliance with 8 U.S.C. § 1373 (if applicable)	Possible	<input type="checkbox"/>
Section 14. Budget Detail Worksheets	Yes	<input type="checkbox"/>
14A Part 1. Sworn officer positions	No	<input type="checkbox"/>
14A Part 2. Sworn officer salary information	No	<input type="checkbox"/>
14A Part 3. Federal/Local share costs (hiring)	No	<input type="checkbox"/>
14B. Civilian or Nonsworn personnel	Possible	<input type="checkbox"/>
14C. Equipment/Technology	Possible	<input type="checkbox"/>
14D. Supplies	Possible	<input type="checkbox"/>
14E. Travel/Training/Conferences	Possible	<input type="checkbox"/>
14F. Contracts/Consultants	Possible	<input type="checkbox"/>
14G. Other costs	Possible	<input type="checkbox"/>
14H. Indirect costs	Possible	<input type="checkbox"/>
Budget summary	Yes	<input type="checkbox"/>
Section 15. Assurances and Certifications		
15A. U.S. Department of Justice Certified Standard Assurances	Yes	<input type="checkbox"/>
15B. U.S Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters And Drug-Free Workplace Requirements	Yes	<input type="checkbox"/>
Section 16A. Disclosure of Lobbying Activities	Possible	<input type="checkbox"/>
Section 16B. Certification of Compliance with 8 U.S.C. § 1373	Possible	<input type="checkbox"/>

Application Documents and Sections	Required? Yes, No, or Possible	Completed?
Section 16C. Certification of 287(g) Partnership and Certification of Illegal Immigration Cooperation	Possible	<input type="checkbox"/>
Section 17. Reviews and Certifications	Yes	<input type="checkbox"/>
Section 18. Application Data Verification	Possible	<input type="checkbox"/>

Section 1. COPS Office Award program request

The COPS Office email will include the link that will take you to the COPS Office Online Application System to begin the application.

Please ensure that the correct program name is displayed for the funding opportunity code for which you are applying; for example, Community Policing Enhancement (COPS-CPD-2018-1).

If you plan to apply under more than one topic area, you must submit a separate application for each proposal. Please ensure that you read, understand, and agree to comply with the applicable terms and conditions as outlined in this application guide before finalizing your selections.

Your agency must maintain copies of the records used in this application submission for a minimum of three years following the date of the last official federal action taken on the award for future review in the event of a site visit, audit, or other request. Data used must be data that was recorded in official records. Please do not submit any confidential data or reports with your application.

Completing section 1

1. Verify that you are seeing “The program you have selected is: Community Policing Development.” If you do not see the correct program, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.
2. **CPD Topic Area** (required). Applicants for the CPD program must select one CPD topic area from the drop down menu:
 - a. Incorporating Community Policing into Contemporary Broken Windows Theory Applications
 - b. Supporting First Amendment Rights: The Community Policing Approach
 - c. Partnerships to Address Labor Trafficking
 - d. Online Law Enforcement Training
 - e. Supporting First-Line Supervisors
 - f. Field-Initiated Law Enforcement Microgrants
 - g. Open Topic Area
 - h. Tribal Training and Technical Assistance
 - i. Invitational Applications

3. For either “Invitational Applications” or “Field-Initiated Law Enforcement Microgrants” topics, you must select a CPD subtopic. For all other applicants, skip to step 6. The CPD subtopics are the following:
 - a. Field-Initiated Law Enforcement Microgrants
 - Peer Support for Officer Safety and Wellness
 - Human Trafficking
 - Hate Crimes
 - Recruitment and Hiring
 - Incident-Specific After-Action Reviews
 - Child and Youth Engagement
 - b. Invitational Applications
 - Community Policing Development (CPD)
 - Preparing for Active Shooter Situations (PASS)
4. For “Invitational Applications,” continue to step 5. For all other applicants, skip to step 6.
5. **Invitational Applications** (required). *Please enter your invitation code here* (required). Enter the code provided by the COPS Office as instructed.
6. **Research & development (R&D)** (required). For the purposes of this solicitation, *R&D* means all research activities, both basic and applied, and all development activities that are performed by nonfederal entities. The term “research” also includes activities involving the training of individuals in research techniques where such activities use the same facilities as other research and development activities and where such activities are not included in the instruction function. “Research” is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. “Development” is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.
 - a. *B1) Could any portion of your project be considered research and development (R&D) as defined by 2 C.F.R. § 200.87?* Select “yes” if any part of your project could be considered R&D or “no” if no portion of your award would support R&D.
7. Click “next” to move to section 2. If any required fields are not answered, they will be flagged with warning messages.

Section 2. Agency eligibility information

The CPD program is open to all public governmental agencies, for-profit (commercial) organizations, nonprofit organizations, institutions of higher education, community groups and faith-based organizations. For-profit organizations (as well as other recipients) must forgo any profit or management fee.

Completing section 2

1. **Type of Agency** (required). Select whether your agency is classified as “law enforcement” or “non-law enforcement.” Based on your response you will have the opportunity to identify your specific agency (Note: the COPS Office Online Application drop-down options are more expansive than the SF-424 options, so please select the applicant type that best fits your organization)
 - a. *Law enforcement.* Select the type of agency that best describes your organization.
 - Attorney/Court/Investigative Agencies (e.g., District Attorney’s Office, Bureau of Investigation, etc.)
 - Consortium of Law Enforcement Agencies
 - Constable

- County Police (non-sheriff)
 - Emergency Response/Management (non-police)
 - Federally Recognized Tribe – Other
 - Federally Recognized Tribal – Council
 - Federally Recognized Tribal – Courts
 - Federally Recognized Tribal Fish & Wildlife
 - Federally Recognized Tribal Police
 - Marshals
 - Multijurisdictional Task Force
 - Municipal Government
 - Municipal Police
 - Natural Resources Police (e.g., Fish and Wildlife, Park Police)
 - New Start-Up (please specify)
 - Private University/College Police
 - Public Housing Police
 - Public University/College Police
 - Regional Police Department
 - School District Police
 - Sheriff
 - State Police Agency
 - Transit Police
- b. *Non-law enforcement.* Select the type of agency that best describes your organization.
- Attorney/Court
 - Community/Neighborhood Organization
 - Consortium/Partnerships (other than police/public safety)
 - Corrections
 - County Government
 - Emergency Response/Management (e.g., fire, EMS)
 - Faith-Based Organization
 - Federally Recognized Tribal Council
 - Federally Recognized Tribal Courts
 - Federally Recognized Tribe – Other
 - For-profit Organization
 - Government
 - Law Enforcement Stakeholder Association
 - Multijurisdictional Task Force
 - Municipal Government
 - National Law Enforcement
 - Nonprofit with 501(c)(3) IRS Status (other than Institution of Higher Education)
 - Nonprofit without 501(c)(3) IRS Status (other than Institution of Higher Education)
 - Park
 - Private University (other than police/public safety)
 - Public Housing
 - Public University/College (other than police/public safety)
 - Public University/College Public Safety
 - Schools

- State
 - State Association Chiefs of Police (SACOP)
 - State Associations of Sheriffs
 - State Government
 - Transit
 - Tribal/Native Village
 - Value-Based Organization
2. Click “next” to move to section 3. If any required fields are not answered, they will be flagged with warning messages.

Section 3. General agency information

Please provide accurate agency information, as this information is used to identify your agency and may be used along with other data collected to determine funding eligibility.

Completing section 3

1. **Applicant ORI number (required).** Enter your ORI number (nine characters).
2. **Applicant Data Universal Numeric System (DUNS) number (required).** Enter your DUNS number (no more than 13 digits).
3. **System for Award Management (SAM) (required).** Enter the date when your SAM registration is set to expire (MM/DD/YYYY format).
4. **Geographic Names Information System (GNIS) ID (required).** Enter your GNIS ID (seven characters).
5. **Cognizant federal agency (required).** Select your organization’s cognizant federal agency from the drop-down. Generally, it is the federal agency from which your jurisdiction receives the most federal funding. Your cognizant federal agency also may have been previously designated by the Office of Management and Budget. Applicants that have never received federal funding should select “U.S. Department of Justice” as the cognizant federal agency.
6. **Fiscal year (required).** Enter the month, day, and year of the legal applicant’s fiscal year (MM/DD/YYYY format).
7. **Law enforcement agency sworn force information.** Not applicable under the CPD program.
8. **Civilian staffing.** Not applicable under the CPD program.
9. **U.S. Department of Justice and other federal funding.** Applicants are required to disclose whether they have pending applications for federally funded assistance or active federal awards that support the same or similar activities or services for which funding is being requested under this application.
10. Be advised that as a general rule, COPS Office funding may not be used for the same item or service funded through another funding source. However, leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate. To aid the COPS Office in the prevention of awarding potentially duplicative funding, please indicate whether your agency has a pending application or an active award with any other federal funding source (e.g., direct federal funding or indirect federal funding through state sub-awarded federal funds) which supports the same or similar activities or services as being proposed in this COPS Office application. Check all that apply using the check boxes provided in the application.
11. Click “next” to move to section 4. If any required fields are not answered, they will be flagged with warning messages.

Section 4. Executive information

Please ensure that information listed is current. If these officials are “Interim” or “Acting” at the time of application, check the appropriate box. Please note that this information will be used for any future correspondence regarding this award application, and ultimately, if an award is made, this information will be used for any award notifications.

This section will be prepopulated from the information listed in your COPS Office Agency Portal account. If this information is no longer correct, please log in to your COPS Office Agency Portal account and make the necessary corrections before proceeding with this application. For assistance, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

Note: Listing individuals without ultimate programmatic and financial authority for the award could delay the review of your application or remove your application from consideration.

Completing section 4

1. **Applicant executive/agency executive information** (required).
 - a. *For law enforcement agencies.* Verify the law enforcement executive’s name and contact information. This is the highest ranking law enforcement official within your jurisdiction (e.g., chief of police, sheriff, or equivalent).
 - b. *For non-law enforcement agencies.* Verify the name and contact information. This is the highest ranking individual in the applicant agency (e.g., CEO, president, chairperson, director, or equivalent) who has the authority to apply for this award on behalf of the applicant agency. If awarded COPS Office funding, the individual in this position will ultimately be responsible for the programmatic implementation of the award.
2. **Government executive / financial official information** (required).
 - a. *For government agencies.* Verify the government executive’s name and contact information. This is the highest ranking official within your jurisdiction (e.g., mayor, city administrator, tribal chairman, or equivalent).
 - b. *For nongovernment agencies.* Verify the name and contact information. This is the highest ranking financial official who has the authority to apply for this award on behalf of the applicant agency (e.g., chief financial officer, treasurer, or equivalent). If awarded COPS Office funding, the individual in this position will ultimately be responsible for the financial management of the award. Please note that information for nonexecutive positions (e.g., clerks or trustees) is not acceptable.
3. **Application contact information** (required). Enter the application contact name and information.
4. Click “next” to move to section 6. If any required fields are not answered, they will be flagged with warning messages.

NOTE: Do not use hyphens (-) when entering phone numbers.

Section 5. COPS Office officer hiring request form—Not applicable under the CPD program

Section 6A. Law enforcement and community policing strategy

Please see appendix C to this guide, “Community Policing Defined,” beginning on page 101.

Completing section 6A

1. **CP1) To what extent is there community support in your jurisdiction for implementing the proposed project activities?** (required). Select the appropriate level of support.
2. **CP2) If awarded, to what extent will the project activities impact the other components of the criminal justice system in your jurisdiction?** (required). Select the appropriate burden level.
3. Click “next” to move to section 7. If any required fields are not answered, they will be flagged with warning messages.

Section 7. Need for federal assistance

Section 7A. Explanation of need for federal assistance

All applicants are required to explain their inability to address the need for this award without federal assistance.

Completing section 7A

1. **Explanation of need for federal assistance** (required). Enter no more than 4,000 characters explaining the need for federal assistance.
2. Click “next” to move to section 8. If any required fields are not answered, they will be flagged with warning messages.

Section 7B. Service population—Not applicable under the CPD program

Section 7C. Fiscal health—Not applicable under the CPD program

Section 7D. Property crime/Violent crime—Not applicable under the CPD program

Section 8. Continuation of project after federal funding ends

Section 8A. For COPS Office awards with a retention plan requirement—Not applicable under the CPD program

Section 8B. Continuation of project after federal funding ends (for other COPS Office awards with no retention plan requirement)

The questions in this section will be used for programs *without* a retention requirement to report any plans to continue the program or activity after the conclusion of federal funding.

Completing section 8B

1. **Does your agency plan to obtain necessary support and continue the program, project, or activity following the conclusion of federal support?** Select “yes” or “no.”
2. **Please identify the source(s) of funding that your agency plans to utilize to continue the program, project, or activity following the conclusion of federal support.** Check all that apply. If “other” is selected, please provide a brief description of the source(s) of funding (not to exceed 500 characters).
3. Click “next” to move to section 10. If any required fields are not answered, they will be flagged with warning messages.

Section 9. School safety assessment—Not applicable under the CPD program

Section 10. Project abstract

CPD applicants are required to provide a brief high-level project abstract that summarizes the proposed project in 200 words or less. Project abstracts should explain to the reader about the projects' purpose, scope, activities, and key partners, if applicable. An abstract should be coherent, concise, and able to stand alone as a summary of the project. Project abstracts should be written for a general public audience.

The COPS Office will only make the abstracts publicly available if the application is funded.

Completing section 10

1. Provide your project abstract in 200 words or less in the provided narrative box.
2. Click "next" to move to section 11. If any required fields are not answered, they will be flagged with warning messages.

Section 11. Project description (narrative)

Agencies that seek funding under this program are required to submit a project description (narrative). The project narrative must respond to the solicitation and include the section headings listed on page 40 as well as describe how the project will advance community policing as it pertains to the chosen topic area. Submit this narrative as an attachment under section 13 of the application.

The narrative will be a significant factor in the application review and approval process. Failure to provide this information will eliminate your application from consideration.

The project narrative portion of the application must meet the following requirements:

1. Double-spaced
2. 8.5 x 11-inch page
3. One-inch margins
4. Type no smaller or larger than 12 point, Times New Roman font
5. Page numbers
6. A cover page identifying the CPD solicitation topic/subtopic for which the applicant is applying and the title of the application. The CPD solicitation topic identified on the cover page must match the CPD topic selected in Section 1 of the COPS Office Online Application System.
7. For CPD non-microgrants, no more than 20 pages and no fewer than 10 pages for the project narrative; for CPD microgrants, no more than 10 pages and no fewer than 2 pages for the project narrative
8. Word documents in the following formats: Microsoft Word (.doc or .docx) or PDF files (.pdf)
9. Headings and sub-headings that correspond to the sections identified in this section of the solicitation.

Table of contents and cover page will not count toward the overall page limit. Executive summaries, abstracts, timelines, graphs, and charts (regardless of pagination in front matter) will count toward overall page limit.

Appendices are strongly discouraged. Resumes, curriculum vitae, letters of support from partners (if applicable), and certifications should be separate attachments and do not count towards the narrative page requirements. If the project narrative fails to comply with these length-related restrictions, the COPS Office may consider such noncompliance in peer review and in final award decisions. The COPS Office recommends numbering the pages as follows: "1 of 20," "2 of 20," etc.

Please format your narrative using the following section headings:

1. **Cover page**

Each application must have a cover page that includes the title of the application and identify the CPD solicitation topic/subtopic for which the applicant is applying. The CPD solicitation topic identified on the cover page must match the CPD topic selected in section 1 of the COPS Office Online Application System.
2. **Topic selection and outcome identification and justification**

Select one application topic area described under the “CPD Topic Areas” section. Describe the outcome(s) that will be achieved, the gap in existing knowledge and/or practice, why/how this project will meet that need, and the level of innovation and originality of the proposed work. If applicable, supply data to support the problem or gap and what has been done previously to address it. Explain how this project will build upon, expand, and/or incorporate the principles of community policing.
3. **Strategy to achieve program outcomes and goals**

Applicants must describe the specific project goals (see “Goals” section) that are to be accomplished and provide a comprehensive description of the overall strategy and specific activities of the proposed work. Applicants must specify how these proposed activities will achieve the identified program outcomes and goals.
4. **Capacity and experience**

Please detail the capacity of your organization to carry out the proposed plan in the proposed timeframe of the project and explain your experience with other similar efforts. This must include a discussion of your key staff, what roles they will play, their education and experience in similar projects, and their understanding of community policing and related subject matter expertise.
5. **Management and implementation plan**

Applicants must describe the overall management and implementation plan for the project. This should include how you will ensure effective implementation of the project; a brief timeline with a list of key activities and milestones to take place within the award performance period (24 months for all awards under this solicitation, except for microgrants, which are 12 months), grouped by month or quarter; a management/ staffing plan detailing who will work on this project; identification of any key partnerships or stakeholders who will play a role in the implementation of this project; and, if applicable, a brief marketing plan for the deliverable(s) to ensure a broad dissemination of the product(s) to the target audience(s).
6. **Applicants who propose delivery of reports, guidebooks, web content, training, or other substantive knowledge products are encouraged to identify a core author or authors, establish the relevant subject matter expertise of the author(s), and do so expressly within the project narrative. In addition, applicants should list any major publications and/or training that the identified author(s) have written on closely related topic areas. Applicants should not expect that reviewers of the application will infer such expertise from resumes or curriculum vitae they submitted as attachments. Additionally, for all proposed in-person training, the applicant should identify the instructor(s), provide examples of the subject matter expertise and training experience of the instructor(s), and do so expressly within the project narrative. In addition, applicants should attach resumes or curriculum vitae for all instructors.**
7. **Effectiveness of program**

The COPS Office strongly encourages applicants to consider how they will determine if award funding was effective in addressing the program outcomes and goals outlined above. Applicants must detail specifically how they will assess the extent to which the activities implemented as a result of receiving this award, and the deliverables developed under this award would assist law enforcement in implementing or institutionalizing community policing. Applicants must identify if/how data and information will be

collected, tracked, and reported to the COPS Office and how these measures are consistent with the COPS Office performance measure to advance the capacity of law enforcement to practice community policing (see “Performance Measures” section).

Completing section 11

1. **Project title** (required). Provide the title for the proposed project (no more than 200 characters). The COPS Office will use this title to differentiate projects (especially if there are multiple applications per applicant) and potentially as part of the announcement (if funded).
2. Click “next” to move to section 12. If any required fields are not answered, they will be flagged with warning messages.

Section 12. Official partner(s) contact information

Applications that represent partnerships between law enforcement agencies and institutions of higher education and nonprofit organizations are strongly encouraged to apply. With the limited exception for microgrants, initiatives that primarily or solely benefit one or a limited number of law enforcement agencies or other entities will not be considered for funding.

Note: Do not enter any special characters such as percent sign (%), commas (,), etc. in any of the text boxes.

Completing section 12

1. If applicable, please submit a list of partnering agencies including contact person, organization name, address, phone number, and email address.
2. **Add partner**. For multiple partners use the “add partner” button.
3. Click “next” to move to section 13. If any required fields are not answered, they will be flagged with warning messages.

Section 13. Application attachments

CPD applicants should attach the following documents in this section:

- **Project Narrative (Description)** (required)—See section 11 for more details.
- **Budget Narrative** (required)—All CPD applicants must attach a budget narrative. Your agency must create and attach a document that (1) describes each item requested or group of similar items requested and (2) links each item or group of items to the proposed project. All items will be reviewed on a case-by-case basis and in context of the allowable and unallowable costs lists. Budget narratives do not count toward the page limit of the project narrative. See section 14, “Budget detail worksheets and budget narrative,” beginning on page 43, for instructions and the appendices for a sample budget narrative.
- **Resumes/vitae for key personnel** (required)—Applicants must attach the vitae/resumes of up to three key project staff detailing work and educational history and highlighting any experience that is relevant to their ability to successfully carry out the proposed project. Resumes/vitae of key project personnel attachments do not count toward the page limit of the project narrative.
- **Letters of support from partners** (if applicable)—Can be signed by an executive that states their organization or agency’s support of the project.
- **Indirect Cost Rate Agreement** (if applicable)
- **Sole Source Justification** (if applicable)
- **Budget Justification Documentation** (if applicable)—Such as pay scales, travel policies, etc.

- **Consultant Rate Justification** (if applicable)—If the consultant is paid more than \$650 per day and is hired through a noncompetitive bidding process.
- **Additional Disclosure of Lobbying Activities form (SF-LLL)** (if applicable) –The filing of a SF-LLL form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Please see section 16A “Disclosure of lobbying activities” beginning on page 64 for more details and the appendices for a copy of the SF-LLL with instructions for completing this form.
- An explanation when the applicant is unable to certify to certain statements in the “Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements” form (if applicable)—When the applicant is unable to certify to specific statements identified in this Certifications form, the applicant must attach an explanation. The applicant is still required to sign the Certifications form to certify to all the other applicable statements. Please see appendix F on page 114 for a copy of this Certifications form.
- **Certification from each state or local government subrecipient’s chief legal officer** (if applicable)—For non-state or local government entities (e.g., Tribal, nonprofit, private) that will use CPD funds to make subawards to a state or local government entity, each state or local government subrecipient’s chief legal officer (e.g., City or County Attorney) must submit a separate certification regarding its compliance with 8 U.S.C. §1373. Each applicant that has already identified state or local government subrecipients must do the following:
 1. Print the Certification of Compliance with 8 U.S.C. §1373 form for Subrecipients from Appendix Q or on the COPS Office website at <https://cops.usdoj.gov/default.asp?Item=2450>;
 2. Provide the Certification to each state or local government subrecipient;
 3. Ensure that the subrecipient’s chief legal officer completes the certification before the application deadline; and
 4. Upload the subrecipient certification(s) as attachment(s) in Section 13 of the COPS Office online application system.
 5. If the applicant has not yet identified subrecipients, the COPS Office will coordinate the subrecipient certification process post-award. Access to subrecipient funding will be contingent upon submission of completed Certifications from all state or local subrecipients.

Additional attachments attempting to summarize, explain, or add project details are strongly discouraged, and will not be considered for review.

Please use appropriately descriptive file names (e.g., “Project Narrative,” “Budget Narrative,” “Indirect Cost Rate Agreement,” “Resumes”) for all attachments. File names may only contain: a–z, 0–9, period (.), underscore (_), or hyphen (-); any other characters will be replaced by a hyphen (-). Also, the COPS Office recommends that applicants include resumes/vitae in a single file.

Please do not submit executable file types as application attachments. These disallowed file types include the following extensions: .com, .bat, .exe, .vbs, .cfg, .dat, .db, .dbf, .dll, .ini, .log, .ora, .sys, and .zip. The system may reject applications with files that use these extensions.

Completing section 13

1. For each attachment, search for the document using the “browse” function, label the document with the drop-down options, and upload the file.
 - a. You may use the following drop-down labels:
 - Budget Justification Documentation
 - Budget Narrative
 - Catastrophic Event Description
 - Consultant Rate Justification/Documentation
 - Indirect Cost Rate Agreement
 - Letters of Support
 - Memorandum of Understanding
 - Other
 - Position Description
 - Project Description (Narrative)
 - Resume
 - Section 15B—Explanation when unable to certify to certain statements
 - Section 16A—Additional Disclosure of Lobbying Activities (SF-LLL) Forms
 - SF-424
 - Sole Source Justification/Documentation
 - Subrecipient Certification of Compliance with 8 U.S.C. § 1373
2. Repeat step 1 for every attachment.
3. Click “next” to move to section 14. If any required fields are not answered, they will be flagged with warning messages.

Section 14. Budget detail worksheets and budget narrative attachments

Applicants must submit reasonable budgets based on the resources needed to implement their proposed projects. The budget should display a clear link between the specific project activities and the proposed budget items. It should not contain any items that are not detailed in the project narrative.

The budget narrative should thoroughly and clearly describe every category of expense listed in the budget detail worksheets contained in section 14 of the application. The COPS Office 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. Consideration will be given to budget proposals that maximize the direct funding that supports project activities.

The budget narrative should be mathematically sound and correspond clearly with the information provided in the budget detail worksheets. 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. The budget should describe costs by year and should cover the full project period (see “Length of award” beginning on page 16 for project period details).

In some circumstances, the budget and budget narrative will be reviewed separately from the proposed project narrative. Therefore, it is very important that the budget narrative be as comprehensive as possible and describe in a narrative format each line item requested in the budget. The budget narrative should not be used to explain deliverables or project activities that are not included in the project narrative. This information is to be attached as a separate document in section 13.

For-profit organizations (as well as other recipients) must forgo any profit or management fee.

Instructions for Completing the Budget

Budget requests may be made in the following categories:

- Civilian or nonsworn personnel (base salary and fringe benefits)
- Equipment/Technology
- Supplies
- Travel/Training
- Contracts/Consultants/Conferences
- Other costs
- Indirect costs

All items requested will be considered on a case-by-case basis during the budget review process. Items under the program must be purchased using the legislative guidelines established by the appropriations legislation that governs this funding. In addition, each item requested must programmatically link to the activities described in your application. To the greatest extent practical, all equipment and products purchased with these funds must be American-made.

Applicants should submit scalable proposals where appropriate. Note that the COPS Office may reduce funding for selected proposals based on the number of awards selected. The COPS Office may revise the proposed scope and modify the associated budget proposal accordingly.

Each requested budget item must be allowable, necessary, allocable, and reasonable to the project activities.

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award. Requests for reimbursement of items purchased or expenses incurred prior to the award start date will not be funded. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. **NOTE: For awards made to states or units of local government (including law enforcement agencies), requests may be made only for items or positions that are not otherwise budgeted with state, local, or Bureau of Indian Affairs (BIA) funds and would not be funded in the absence of this COPS Office award (see award condition IV, "Nonsupplanting requirement," beginning on page 79).**

Each of the categories does not include an exhaustive list of allowable and unallowable costs but rather includes frequent requests and guidance. **The COPS Office reserves the right to deny funding for any items that may not be included in this application guide.**

Some tips to help complete the budget forms:

- Any greyed-out areas in the COPS Office Online System Application are automatically calculated and cannot be manually changed.
- Do not hit backspace on your keyboard outside of a text or number box.

- Click “save” after every item entry to ensure your information is saved properly.
- Use whole numbers.
- Always round up.
- Do not use the back button in the browser.

Please see appendix T beginning on page 156 of this guide for a sample budget narrative to help guide the development of your budget narrative.

Section 14.B. Base salary and fringe benefits for civilian or nonsworn personnel

Base salary

Salaries of personnel are costs based on the percentage of time spent (full time equivalent [FTE]) working directly on the project. The total salary percentage should be comparable and consistent with organizational policy. The total amount paid is comparable to industry standards and the type of work being performed.

With respect to any CPD award 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. The 2017 salary table for SES employees is available at the Office of Personnel Management website: <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/17Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with nonfederal funds. (Nonfederal funds used for any such additional compensation will not be considered matching funds.) If only a portion of an employee’s time is charged to a COPS Office award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

Typically unallowable civilian or nonsworn personnel costs include the following:

- If your organization charges an indirect cost, those costs normally include the following positions and therefore these positions should not be charged as personnel costs to avoid possible duplication:
 1. Administration (e.g., director or program head)
 2. Clerical (e.g., secretary or administrative assistant)
 3. Accounting (e.g., controller or bookkeeper)
 4. Procurement (e.g., purchasing director or stockroom clerk)
 5. Housekeeping and maintenance (e.g., custodial and janitorial, repairman, or grounds keeper)

NOTE: These positions can be charged directly if the individual is working a significant amount of time on the project. This will be approved on a case-by-case basis and your narrative should significantly articulate the need to charge these directly if applicable.

- For awards made to states or units of local government (including law enforcement agencies), salaries and benefits for positions that are already budgeted with state, local, or Bureau of Indian Affairs (BIA) funds and would be funded in the absence of this COPS Office award are also not allowed.
- Salaries and benefits of personnel that do not work directly on the project.
- Salaries and benefits for contract or consultant personnel (these should be placed under section 14.F. “Contracts/Consultants;” see page 53).

Completing section 14.B. civilian or nonsworn base salary

1. **Position title.** Enter employee title and name of employee, if known.
2. **Description.** Describe the employee’s roles, responsibilities, and activities related to the work to be completed on the project.
 - If the salary increases from one budget year to another because of cost of living increases, be sure to detail these increases in the budget description.
 - Each position should be added separately in the system. However, you may add multiple positions under subsection D “# of positions” for only positions with the same description, role, and salary and benefits (such as interns or fellows).
3. **Salary.** Enter the annual base salary rate (no more than two decimal places).
4. **% of time on a project.** Enter the percentage of time to be devoted to the project per year (only whole numbers).
5. **Vacation costs.** Select “yes” or “no” whether the base salary includes vacation costs. If “yes,” you will not be able to add any vacation costs under fringe benefits.
6. **Sick leave costs.** Select “yes” or “no” whether the base salary includes sick leave costs. If “yes,” you will not be able to add any sick leave costs under fringe benefits.
7. Repeat steps 3 through 6 for year 2 salary.
8. Continue to “Fringe Benefits” instructions.

NOTES: If you are not applying for civilian or nonsworn personnel or are only applying for one year, select “no” for the drop-down boxes under vacation and sick leave costs. If you are applying for civilian or nonsworn personnel and the number of positions is left at zero, the page will revert to a blank page.

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative includes the following:

- Job description
- Organizational pay scales or written annual salary per position
- Resumes/vitae

Fringe benefits

Fringe benefits are allowances and services provided by the organization to its employees as compensation in addition to regular salary. Fringe benefits should be based on actual known costs or an established formula. Typical fringe benefits include the following:

- Federal Insurance Contributions Act (FICA) taxes—includes Social Security and Medicare and cannot exceed 7.65 percent (6.2 and 1.45 percent respectively)
- Health insurance—individual or family
- Life insurance
- Vacation
- Sick leave
- Retirement
- State unemployment compensation insurance

- Federal unemployment tax
- Worker’s Compensation insurance
- Other fringe benefits may include holidays, military leave, bereavement leave, sabbatical leave, severance pay, jury duty, state disability insurance, pension plan, 401(k) plan

Typically unallowable fringe benefit costs include the following:

- Bonuses or commissions
- If your indirect cost rate agreement includes fringe benefits, you may not charge these costs directly to the project

Completing section 14.B. fringe benefits

1. Enter the “% of salary” for each fringe benefit. The COPS Office Online Application System will automatically calculate the requested amount for each benefit based on the number entered.
2. **Social security expenses.** Select the box marked “6.2%” to automatically use the full social security amount; otherwise enter the appropriate percentage. The COPS Office Online Application System will not allow more than 6.2%
3. **Medicare expenses.** Select the box marked “1.45%” in order to automatically use the full Medicare amount; otherwise enter the appropriate percentage. The COPS Office Online Application System will not allow more than 1.45%
4. **Vacation.** If the base salary includes vacation, you will not be able to add anything for this benefit.
5. **Sick leave.** If the base salary includes sick leave, you will not be able to add anything for this benefit.
6. **Worker’s Compensation.** If you are exempt, click on the “exempt” button.
7. **Unemployment Insurance.** If you are exempt, click on the “exempt” button.
8. **Other.** If you have other fringe benefits that are not listed, you may use this category. If you have a flat fringe rate, include the rate under the “Other” category titled “Flat fringe Benefits (CPD/CRI-TA/PASS Only).”
9. Repeat steps 1 through 8 for year 2 costs.
10. Total salary and benefits for years 1 and 2. Select the number of positions.
 - a. You must enter at least “1” in order for the personnel to be counted towards the total costs.
 - b. If using the same information for more than one position, the positions must have the same description, role, and salary and benefits (such as interns or fellows).
11. **Add position.** Click to add additional personnel; repeat steps 1 through 8 under Base Salary and steps 1 through 10 under Fringe Benefits for any additional personnel.
12. **Remove position.** Click to remove the selected personnel.
13. Click “next” to move to section 14.C. If any required fields are not answered, they will be flagged with warning messages.

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative includes the following:

- Written organization policies regarding fringe benefits
- Organizational fringe rate agreement

Figure 3 on page 48 is a series of screenshots of the base salary and fringe benefits for civilian or nonsworn personnel budget worksheet from the online application.

Figure 3a. Base salary and fringe benefits for civilian and nonsworn personnel

Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections

B. BASE SALARY AND FRINGE BENEFITS FOR CIVILIAN/NON-SWORN PERSONNEL

Instructions: Please complete the questions below for one non-sworn position salary and benefits package. As applicable per the program-specific application guide, you may also be required to project year 2 and year 3 salaries.

Please refer to <http://www.cops.usdoj.gov/DeBuilt.asp?Item=46> for information about allowable and unallowable fringe benefits for civilian/non-sworn personnel requested under the program to which your agency is applying. If requesting Civilian/Non-Sworn Personnel in this section, applicants must indicate the number of positions under D. Total Salary and Benefits for Years 1 and 2 before saving or moving to the next section. If the number of positions is left at zero and does not reflect the actual number of positions, this page will revert to a blank page.

B. CIVILIAN POSITIONS

A. Base Salary Information

Position Title:
 Description:

	<p>Year 1 Salary</p> <p>Enter the first year only/next base salary for this civilian/non-sworn position.</p> <p><input type="text" value="10000.00"/></p> <p>X <input type="text" value="100.00"/> % of time on project</p> <p><input type="text" value="10000"/></p>	<p>Year 2 Salary</p> <p>Enter the second year only/next base salary for this civilian/non-sworn position.</p> <p><input type="text" value="10000.00"/></p> <p>X <input type="text" value="100.00"/> % of time on project</p> <p><input type="text" value="10000"/></p>
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<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Does the base salary include vacation credit? Please select Yes or No.</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Does the base salary include Sick Leave credit? Please select Yes or No.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Does the base salary include vacation credit? Please select Yes or No.</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Does the base salary include Sick Leave credit? Please select Yes or No.</p>
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Figure 3b. Base salary and fringe benefits for civilian and nonsworn personnel

B. Fringe Benefit costs should be calculated for each year of the award term.

FRINGE BENEFITS:

Social security expenses cannot exceed 6.2% Exempt 6.2% Fixed Rate

Medicare expenses cannot exceed 1.45% Exempt 1.45% Fixed Rate

Health Insurance:

Life Insurance:

Vacation: Number of Hours Annually:

Sick Leave: Number of Hours Annually:

Retirement:

Worker's Compensation: Exempt

Unemployment Insurance: Exempt

Other:

Other:

Other:

Benefits Sub-Total Per Year (1 Position):

C. Total Salary + Benefits Per Year (1 Position):

D. Total Salary and Benefits for Years 1 and 2 (1 Position):

	<p>Year 1 Fringe Benefits</p> <table border="1" style="width: 100%; font-size: x-small;"> <tr><th>COST</th><th>% OF BASE SALARY</th></tr> <tr><td>1019.00</td><td>10.19</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>10.00</td><td>0.10</td></tr> <tr><td>20.00</td><td>0.20</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>123.00</td><td>1.23</td></tr> <tr><td>1019.00</td><td>10.19</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>1019.00</td><td>10.19</td></tr> </table>	COST	% OF BASE SALARY	1019.00	10.19	0.00	0.00	10.00	0.10	20.00	0.20	0.00	0.00	0.00	0.00	0.00	0.00	123.00	1.23	1019.00	10.19	0.00	0.00	1019.00	10.19	<p>Year 2 Fringe Benefits</p> <table border="1" style="width: 100%; font-size: x-small;"> <tr><th>COST</th><th>% OF BASE SALARY</th></tr> <tr><td>1019.00</td><td>10.19</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>10.00</td><td>0.10</td></tr> <tr><td>20.00</td><td>0.20</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>123.00</td><td>1.23</td></tr> <tr><td>1019.00</td><td>10.19</td></tr> <tr><td>0.00</td><td>0.00</td></tr> <tr><td>1019.00</td><td>10.19</td></tr> </table>	COST	% OF BASE SALARY	1019.00	10.19	0.00	0.00	10.00	0.10	20.00	0.20	0.00	0.00	0.00	0.00	0.00	0.00	123.00	1.23	1019.00	10.19	0.00	0.00	1019.00	10.19
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Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections

Section 14.C. Equipment/Technology

Necessary equipment must be specifically purchased to implement or enhance the proposed project. Equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds \$5,000. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in section 14.F. "Contracts/Consultants" (see page 53).

Typically unallowable equipment/technology costs include the following:

- Ammunition
- Bayonets
- Body armor
- Body worn cameras
- Bulletproof vests and accessories
- Camouflage uniforms
- Computer aided dispatch (CAD) systems/records management systems (RMS)
- Electronic control weapons (ECWs)

- Explosives
- Firearms
- Fitness equipment
- General law enforcement vehicles (including patrol cars and leased vehicles)
- Golf carts/Segways
- Grenade launchers
- Handcuffs, weapons, and ammunition (including training ammunition)
- Manned aircraft
- Mobile data terminals (MDT)
- Radios
- Shared items between projects—if equipment is to be used for concurrent projects, this should be captured in your indirect costs. If your organization does not have an indirect cost rate agreement, this may be proportionally charged as direct with prior approval.
- Tracked (armored) vehicles
- Unmanned aerial vehicles (drones)
- Weaponized aircraft, vessels, and vehicles of any kind

Completing section 14.C. Equipment/Technology

1. Click “No equipment or technology requested” if you are not requesting any equipment.
2. **Name.** Enter requested equipment name.
3. **Base cost.** Enter cost for the equipment.
4. **Qty.** Enter the quantity.
5. **Subtotal.** Automatically calculates (base cost x qty).
6. **Description.** Enter the type of equipment with a description and justification for why the equipment is necessary for the success of the project (limited to 1,000 characters).
 - a. Provide any additional calculations that make up the base cost.
 - b. The justification should explain that this equipment is not available or accessible to project personnel without specifically purchasing through this award.
7. **Add item.** Click to add additional equipment requests (repeat steps 2 through 6).
8. **Delete.** Click to delete an item.
9. Click “next” to move to section 14.D. If any required fields are not answered, they will be flagged with warning messages.

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative includes the following:

- Narrative of the procurement method.
- Sole Source Justification (please see appendix S beginning on page 143 of this guide for the Sole Source Justification fact sheet).

Figure 4 on page 50 is a screenshot of the equipment/technology budget worksheet from the online application.

Figure 4. Equipment/technology budget worksheet

Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections.

PREVIOUS SAVE PRINT SECTION PRINT NEXT

C. EQUIPMENT/TECHNOLOGY

No Equipment/Technology Requested

Instructions: List non-expendable items that are to be purchased. Provide a specific description for each item in the description boxes below and explain how the item supports the project goals and objectives as outlined in your application. If an expendable equipment is tangible property (e.g., information technology systems) having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Expendable items should be included either in the "SUPPLIES" or "OTHER" categories. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially for high-price items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "CONTRACTS / COM-SUPPLIES" category. Please be advised that, to the greatest extent practical, all equipment and products purchased with these funds must be an off-invoice. For agencies purchasing items related to enhanced communications systems, the COPS Office expects and encourages that, wherever feasible, such voice or data communications equipment should be incorporated into an intra- or inter-jurisdictional strategy for communications interoperability among federal, state, and local law enforcement agencies. See <https://cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for this program. Please limit your descriptions to 1000 characters.

Name	Cost	Qty	Sub Total	Description
	Base cost: <input style="width: 50px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input type="button" value="Delete"/>
			Total: <input style="width: 50px;" type="text"/>	

Add Item

Section 14.D. Supplies

Supplies means all tangible personal property other than those described under “Section 14.C. Equipment/Technology.” Supplies costs consist of those incurred for purchased goods and fabricated parts directly related to an award proposal. Supplies differ from equipment in that they are consumable, expendable, and of a relatively low unit cost, defined as less than \$5,000 per unit. Such costs may include paper, printer ink, pens, pencils, laptops, etc. A computing device is a supply if the acquisition cost is less than \$5,000, regardless of the length of its useful life.

For broad category requests (such as “Office Supplies”), explanation for project amounts should be provided with calculations. Broad grouping of items under supplies are going to be limited to \$40 per month, otherwise items need to be individually captured and justified in the budget request.

For any training awards, the COPS Office allows the purchase of flash drives or USB devices to distribute training materials with approval prior to purchasing.

Typically unallowable supply costs include:

- Conference or event swag, including t-shirts, bags, or mugs
- Narcan
- Shared items between projects—if supplies are to be used for concurrent projects, then this should be captured in your indirect charges or you should only charge the percentage allocated to this project (for example, if a laptop is being purchased for a research assistant who works 40 percent of their time on this project, then only charge 40 percent of the laptop cost to this project)

Completing section 14.D. Supplies

1. Click “No supplies requested” if you are not requesting any supplies.
2. **Name.** Enter requested supply name.
3. **Base cost.** Enter cost for the specific supply. The cost should be broken down to the lowest form; therefore, if you are requesting \$30 per month for office supplies, the calculation should be 12 x \$30 and not 1 x \$360.
4. **Qty.** Enter the quantity.
5. **Subtotal.** Automatically calculates (base cost x qty).

6. **Description.** Enter the supply request with a description and justification for why the supplies are necessary for the success of the project (limited to 1,000 characters). Provide any additional calculations that make up the base cost.
7. **Add item.** Click to add additional supply requests (repeat steps 2 through 6).
8. **Delete.** Click to delete an item.
9. Click “next” to move to section 14.E. If any required fields are not answered, they will be flagged with warning messages.

Figure 5 is a screenshot of the supplies budget worksheet from the online application.

Figure 5. Supplies budget worksheet

D. SUPPLIES

No Supplies Requested

Instructions: List items by type (office supplies, postage, training materials, copying paper, books, hand-held tape recorders, computing devices costing less than \$5,000, etc). Provide a specific description for each item in the description boxes below and explain how it supports the project goals and objectives outlined in your application. Generally, supplies include any materials that are expendable or consumed during the course of the project, costing less than \$5,000. See <https://cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for this program. Please limit your descriptions to 1000 characters.

Name	Cost	Qty	Sub Total	Description
	Base cost: <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total: <input type="text"/>				

Add Item

Section 14.E. Travel/Training/Conferences

Travel costs include the costs of transportation, lodging, meals, temporary dependent care, and incidental expenses incurred by personnel while on official business, such as attendance at an award-related meeting or conference when travel is further than 50 miles from program location. Travel and subsistence estimates are based on the contemplated number of trips, places to be visited, length of stay, transportation costs, subsistence allowances, and the recipient’s own travel policies. For additional guidance, please see the Uniform Guidance 2 C.F.R. § 200.474.

When charging travel costs to federal awards, award recipients must indicate the source of travel policies applied (applicant or federal travel regulations). If a recipient does not have a written travel policy, it must adhere to the Federal Travel Regulations (FTR). For information on the FTR and U.S. Government General Service Administration (GSA) per diem rates by geographic area, please visit <https://www.gsa.gov/travel/plan-book/per-diem-rates>. For all applicants (with or without a written travel policy), airfare travel costs must be one of the following: the lowest discount commercial airfare, standard coach airfare, or the Federal Government contract airfare (if authorized and available).

Temporary dependent care costs above and beyond regular dependent care that directly results from conference travels are allowable as long as the costs incurred (1) are a direct result of the individual’s travel for the federal award; (2) are consistent with the recipient’s documented travel policy for all entity travel; and (3) are only temporary during the travel period.

The only individuals traveling who should be charged in this section are ones listed in section 14.B. “Base salary and fringe benefits for civilian or nonsworn personnel” beginning on page 45. All other individuals traveling for the project, including participant and consultant travel, should be listed under section 14. F. “Contracts/Consultants” beginning on page 53.

Typically unallowable travel/training/conference costs include:

- Bar charges/alcoholic beverages
- Costs exceeding Federal Travel Regulations if no other organizational written policy is supplied that supersedes these established rates
- Credit card fees
- Food and beverages at conferences, meetings, or trainings your organization is hosting
- Foreign travel
- Local travel costs (lodging, meals, per diem, or transportation costs) within a 50-mile radius of the project location
- Mileage reimbursement, rental cars, parking fees, and/or taxi fare for local travel within a 50-mile radius of the project location

Completing section 14.E. Travel/Training/Conference

1. Click “No travel, training, or conferences requested” if you are not requesting any travel expenses.
2. **Name.** Enter name/title/purpose of the trip. Each trip should be entered as an individual entry rather than a group of trips.
3. **Registration.** Enter the amount for the registration of the training/conference attendance.
4. **Lodging.** Enter the amount for the hotel and any taxes/fees associated.
5. **Per diem.** Enter the amount for GSA-approved meals and incidentals.
6. **Transportation.** Enter all ground and air transportation as well as public transportation and parking fees.
7. **# of Staff.** Enter number of staff traveling.
8. **Subtotal.** Automatically calculates (# of staff x [registration + lodging + per diem + transportation]).
9. **Description.** Enter the purpose of the trip, proposed destination, trip duration by day/night, and list of individuals travelling as well as a detailed cost breakdown for each travel category (lodging, per diem, etc.) (limited to 1,000 characters).
 - a. Cost breakdown should include
 - mode of transportation and proposed fare per trip (airfare, train, etc.) broken down by day;
 - mileage allowances if private vehicle will be used;
 - per diem rates for the destination per day (including full per diem and travel day per diem);
 - lodging costs per night;
 - transportation fees per day;
 - parking fees per day.
 - b. For example, if the transportation is \$610, the description breakdown should include \$500/round trip flight + (3 days x \$20/day = \$60) for parking + \$30/taxi to airport + \$30/taxi from airport = \$620. If two people are traveling, then 2 should be reflected in the quantity rather than the full amount in the transportation section.
10. **Add item.** Click to add additional travel requests (repeat steps 2 through 9).
11. **Delete.** Click to delete an item.
12. Click “next” to move to section 14.F. If any required fields are not answered, they will be flagged with warning messages.

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative:

- Organizational travel policy

Figure 6 is a screenshot of the travel/training/conference budget worksheet from the online application.

Figure 6. Travel/training/conference budget worksheet

Section 14. F. Contracts/Consultants

Contract costs

Contracts include goods or services that directly contribute to the implementation or enhancement of the project. The applicant should distinguish clearly between subawards and contracts in allocating any funds to other entities. Pursuant to 2 C.F.R. § 200.330, a subaward is for the purpose of carrying out a portion of the federal award, and a contract is for the purpose of obtaining goods and services for the recipient’s own use. The substance of the relationship is more important than the form of the agreement in determining whether the recipient of the pass-through funds is a subrecipient or a contractor. Keep in mind that the awarding and monitoring of contracts must follow documented procurement procedures, including full and open competition, pursuant to the procurement standards in 2 C.F.R. §§ 200.317- 200.326, and the issuance of subawards must meet the requirements of 2 C.F.R. § 200.331.

Any recipient of an award will be responsible for monitoring subawards and contracts in accordance with all applicable statutes, regulations, and guidelines. Primary recipients will be responsible for oversight of subrecipient/partner spending and monitoring specific performance measures and outcomes attributable to the use of COPS Office funds.

All sole-source procurements of goods and services (those not awarded competitively) in excess of \$150,000 require prior approval from the COPS Office. Please see appendix S beginning on page 143 for the Sole Source Justification fact sheet.

Typically unallowable contract costs include the following:

- Construction costs
- Maintenance and/or service contracts that extend the life of the award period (multiyear contracts and extended warranties are allowable but must be paid in full within the initial award period and must not exceed the award period)

Completing section 14.F. contract costs

1. Click “No contract costs requested” if you are not requesting any contract costs.
2. **Name.** Enter name of contract.
3. **Base cost.** Enter estimated cost for the specific contract.

4. **Qty.** Enter the quantity.
5. **Subtotal.** Automatically calculates (base cost x qty).
6. **Description.** Enter the description and justification for the product or services to be procured by contract including the nature and scope of goods purchased, price proposals, and length of contract (limited to 1,000 characters). Provide any additional calculations that make up the base cost.
7. **Add item.** Click to add additional contract requests (repeat steps 2 through 6).
8. **Delete.** Click to delete an item.
9. Continue to “Consultant fees.”

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative includes the following:

- Sole Source Justification

Consultant fees

Consultant expenses include goods or services that directly contribute to the implementation or enhancement of the project. The use of a consultant should be more economical than direct employment. Compensation for individual consultant services procured under a COPS Office award must be reasonable and allocable in accordance with Office of Management and Budget (OMB) cost principles, and consistent with that paid for similar services in the marketplace. The services should be commensurate with the rate or salary paid by the primary employer.

Unless otherwise approved by the COPS Office, independent consultant rates will be approved based on the salary a consultant receives from his or her primary employer, as applicable, up to \$650 per day (*or \$81.25 per hour*). Please note that this does not mean that the rate can or should be as high as \$650 for all consultants. If individuals receive fringe benefits from their primary employer, such fringe benefit costs should not be included in the calculation of consultant rates. A consultant rate justification will need to be submitted for review and approval to the COPS Office for any consultants hired through a noncompetitive bidding process and paid more than \$650 per day prior to incurring any costs. Determinations of approval will be made on a case-by-case basis. Please see appendix S beginning on page 143 of this guide for the Consultant Rate Justification fact sheet.

Typically unallowable consultant costs include the following:

- Compensation of federal employees—this category of unallowable costs includes salary payments, consulting fees, or other compensation to full-time federal employees.

Completing section 14.F. consultant fees

1. Click “No consultant fees requested” if you are not requesting any consultant fees or expenses.
2. **Name.** Enter name of the consultant.
3. **Base cost.** Enter estimated cost for the specific consultant per day.
4. **Qty.** Enter the number of days.
5. **Subtotal.** Automatically calculates (base cost x qty).
6. **Description.** Enter the description and justification for the services to be provided; include the nature and scope of services rendered in relation to the services required for the project; necessity of contracting these services regarding the organizations capability; whether services can be performed more economically by direct employment; qualifications of individual (limited to 1,000 characters). Provide any additional calculations that make up the base cost.

7. **Add item.** Click to add additional consultant fee (repeat steps 2 through 6).
8. **Delete.** Click to delete an item.
9. Continue to “Consultant travel.”

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative includes the following:

- Consultant Rate Justification
- Consultant resumes/vitae

Consultant Travel

Consultant travel costs follow the same guidelines as section 14.E. “Travel/Training/Conferences” on page 51 but should be costs associated with consultant travel. These costs should not be reflected in the “Personnel” or “Travel” categories.

Typically unallowable consultant travel costs include the following:

- Bar charges/alcoholic beverages
- Costs exceeding Federal Travel Regulations if no other organizational written policy is supplied that supersedes these established rates
- Credit card fees
- Food and beverages at conferences, meetings, or trainings your organization is hosting
- Foreign travel
- Local travel costs (lodging, meals, per diem, or transportation costs) within a 50-mile radius of the project location
- Mileage reimbursement, rental cars, parking fees, and/or taxi fare for local travel within a 50-mile radius of the project location

Completing section 14.F. consultant travel

1. Click “No consultant travel requested” if you are not requesting any consultant travel.
2. **Name.** Enter name/title/purpose of the trip. Each trip should be entered as an individual entry rather than a group of trips
3. **Registration.** Enter the amount for the registration of the training/conference attendance.
4. **Lodging.** Enter the amount for the hotel and any taxes/fees associated.
5. **Per diem.** Enter the amount for GSA-approved meals and incidentals.
6. **Transportation.** Enter all ground and air transportation as well as public transportation and parking fees.
7. **# of Staff.** Enter number of consultants or participants traveling.
8. **Subtotal.** Automatically calculates (# of staff x [registration + lodging + per diem + transportation]).
9. **Description.** Enter the purpose of the trip, proposed destination, trip duration by day/night, and list of individuals travelling as well as a detailed cost breakdown for each travel category (lodging, per diem, etc.) (limited to 1,000 characters).
 - a. Cost breakdown should include
 - mode of transportation and proposed fare per trip (airfare, train, etc.) broken down by day;
 - mileage allowances if private vehicle will be used;
 - per diem rates for the destination per day (including full per diem and travel day per diem);
 - lodging costs per night;

- transportation fees per day;
 - parking fees per day.
- b. For example, if the transportation is \$620, the description breakdown should include \$500/round trip flight + (3 days x \$20/day = \$60) for parking + \$30/taxi to airport + \$30/taxi from airport = \$620. If two people are traveling, then 2 should be reflected in the quantity rather than the full amount in the transportation section.
10. **Add item.** Click to add additional travel requests (repeat steps 2 through 9).
11. **Delete.** Click to delete an item.
12. Continue to “Consultant expenses.”

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative includes the following:

- Organizational travel policy

Consultant expenses

All other consultant-related expenses should be included in this section such as supply and equipment requests. The same guidelines as previously stated in the above sections will apply.

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.”

Completing section 14.F. consultant expenses

1. Click “No consultant expenses requested” if you are not requesting any consultant expenses.
2. **Name.** Enter requested name of consultant-expense.
3. **Base cost.** Enter cost for the specific consultant-expense. The cost should be broken down to the lowest form.
4. **Qty.** Enter the quantity.
5. **Subtotal.** Automatically calculates (base cost x qty).
6. **Description.** Enter the consultant-expense request with a description and justification for why the consultant-expense is necessary for the success of the project (limited to 1,000 characters). Provide any additional calculations that make up the base cost.
7. **Add item.** Click to add additional consultant expense requests (repeat steps 2 through 6).
8. **Delete.** Click to delete an item.
9. Click “next” to move to section 14.G. If any required fields are not answered, they will be flagged with warning messages.

Figure 7 on page 57 is a series of screenshots of the contracts and consultants budget worksheets from the online application.

Figure 7a. Contracts/consultants budget worksheet

Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections.

F. CONTRACTS/CONSULTANTS

No Contract Costs Requested

Instructions: See <https://cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for the particular program to which you are applying. Provide a specific description in the description boxes below for each item and explain how the item supports project goals and objectives as outlined in your application. Please limit your descriptions to 1000 characters.

Contracts: Provide a cost estimate for the product or service to be procured by contract. Applicants are encouraged to promote free and open competition in awarding contracts. If awarded, requests for sole source procurements of equipment, technology, or services in excess of \$150,000 must be submitted to the COPS Office for prior approval. (See <https://cops.usdoj.gov/Default.asp?Item=46> for more information on the required submission.)

F.1. Contract Costs

Name	Cost	Qty	Sub Total	Description
	Base cost	<input type="text"/>	<input type="text"/>	
			Total	<input type="text"/>

Add Item

Figure 7b. Contracts/consultants budget worksheet

No Consultant Fees Requested

Instructions: See <https://cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for the particular program to which you are applying. Provide a specific description in the description boxes below for each item and explain how the item supports the project goals and objectives as outlined in your application. Please limit your descriptions to 1000 characters.

Consultant Fees: For each consultant enter the name (if known), service to be provided, hourly or daily fee (based upon an 8-hour day), and estimated length of time on the project. Unless otherwise approved by the COPS Office, approved consultant rates will be based on the salary a consultant receives from his or her primary employer. Consultant fees in excess of \$650 per day require additional written justification and must be pre-approved in writing by the COPS Office if the consultant is hired via a noncompetitive bidding process.

F.2. Consultant Fees

Name	Cost	Qty	Sub Total	Description
	Base cost	<input type="text"/>	<input type="text"/>	
			Total	<input type="text"/>

Add Item

Figure 7c. Contracts/consultants budget worksheet

No Consultant Travel Requested

Instructions: See <https://cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for the particular program to which you are applying. Provide a specific description in the description boxes below for each item and explain how the item supports the project goals and objectives as outlined in your application. Please limit your descriptions to 1000 characters.

Consultant Travel: List all travel-related expenses to be paid from the award to the individual consultants (e.g., transportation, meals, lodging) separate from their consultant fees.

F.3. Consultant Travel

Name	Cost	Qty	Sub Total	Description
	Registration	<input type="text"/>		
	Lodging	<input type="text"/>		
	Per Diem	<input type="text"/>	<input type="text"/>	
	Transportation	<input type="text"/>		
			Total	<input type="text"/>

Add Item

Figure 7d. Contracts/consultants budget worksheet

No Consultant Expenses Requested

Instructions: See <https://cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for the particular program to which you are applying. Provide a specific description in the description boxes below for each item and explain how the item supports the project goals and objectives as outlined in your application. Please limit your descriptions to 1000 characters.

Consultant Expenses: List all other expenses to be paid from the award to the individual consultants separate from their consultant fees and travel expenses (e.g., computer equipment and office supplies).

F.4. Consultant Expenses

Name	Cost	Qty	Sub Total	Description
	Base cost	<input type="text"/>	<input type="text"/>	
			Total	<input type="text"/>

Add Item

Section 14.G. Other costs

Items not included in the above categories but which have a direct correlation to the overall success of a recipient’s project objectives and are necessary for the project to reach full implementation will be considered on a case-by-case basis by the COPS Office. Requests that may fall under the “other” category include officer overtime, rent (see next paragraph for more details), or software purchases.

Rental costs are generally allowable under the CPD program when the costs are not included in indirect costs. Applicants should list square footage cost in the budget. The amount must be based on the space that will be allocated to implement the COPS Office project, not the costs of the entire rental space. **Rental costs are not**

allowable for property owned by the applicant or if the applicant has a financial interest in the property. In this case only the costs of ownership, including maintenance costs, insurance, depreciation, utilities, etc., are allowable costs. The applicant must indicate in the budget narrative whether or not they own the space that will be rented.

For applicants that anticipate using COPS Office funds to cover only a portion of a particular service they provide, the budget should prorate operational costs like rent and phone service accordingly.

Typically unallowable other costs include the following:

- Costs for audits not required or performed in accordance with the Office of Management and Budget (OMB) Circular A-133 or 2 C.F.R. Part 200 Subpart F – Audit Requirement are unallowable. If the applicant agency did not meet the applicable expenditure threshold during the organization’s fiscal year, the cost of any audit performed may not be charged to the award.
- Entertainment, including amusement, diversion, social activities, and any associated costs (i.e., tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities)
- Conference or event swag, including t-shirts, bags, or mugs
- Membership fees to organizations whose primary activity is lobbying
- Office rental/lease space, except for costs proportionate to work conducted under the CPD award (if included within an indirect cost rate negotiated agreement)
- Publishing services—the COPS Office provides publishing services and printing for deliverables and other project materials; therefore, these costs cannot be directly charged unless approved on a case-by-case basis.

Completing section 14.G. Other Costs

1. Click “No other costs requested” if you are not requesting any other costs.
2. **Name.** Enter requested name of item.
3. **Base cost.** Enter cost for the specific item. The cost should be broken down to the lowest form.
4. **Qty.** Enter the quantity.
5. **Subtotal.** Automatically calculates (base cost x qty).
6. **Description.** Enter the item request with a description and justification for why the item is necessary for the success of the project (limited to 1,000 characters). Provide any additional calculations that make up the base cost.
7. **Add item.** Click to add additional requests (repeat steps 2 through 6).
8. **Delete.** Click to delete an item.
9. Click “next” to move to section 14.H.

Figure 8 is a screenshot of the other costs budget worksheet from the online application.

Figure 8. Other costs budget worksheet

Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections

PREVIOUS SAVE PRINT SECTION PRINT NEXT

G. OTHER COSTS
 No Other Costs Requested
 Instructions: List other requested items that will support the project goals and objectives as outlined in your application. Provide a specific description for each item in the description boxes below and explain how the item supports the project goals and objectives as outlined in your application. Please be advised that, to the greatest extent practical, all equipment and products purchased with these funds must be American-made.
 See <https://cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for this program. Please limit your descriptions to 1000 characters.

Name	Cost	Qty	Sub Total	Description
	Base cost: <input style="width: 50px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 95%; height: 100%;" type="text"/>
			Total: <input style="width: 50px;" type="text"/>	Delete

Add Item

Section 14. H. Indirect costs

Overview of indirect costs

Indirect costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. Examples of costs usually treated as indirect include those incurred for facility operation and maintenance, depreciation, and administrative salaries.

If a cognizant federal agency has approved your negotiated indirect cost rate, the negotiated rate must be accepted by all federal awarding agencies, unless otherwise capped by federal statute or regulation.

Indirect cost rates may vary depending on your cognizant federal agency determinations. In some cases, project budgets may include more than one rate, particularly when offsite activity is conducted at a location other than the organizations premises. **Note:** Ensure the indirect calculation is in accordance with your agency's indirect cost rate agreement.

Expired indirect cost rate agreement

If your indirect cost rate agreement has expired, either you must renegotiate the rate or you may request a one-time extension from your cognizant agency. The negotiated cost rate may be extended for up to four years. Once the cognizant federal agency has approved your extension, you must abide by the rate for the agreed-upon time period. No further negotiations regarding indirect cost rates may occur until the extension has expired. At the end of the extension period, you must then negotiate a new indirect cost rate.

No approved plan

If you do not have a previously approved Federal indirect cost rate, you may negotiate an indirect cost rate with your cognizant agency or you may elect to charge a de minimis rate of 10 percent of modified total direct costs (see below for a description of modified total direct costs).

If you elect to negotiate an indirect cost rate with your cognizant federal agency, a special condition will be added to the award prohibiting the obligation, expenditure, or drawdown of funds reimbursement for indirect costs until an indirect cost rate has been approved by your cognizant Federal agency, and the appropriate notification has been made retiring the special condition.

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

If you are a nonfederal entity that has never received a negotiated indirect cost rate, except for those nonfederal entities described in 2 C.F.R. Part 200, Appendix VII to Part 200, paragraph D.1.b., you may elect to charge a de minimis rate of 10 percent of modified total direct costs (MTDC) which may be used indefinitely. When using this method, cost must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. Also, if this method is chosen then it must be used consistently for all Federal awards until such time as you choose to negotiate an indirect cost rate (which may be done at any time). See 2 C.F.R. § 200.414(f).

There is an exception: If you are a unit of local government which the Office of Management and Budget (OMB) has not assigned a cognizant Federal agency, then you are not required to submit your indirect cost proposal, unless the awarding agency requires a copy of the proposal. Please see the appropriate Appendix section in 2 C.F.R. Part 200 as listed above.

Approval of indirect cost rates for subrecipients

As the direct recipient, you are responsible for approving indirect cost rates for your subrecipients if funded. Such rates must be consistent with the requirements of 2 C.F.R. Part 200. The COPS Office will not approve indirect cost rates beyond the direct recipient level; however, subrecipients who are also direct recipients of Federal awards may already have a Federally approved indirect cost rate. If your subrecipient has negotiated an indirect cost rate with the Federal government, then that rate applies.

The subrecipient rates should not be included in this section, but rather under Section 14.F.

Calculating direct cost base

The following direct cost bases may be used as a distribution base:

- **Modified total direct cost (MTDC)**—This base that includes all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency.
- **Direct salaries and wages**—This base includes only the costs of direct salaries and wages incurred by the organization.
- **Direct salaries and wages plus fringe benefits**—This base includes the costs of direct salary and wages and the direct fringe benefits incurred by the organization.

Exclusions in direct cost bases

Applicants should pay particular attention to the two areas listed below to ensure that the application of their indirect cost rate is in compliance with the existing requirements of the government-wide award rules set out in the Office of Management and Budget (OMB) circular and regulations:

- **\$25,000 Subcontract/Subaward limitation.** For institutions of higher education and nonprofit organizations, indirect cost rates negotiated on the basis of modified total direct costs may only be applied against the first \$25,000 of any subcontract or subaward under the agreement. This limitation must be applied to all conference related subcontracts and subawards, including those with hotels and travel agents. (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.400 et seq.)
- **Participant support costs.** For nonprofit organizations, in accordance with 2 C.F.R. part 200, Appendix IV to 2 Part 200, paragraph B.2.c.—Indirect (F&A) Costs Identification and Assignment and Rate Determination for Nonprofit Organizations: “The distribution base may be total direct costs (excluding capital expenditures and other distorting items, such as [contracts or] subawards for \$25,000 or more), direct salaries and wages, or other base which results in an equitable distribution. The distribution base must exclude participant support costs as defined in § 200.75 Participant support costs.”

Please note that only employees of the nonprofit organization are excluded from the definition of participant support costs. Costs related to contractors of the nonprofit organization who are acting in the capacity of a conference trainer/instructor/presenter/facilitator are considered participant support costs. For more information on allowable costs for conferences and training, please visit https://ojp.gov/financialguide/doj/pdfs/DOJ_FinancialGuide.pdf.

If you need additional information on an indirect cost rate negotiated agreement, go to the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/doj/index.htm>.

Completing section 14.H. Indirect Costs

1. Click “No indirect costs requested” if you are not requesting any indirect costs.
2. **Indirect cost description.** Enter type of indirect cost rate (provisional, final, predetermined, fixed, etc.).
3. **Budget base total (\$).** Enter base direct cost (see previous guidance on how to determine the direct cost).
4. **Indirect rate (%).** Enter the indirect cost rate percentage (no more than two decimal points).
5. **Approved indirect cost.** Automatically calculates (budget base total x indirect rate %). The calculation should be entered for both base costs and indirect rate % (for example, .25 x 100,000), rather than 1 multiplied by the indirect cost rate (for example, 1 x 25,000).
6. **Description.** Enter the description and breakdown of calculation (limited to 1,000 characters). Provide any additional calculations that make up the base cost. Include the expiration date and the cognizant agency name.
7. **Add item.** Click to add additional indirect cost rate requests (repeat steps 2 through 6). For institutions of higher education and other institutions where multiple indirect rates are applied, please enter each indirect rate as a separate line item with calculation breakdown and description for which each rate applies.
8. **Delete.** Click to delete an item.
9. Click “next” to move to section 14.S. If any required fields are not answered, they will be flagged with warning messages.

Additional documentation that may need to be uploaded to section 13 outside of the Budget Narrative includes the following:

- Current, signed, federally approved indirect cost rate negotiated agreement
- If your agency does not have a provisional or current indirect cost rate negotiated agreement or it is expired and under review, the applicant must submit supporting documents to show the applicant’s cognizant federal agency is reviewing the request.

Figure 9 on page 62 is a screenshot of the indirect costs budget worksheet from the online application.

Figure 9. Indirect costs budget worksheet

Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections

PREVIOUS SAVE PRINT SECTION PRINT NEXT

H. INDIRECT COSTS

No Indirect Costs Requested

Instructions: In the description box, please provide the following information: Type of rate (provisional, final, predefinite, fixed, etc.), the indirect cost rate base, the rate percentage for each location, the effective period, and the cognizant agency name. Indirect costs are allowed under a very limited number of specialized COPS Office programs. Please see <http://www.cops.usdoj.gov/01total.asp?Item=48> for a list of allowable/unallowable costs for the particular program to which you are applying.
If your organization is requesting indirect costs for this project, please include a copy of your current, signed federally approved Indirect Cost Rate Negotiated Agreement as an attachment in Section 13. If the applicant does not have an approved rate, a rate can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization. Please limit your description to 1000 characters.

Indirect Cost Description	Budget Base Total (\$)	Indirect Rate (%)	Approved Indirect Cost	Description (Explain how this item supports the project goals and objectives)
	Base cost: 0.00	0.00	0.00	Delete
			Total: 0.00	

Add Item

Section 14.S. Budget Summary

You will be able to review the category totals and the total project costs under this section.

Completing section 14.S. –

1. Verify the budget category totals. If you need to revise a budget category, you can use the “Navigation Menu” on the left to skip to different sections.
2. **Contact information for budget questions (required).** Enter the contact information of the financial official that the COPS Office may contact with questions related to the budget submission. You may be contacted during the review process regarding your budget. This process is part of the “Application review information” section. This should not be interpreted as an indication of funding.
3. Click “next” to move to section 15A. If any required fields are not answered, they will be flagged with warning messages.

NOTE: Do not use hyphens (-) when entering phone numbers.

Figure 10 is a screenshot of the budget summary from the online application.

Figure 10. Budget summary

Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections

PREVIOUS SAVE PRINT SECTION PRINT NEXT

S. BUDGET SUMMARY

Instructions: Please review the category totals and the total project costs below. If the category totals and project amounts shown are correct, please continue with the submission of your application. Should you need to make revisions to a budget category, please return to the Budget Detail Worksheet.

Section	Budget Category	Category Total	
A. Sworn Officer Positions		\$0.00	
B. Non-Sworn Personnel		\$54643.00	
C. Equipment & Technology		\$0.00	
D. Supplies		\$0.00	
E. Travel & Training		\$234.00	
F. Contracts & Consultants		\$395.00	
G. Other Costs		\$0.00	
H. Indirect Costs		\$0.00	
Total Project Amount:		\$55272.00	
Total Federal Share Amount:		\$55272.00	100.000000%
(Total Project Amount X Federal Share Percentage Allowable)			
Total Local Share Amount (if applicable):		\$0.00	0.000000%
(Total Project Amount - Total Federal Share Amount)			

Contact Information for Budget Questions
Please provide contact information of the financial official that the COPS Office may contact with questions related to your budget submission.

First Name:

Last Name:

Title:

Telephone Number:

Fax:

Email Address:

Reminder: If you have changed, added, or removed any items in this section, please click "Save" before moving to other sections

PREVIOUS SAVE PRINT SECTION PRINT NEXT

Section 15. Assurances and Certifications

Applicants to COPS Office programs are required to sign the standard Assurances and Certifications forms. Signing these documents assures the COPS Office that you have read and understood and that you accept the award terms and conditions as outlined in the Assurances and Certifications.

Please read these documents carefully, as signatures on these documents are treated as material representation of fact upon which reliance will be placed when the U.S. Department of Justice determines to award the covered award. See “Award Terms and Conditions/Funding Restrictions/Administrative Requirements” beginning on page 77, appendix E beginning on page 112, and appendix F beginning on page 114 for the full assurances and certifications.

Section 15.A. U.S. Department of Justice Certified Standard Assurances

Completing section 15.A.

1. Review each provision carefully.
2. **Signature of Law Enforcement Executive/Agency Executive** (required). Enter the name of the law enforcement executive/agency executive. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
3. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).
4. **Signature of Government Executive/Financial Official** (required). Enter the name of the government executive/financial official. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
5. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).
6. Click “next” to move to section 15.B. If any required fields are not answered, they will be flagged with warning messages.

NOTE: When entering the signatures, they must match exactly with the name in the COPS Office Agency Portal including capitalizations.

Section 15.B. U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Completing section 15.B.

1. Review each provision carefully. Please note that if the applicant is unable to certify to any of the statements in the DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS and FEDERAL TAXES sections of this certification form, it must attach an explanation in section 13 of this application. If the applicant or any of its principals was convicted, within a three-year period preceding this application, of a felony criminal violation under any Federal law, it must disclose such felony criminal conviction in writing to the COPS Office at AskCopsRC@usdoj.gov, unless such disclosure has already been made. If the applicant is a corporation, it must also provide written notice of any unpaid tax liability (or liabilities) to the COPS Office at AskCopsRC@usdoj.gov.
2. **Signature of Law Enforcement Executive/Agency Executive** (required). Enter the name of the law enforcement executive/agency executive. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
3. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).

4. **Signature of Government Executive/Financial Official** (required). Enter the name of the government executive/financial official. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
5. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).
6. Click “next” to move to section 16A. If any required fields are not answered, they will be flagged with warning messages.

NOTE: When entering the signatures, they must match exactly with the name in the COPS Office Agency Portal including capitalizations.

Section 16A. Disclosure of lobbying activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. § 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with a covered federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

If this applies to your agency, you are required to complete the disclosure form. If you need to submit additional forms, please submit them as attachments to your application online in section 13, “Application attachments.”

Please see appendix G beginning on page 117 of this guide for a blank SF-LLL, Disclosure of Lobbying Activities form.

Completing section 16.A.

1. Review each provision carefully.
2. If you do not need to disclose lobbying activities pursuant to 31 U.S.C. § 1352, continue to step 3. If you do need to disclose, skip to step 4.
3. Click the “Not Applicable” box at the bottom of the page if there is no need to disclose lobbying activities. Skip to step 22 to continue.
4. **Type of Federal Action.** Select the appropriate type of federal action.
5. **Status of Federal Action.** Select the appropriate status.
6. **Report Type.** Select the appropriate report.
7. If you selected “material change” in step 6, continue to step 8. If you did not, skip to step 11.
8. **Year.** Enter the year (YYYY).
9. **Quarter.** Enter the quarter.
10. **Date of last report.** Enter the date of the last report (MM-DD-YYYY).
11. **Name and Address of Reporting Entity.** Enter the name and address for the reporting entity.
 - a. *Prime or Subawardee.* Select the appropriate reporting entity.
 - b. *Subawardee Tier, if known.* If *Subawardee* is selected, enter the subawardee tier, if known (no more than 10 characters).
 - c. *Congressional District.* Enter the Congressional District (number) if known (no more than 10 characters).

12. **If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime.** Enter the name and address for the subawardee.
 - a. *Congressional District.* Enter the Congressional District (number) if known.
 - b. *Federal Department/Agency.* Enter the Federal Department/Agency (no more than 30 characters).
13. **Federal Program Name/Description.** Enter the federal program name/description (no more than 30 characters). *CFDA Number.* If applicable, enter the CFDA Number.
14. **Federal Action Number, if known.** Enter the federal action number.
15. **Award Amount, if known.** Enter the award amount to the nearest dollar.
16. **Name and Address of Lobbying Registrant.** Enter the name and address of the lobbying registrant. If the registrant is an individual, include the last name, first name, and middle initial (no more than 250 characters).
17. **Individuals Performing Services.** Enter the individuals performing the services. If this is different from Step 16, include the last name, first name, and middle initial (no more than 250 characters).
18. **Signature** (required). Enter the name of the certifying official. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
19. **Title** (required). Enter the title for the signatory (no more than 40 characters).
20. **Telephone Number** (required). Enter the phone number (XXXXXXXXXX).
21. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).
22. Click “next” to move to section 16B. If any required fields are not answered, they will be flagged with warning messages.

Section 16B: Certification of Compliance with 8 U.S.C. § 1373

All state or local government entity applicants (e.g., police departments, sheriff’s departments, state police) and all non-state or local government entities that intend to use Community Policing Development (CPD) funds to make subawards to a state or local government entity are required to certify compliance with 8 U.S.C. § 1373 regarding prohibitions or restrictions on sending to, requesting or receiving from, maintaining, or exchanging information on citizenship or immigration status, including any prohibitions or restrictions imposed or established by a state or local government entity or official. State or local government subrecipients must also certify compliance with 8 U.S.C. §1373.

For state and local government CPD Applicants: This certification must be completed by the **governing** body’s chief legal officer. The Chief Legal Officer is the primary/highest ranking attorney for the governing body that governs any state or local law enforcement applicant (e.g., City Attorney, County Attorney, State Attorney General) or for the entity that is applying for funds and will make subawards to a State or local government entity (e.g., General Counsel for a non-profit organization that will make subawards to a City or County). *(Please note that the Certification may not be completed by a law enforcement agency attorney – the Chief Legal Officer must represent the governing body.)*.

- a. *Set up a new user and roles in the COPS Office Agency Portal at <https://portal.cops.usdoj.gov/>. Establish accounts for the law enforcement executive (LE)/program official (PO), government executive (GE)/ financial official (FO), and chief legal officer (CLO).*

- b. *Set up an e-signature in the COPS Office Agency Portal at <https://portal.cops.usdoj.gov/>. Establish an electronic signature for all officials (LE/PO, GE/FO, and CLO). This is critical as it enables your agency to sign important documents in the application process.*

For non-state or local government entities (e.g., Tribal, nonprofit, private) that will use CPD funds to make subawards to a state or local government entity, the Certification process will occur in two steps:

- a. The applicant entity's chief legal officer must complete the Certification in the application to acknowledge that 8 U.S.C. § 1373 will apply to any state or local government subrecipient.
- b. Each state or local government subrecipient's chief legal officer (e.g., City or County Attorney) must submit a separate certification regarding its compliance with 8 U.S.C. § 1373. Each applicant that has already identified state or local government subrecipients must do the following:
 - a) Print the Certification of Compliance with 8 U.S.C. § 1373 form for Subrecipients from Appendix Q or on the COPS Office website at <https://cops.usdoj.gov/default.asp?Item=2450>;
 - b) Provide the Certification to each state or local government subrecipient;
 - c) Ensure that the subrecipient's chief legal officer completes the certification before the application deadline; and
 - d) Upload the subrecipient certification(s) as attachment(s) in Section 13 of the online application system.

If the applicant has not yet identified subrecipients, the COPS Office will coordinate the subrecipient certification process post-award. Access to subrecipient funding will be contingent upon submission of completed Certifications from all state or local subrecipients.

We strongly recommend notifying the applicant's (and, as applicable, state or local subrecipients') chief legal officer of this certification requirement as soon as the CPD application period opens so that they may conduct the required reviews necessary for completing the certification(s) before the application deadline.

Please contact the COPS Office Legal Division at 202-514-3750 if you have any questions regarding this requirement.

The use of typed names in this application and the required forms, including the Assurances, Certifications, and Disclosure of Lobbying Activities form, constitute electronic signatures and the electronic signatures are the legal equivalent of handwritten signatures.

Completing section 16.B.

1. Review each provision carefully.
2. Click either of the appropriate boxes at the top of the page:
 - a. The applicant entity is a State or local government entity OR will use these funds, if awarded, to make subawards to a State or local government entity (Certification Required).
 - b. The applicant entity is a Tribal entity, non-profit entity, private entity, or other entity that is not a State or local government entity AND will not use these funds, if awarded, to make subawards to a state or local government entity (Certification Not Required).
3. If the first option in step 2 is selected, certification is required and you will need to continue to step 4. If the second option in Step 2 is selected, certification is not required and you can skip to step 8.
4. **Signature of Chief Legal Official** (required). Enter the name of the chief legal official. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
5. **Date of Certification** (required). Enter the date of the electronic signature.
6. **Title of Chief Legal Officer** (required). Enter the title of the Chief Legal Officer.
7. **Name of Applicant Entity**. This will automatically appear based on the information in the COPS Office Online Agency Portal.
8. Click “next” to move to section 16C. If any required fields are not answered, they will be flagged with warning messages.

NOTE: When entering the signatures, they must match exactly with the name in the COPS Office Agency Portal including capitalizations.

Section 16C. Certification of 287(g) Partnership and Certification of Illegal Immigration Cooperation

Within the Field Initiated Law Enforcement Microgrant program, priority consideration may be given to state or local applicants that cooperate with federal law enforcement to address illegal immigration.

Completing section 16.C.

State and local law enforcement agency applicants have the opportunity to receive additional points based on their cooperation with federal immigration officials to address illegal immigration.

A. State or local law enforcement agency applicants may receive additional points if the agency has a 287(g) partnership, defined for this purpose as a partnership with the U.S. Department of Homeland Security (“DHS”) under 8 U.S.C. § 1357(g)(1) whereby officers of the applicant entity are delegated limited immigration officer authority to identify and process for removal aliens in the custody of the entity named below under the direction and supervision of DHS, documented with the official 287(g) Memorandum of Agreement with the Department of Homeland Security Immigration and Customs Enforcement. To receive these additional points, please complete the following:

By checking this box I certify that this law enforcement agency applicant has a 287(g) Partnership documented with the official 287(g) Memorandum of Agreement with the Department of Homeland Security Immigration and Customs Enforcement as of the date that this application is submitted.

B. State and local law enforcement agency applicants may be eligible to receive additional points by certifying willingness to cooperate with federal immigration officials within their detention or correctional facilities. To be eligible to receive these additional points, your agency must operate a detention or correctional facility, defined

for this purpose as a prison or jail in which individuals are fingerprinted and detained for periods of 24 hours or longer. To determine whether your agency is eligible to receive these additional points, please complete the following:

Yes, my agency operates its own detention or correctional facility (a prison or jail in which individuals are fingerprinted and detained for periods of 24 hours or longer).

[this response will then unlock the ICC form option]

No, my agency does not operate a detention or correctional facility (a prison or jail in which individuals are fingerprinted and detained for periods of 24 hours or longer).

[this response will not unlock the ICC and will provide a message re: ineligibility]

Section 17. Reviews and Certifications

Please be advised that an application may not be funded or, if awarded, a hold may be placed on this application if it is deemed that the applicant is not in compliance with federal civil rights laws, is not cooperating with an ongoing federal civil rights investigation, or is not cooperating with a U.S. Department of Justice award review or audit.

Applicants must certify whether or not their agency will use COPS Office funds (if awarded) to operate an interjurisdictional criminal intelligence system. If yes, the applicant assures the COPS Office that it will comply with the requirements of 28 C.F.R. Part 23.

The signatures of the law enforcement executive/agency executive, government executive/financial official, and the person submitting this application on the reviews and certifications represent to the COPS Office that

- the signatories have been legally and officially authorized by the appropriate governing body to submit this application and act on behalf of the award applicant entity;
- the applicant will comply with all legal, administrative, and programmatic requirements that govern the applicant for acceptance and use of federal funds as outlined in the applicable COPS Office application guide, the COPS Office award owner's manual, Assurances, Certifications, and all other applicable program regulations, laws, orders, and circulars;
- the applicant understands that false statements or claims made in connection with COPS Office programs may result in fines; imprisonment; debarment from participating in federal awards, cooperative agreements, or contracts; and/or any other remedy available by law to the Federal Government;
- the information provided in this application, including any amendments, shall be treated as material representations of fact upon which reliance will be placed when the U.S. Department of Justice determines to award the covered award;
- the applicant understands that as a general rule COPS Office funding may not be used for the same item or service funded through another funding source;
- the applicant and any required or identified official partner(s) listed in section 12 are partners in this award project and mutually agreed to this partnership prior to this award application.

The signatures of the law enforcement executive/agency executive and the government executive/financial official in the application must be the same as those identified in section 4 of the application. Applications with missing, incomplete, or inaccurate signatories or responses may not be considered for funding.

The use of typed names in this application and the required forms, including the Assurances, Certifications, and Disclosure of Lobbying Activities form, constitute electronic signatures and the electronic signatures are the legal equivalent of handwritten signatures.

Completing section 17

1. Review each provision carefully.
2. **Certification of Review of 28 C.F.R. Part 23/Criminal Intelligence Systems** (required). Check the appropriate option of the agency's intended use of this award.
3. **Signature of Law Enforcement Executive/Agency Executive** (required). Enter the name of the law enforcement executive/agency executive. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
4. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).
5. **Signature of Government Executive/Financial Official** (required). Enter the name of the government executive/financial official. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
6. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).
7. Click on the box at the end of the page stating that the applicant understands that the use of typed names in this application and the required forms, including the Assurances, Certifications, and Disclosures of Lobbying Activities form, constitute electronic signatures and that the electronic signatures are the legal equivalent of handwritten signatures.
8. Click "next," and submit on the next page. If any required fields are not answered, they will be flagged with warning messages.

NOTE: When entering the signatures, they must match exactly with the name in the COPS Office Online System including capitalizations.

Section 18. Application Data Verification—Not applicable at time of application

After submission of this application, the COPS Office may require your department to verify data provided in the application. This section is to be completed once the data has been reviewed, confirmed, and/or updated. Failure to respond to the request may eliminate the application from 2018 funding consideration. The purpose of this section is to confirm the following:

- That the person reviewing, confirming, and/or updating the data is authorized by the appropriate governing body to act on behalf of the award applicant entity
- That the information provided, including any amendments, be treated as material representations of fact upon which reliance will be placed when the U.S. Department of Justice determines to award the covered award
- That the applicant understands that false statements or claims made in connection with COPS Office programs may result in fines; imprisonment; debarment from participating in federal awards, cooperative agreements, or contracts; and/or other remedy available to by law to the Federal Government

Submitting the application

Before you submit your application, the system will flag any validation errors.

Please return to each identified page using the table of contents on the left side of the page. Once you fix the error, immediately click “next” on the identified page to re-run the validation routine. If any required fields are not answered, they will be flagged with warning messages. In this case, answer these required fields and click “next” again. You will move to the next section. Once you have responded to all of the validation error flags, return to section 17 and click “next.” **You will not be able to submit your application until all validation issues are corrected.**

After completing the second part of the application and clicking “Submit,” applicants will receive a message stating “Your application has been successfully recorded.” The confirmation page will also provide the submission date, ORI number, confirmation number, and program type.

Applicants will have the opportunity to print a copy of the application prior to submission and another copy of the application after it has been submitted. Note: If Internet access is not available to print a copy of the application package, please contact the Response Center at 800-421-6770 to request that a printed copy be sent to you.

The COPS Office will not accept applications submitted via mail or email. Printing off the application is only for reference.

If you “edit” your application once it is submitted and prior to the application deadline, you will need to resubmit the application in order to rerun the validation checks and to ensure the application submission timestamp reflects the most current edits.

Application deadline

All completed applications must be submitted by **June 7, 2018 at 7:59 p.m. EDT**. Applications submitted after 7:59 p.m. EDT on **June 7, 2018** will not be considered for funding.

Late submissions

The COPS Office offers a process for CPD applicants to provide advance notice to the COPS Office if receipt of their application will be delayed due to unforeseen COPS Office Online Application System technical issues. Applicants must provide notice prior to the close of the solicitation. If applicants do not provide advance notice to the COPS Office about an issue that may cause a delay in the submission of the application, the application will not be considered for funding. If applicants follow the steps outlined as follows, submission may be considered. Extension of deadlines is not guaranteed.

Experiencing unforeseen COPS Office Online Application System technical issues

If you experience unforeseen COPS Office Online Application System technical issues beyond your control that prevent you from submitting your application by the deadline, **please immediately contact the COPS Office Response Center at 800-421-6770 to create a record of the issue.** You will need to provide the following information to the COPS Office Response Center:

- ORI
- Agency name
- Point of contact name and contact information
- Application ID
- Nature of technical issues

The COPS Office will respond to each applicant as soon as possible with an approval and instructions for submission, or a rejection. If the technical issues you reported cannot be validated, your request for an extension will be rejected. Any requests to submit applications after the deadline because of technical issues will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are *not* valid reasons for extensions of the submission deadline: (1) failure to begin the registration process in sufficient time; (2) failure to follow the COPS Office Online Application System instructions on how to register and apply as posted on its website; (3) failure to follow all of the instructions in the CPD solicitation, including the CPD application guide; (4) failure to register or update information on the SAM website; and (5) failure to register or complete SF-424 in Grants.gov.

Notifications regarding known technical problems with COPS Office Online Application System will be posted on <https://portal.cops.usdoj.gov/> and <https://cops.usdoj.gov/default.asp?Item=2895>.

No late submission requests will be considered once the CPD application closes.

Extraordinary natural or manmade disasters

In cases of extraordinary natural or manmade disasters, such as extreme weather emergencies or mass casualty events, applicants may request to submit applications late by sending an email to AskCopsRC@usdoj.gov. Applicants will need to follow these directions:

- Send email directly to AskCopsRC@usdoj.gov
- The subject line should read “FY18 CPD Extraordinary Circumstances: ORI, Agency Name, Application ID,” with your specific ORI, organization name, and application ID included in the subject line.
- Message: The message should include the following information:
 - ORI
 - Agency name
 - Application ID
 - Nature of the disaster and how it affected the applicant’s ability to submit an application on time

The email message must be sent by the deadline or as soon as possible given the specific emergency. The COPS Office will respond to each applicant as soon as possible with an approval and instructions for submission or a rejection of the request for late submission.

Application Review Information

The COPS Office is committed to ensuring a fair and open process for making awards. The COPS Office will review the application to make sure that the information presented is reasonable, understandable, measurable, achievable, and consistent with the solicitation.

Review process

Once the solicitation closes, COPS Office staff screen and score applications for compliance with basic minimum requirements (as described under “Review Criteria” beginning on page 73). For non-microgrant applications, a total score of 4 is a passing score, and for microgrant applications, a total score of 3 is a passing score. Any applications that do not pass the basic minimum requirements will be reviewed by a COPS Office senior manager as a final check for concurrence.

Peer review panels will evaluate, score, and rate applications that meet the basic minimum requirements. The COPS Office may use internal peer reviewers, external peer reviewers, or a combination to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given topic area who is not a current federal employee. An internal reviewer is a current federal employee who is well-versed or has expertise in the subject matter of the topic area. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully.

Prior to award, applications for potential awards will receive a financial integrity review to evaluate the fiscal integrity and financial capability of applicants and to examine proposed costs and the extent to which the budget detail worksheet and narrative accurately supports and explains project costs. This review will also assess whether costs are reasonable, necessary, and allocable under applicable federal cost principles and agency regulations. This financial review will be conducted by COPS Office staff.

Past performance on previous awards may be an indicator in this review process. Financial and programmatic performance factors may be included in the past performance review. The COPS Office may contact applicants regarding budget and financial questions as part of the review process. This outreach is not an indication of funds or awarding decisions.

Within the Field Initiated Law Enforcement Microgrant program, priority consideration may be given to state or local applicants that cooperate with federal law enforcement to address illegal immigration.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Director of the COPS Office, who may also give consideration to factors including underserved populations, population served, geographic diversity, strategic priorities, past performance, risk, and available funding when making awards.

Pursuant to the Part 200 Uniform Guidance, before award decisions are made, the COPS Office also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant with one or more prior federal awards has a satisfactory record with respect to performance, integrity,

and business ethics, the COPS Office checks whether the applicant is listed in SAM as excluded from receiving a federal award. The COPS Office also must review and consider any information about the applicant that appears in the nonpublic segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System, “FAPIS”).

All award decisions are final and not subject to appeal.

Review criteria

Applications will receive a basic minimum requirement score. In order to pass the basic minimum requirements review, the following requirements must be met (point allocation in italics):

- **Application must include a project narrative attached in section 13.** The project narrative must meet the page maximums and minimums as well as the other requirements set forth in the application guide. Note: the Project Abstract under section 10 will not be reviewed during this review and will not count as a project narrative. See “Application and Submission Information” beginning on page 19 for the other requirements. *1 point*
 - For non-microgrant applications: no more than 20 pages and no fewer than 10 pages for the project narrative
 - For microgrant applications: no more than 10 pages and no fewer than 2 pages for the project narrative
- **Project narrative must include a cover page.** Each application must have a cover page that includes the title of the application and identifies the CPD solicitation topic/subtopic for which the applicant is applying. The CPD solicitation topic identified on the cover page must match the CPD topic selected in Section 1 of the COPS Office Online Application System. *1 point*
- **Separate budget narrative that is 60 percent or more allowable.** Sixty (60) percent or more of the budget must be allowable costs and should be at or below the maximum budget amounts. See “Application and Submission Information” beginning on page 19 for the allowable and unallowable costs. *1 point*
- **Applicant is an eligible organization (microgrant applications only).** The applicant is a state, local, or tribal law enforcement agency. *1 point*

Non-microgrant applications must receive a score of 3 and microgrant applications must receive a score of 4 to pass to the next round. You must meet all of the stated requirements to proceed to the next round.

If an application fails to meet the basic minimum requirements, it will not advance to the consensus peer review phase.

CPD applications that meet eligibility and basic minimum requirements will be evaluated and ranked by peer reviewers. Peer reviewers will be asked to review applications based on the application topic and the goal of the CPD program to develop the capacity of law enforcement to implement community policing strategies by providing guidance on promising practices through the development and testing of innovative strategies; building knowledge about effective practices and outcomes; and supporting new, creative approaches to preventing crime and promoting safe communities. Reviewers will also be asked to consider the topic-specific solicited goals, objectives, and deliverables described in the solicitation language.

CPD applications will be evaluated based on the following merit criteria, which the applicant addresses in their application, project narrative, budget narrative, budget worksheets, and other attachments. Although not an exhaustive list, at a minimum, reviewers will be asked to evaluate the following:

- **Topic selection and outcome identification and justification. 10 percent**
 - Clear identification of one application topic area
 - Clear description of the outcome(s) that will be achieved
 - Articulation of the gap in existing knowledge and/or practice and why this project is necessary
 - How this project addresses the topic-specific goals and objectives described in the solicitation
 - Innovation and originality of the proposed work
 - Demonstrated understanding of how this project will build upon, expand, and/or incorporate the principles of community policing
 - Where applicable, data to support the problem or gap and what has been done previously to address it

- **Strategy to achieve program outcomes and goals. 30 percent**
 - Identification of specific goals that will be directly accomplished if funding is awarded
 - Comprehensive description of the overall strategy and specific activities of the proposed work
 - Description of the proposed deliverables and how they will meet the topic-specific objectives outlined in the solicitation.
 - Using empirical evidence or analogous estimations, demonstrating a clear link between the proposed activities and the identified program outcomes and goals

- **Capacity and experience. 25 percent**
 - Demonstrated experience and capacity to carry out the proposed activities, including ability to conduct a substantive programmatic meeting, produce practitioner friendly reports, facilitate meetings or forums of varying sizes with law enforcement professionals, and produce curriculum or deliver effective training on a specified topic as relevant to the topic-specific goals and proposed deliverables.
 - Project staff, contractors, or consultants have relevant expertise, knowledge, and skills to achieve project goals and produce proposed deliverables
 - Demonstrated capacity to effectively implement their proposed project and communicate their results to the intended audience.
 - Demonstrated history of success in achieving similar outcomes working with the COPS Office or other federal and nonfederal funding

- **Management and implementation plan. 20 percent**
 - Comprehensive management and implementation plan for the project including how the applicant will ensure effective implementation of the project
 - Provides a brief timeline with a list of key activities and milestones to take place within the award performance period (24 months for all awards under this solicitation, except for microgrants, which are 12 months), grouped by month or quarter
 - Includes system or methodology on how applicant will maintain timelines either through a tracking system or similar options
 - Identification of any key partnerships or stakeholders who will play a role in the implementation of this project and their responsibilities

- Description of a marketing plan for the deliverable(s) to ensure broad dissemination of the product(s) to the target audience(s), where applicable
- Identification of relevant work, subject matter expertise, and training experience of instructor(s) for all applications that include the production of reports, guidebooks, web content, training, or other substantive knowledge products
- Inclusion of resumes/vitae for key staff (up to three) and vetting procedures employed by the applicant to ensure appropriateness of staff
- **Effectiveness of program. 5 percent**
 - Creation of clear measures to track and define the success of the project
 - Identification of an evaluation plan of the deliverables developed under this award and how they would assist law enforcement in implementing or institutionalizing community policing
 - Identification of how data and information will be collected, tracked, and reported to the COPS Office and how these measures are consistent with the COPS Office performance measure to advance the capacity of law enforcement to practice community policing (see “Performance Measures” section)
- **Budget. 10 percent**
 - Provides a detailed budget narrative with costs that are appropriate, allowable, and reasonable relative to the level of effort
 - Provides justification for amount requested detailing how costs were estimated and how these costs are critical to the completion of the project
 - Submits complete budget worksheets that match the accompanying budget narrative
 - Demonstrates cost effectiveness in relation to potential alternatives and the goals of the project
 - If applicable, provide a current indirect cost rate agreement, sole source justification, and consultant rate justification

Review process for invitational applications

This topic area is invitation-only. The COPS Office reviews applications for the same elements as the requirements outlined for the competitive applications to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the invitation to apply and any associated program(s).

The COPS Office reviews CPD—Invitational applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include the following:

- Financial stability and fiscal integrity
- Quality of management systems and ability to meet the management standards prescribed in the DOJ Grants Financial Guide
- History of performance
- Reports and findings from audits
- The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on nonfederal entities
- Proposed costs to determine if the budget detail worksheet and budget narrative accurately explain project costs and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

All final award decisions will be made by the Director of the COPS Office, who may consider factors including underserved populations, geographic diversity, strategic priorities, past performance under prior COPS Office awards, and available funding when making awards.

In addition, prior to making any competitive or invitational award, any information about applicants that is in the designated integrity and performance system accessible through SAM will be reviewed and considered. Applicants may review and comment on any information about them in SAM that a federal awarding agency previously entered in the designated integrity and performance system, and such applicant comments will also be reviewed and considered.

Award Terms and Conditions/Funding Restrictions/Administrative Requirements

Terms and conditions

The following section describes the compliance terms and conditions that applicants should be aware of before applying to COPS Office programs. Table 4 further defines which of the requirements are applicable to the program for which you are applying. Please review each section carefully. The signatures of the applicant’s Authorized Organizational Representative, Law Enforcement Executive/Program Official, and Government Executive/Financial Official on section 17: Reviews and certifications assure the COPS Office that your agency will comply with all legal and administrative requirements that govern the applicant for acceptance and use of federal award funds.

Table 4. Compliance terms and conditions

Key: Y = Yes; N = No

	FY 2018 Program	CPD
I. U.S. Department of Justice Certified Standard Assurances		Y
II. U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; And Drug-Free Workplace		Y
III. Disclosure of Lobbying Activities		Y (if applicable)
IV. Supplementing, Not Supplanting		Y
V. Procurement and Sole Source Justification		Y
VI. Criminal Intelligence Systems		Y
VII. Certification to Mitigate Possible Adverse Health Safety & Environment Impacts (if applicable)		N
VIII. Community Policing Self-Assessment Tool (CP-SAT)		N
IX. System for Award Management (SAM) and Universal Identifier Requirements		Y
X. Federal Funding Accountability and Transparency Act (FFATA) - Reporting Subaward and Executive Compensation		Y
XI. Contract Provisions		Y
XII. Prior Approval Planning and Reporting of Conference/Meeting/Training Costs		Y
XIII. Curriculum Development		Y
XIV. Restriction on Internal Confidentiality Agreements		Y
XV. Mandatory Disclosure		Y
XVI. Debarment and Suspension		Y
XVII. Recipient Integrity and Performance Matters		Y
XVIII. False Statements		Y
XIX. Duplicative Funding		Y
XX. Additional High-Risk Awardee Requirements		Y
XXI. Modification		Y
XXII. Evaluations		Y
XXIII. Allowable Costs		Y
XXIV. Local Match		N
XXV. Equal Employment Opportunity Plan		Y
XXVI. Employment Eligibility		Y

FY 2018 Program	CPD
XXVII. Enhancement of contractor protection from reprisal for disclosure of certain information	Y
XXVIII. Federal Civil Rights	Y
XXIX. Conflict of Interest	Y
XXX. Reports/Performance Goals	Y
XXXI. Extensions	Y
XXXII. Computer Network Requirement	Y
XXXIII. Award Monitoring Activities	Y
XXXIV. Community Policing	N
XXXV. Retention	N
XXXVI. Contracts and/or MOUs with Other Jurisdictions	N
XXXVII. Travel Costs	Y
XXXVIII. State Information Technology Point of Contact	Y
XXXIX. Public Release Information	Y
XL. News Media	Y
XLI. Paperwork Reduction Act Clearance and Privacy Act Review	Y
XLII. Copyright	Y
XLIII. Human Subjects Research	Y
XLIV. Compliance with 8 U.S.C. § 1373	Y

I. & II. Assurances and Certifications (also refer to “section 15: U.S. Department of Justice Certified Standard Assurances and U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; And Drug-Free Workplace Requirements” of this application guide and Standard Application forms.)

Applicants to COPS Office programs are required to sign the standard Assurances and Certifications forms. Signing these documents assures the COPS Office that you have read and understood and that you accept the terms and conditions as outlined in the Assurances and Certifications. Please read these documents carefully, as signatures on these documents are treated as material representation of fact upon which reliance will be placed when the U.S. Department of Justice determines to make an award.

III. Disclosure of Lobbying Activities (also refer to section 16A “Disclosure of lobbying activities” of this Application Guide and Standard Application forms.)

This disclosure form shall be completed by the reporting entity, whether subrecipient or prime federal recipient, at the initiation or receipt of a covered federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. § 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with a covered federal action. Complete all items that apply for both the initial filing and material change reports. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

If this applies to your agency, you are required to complete the disclosure form in section 16A of the application. If you need to complete and submit additional forms, please complete and submit them as attachments to your application online.

If this applies to your agency, you are required to complete the disclosure form in section 16A of the application. If you need to complete and submit additional forms, please complete and submit them as attachments to your application online.

Please be advised that all recipients and subrecipients must comply with the provisions of 2 C.F.R. § 200.450 Lobbying, as appropriate, regarding unallowable costs under the Federal award associated with lobbying or influencing activities. Additional restrictions in 2 C.F.R. § 200.450(c) are applicable to nonprofit organizations and institutions of higher education.

IV. Supplementing, Not Supplanting

COPS Office funds awarded to states or units of local government (including law enforcement agencies) may not be used to supplant (replace) state, local, or Bureau of Indian (BIA) funds that would, in the absence of federal assistance, be made available for award purposes (hiring, training, purchases, and/or other activities). Instead, COPS Office funds must be used to supplement (increase) the total amount of funds that would otherwise be made available for award purposes. 34 U.S.C. § 10384 (a).

A recipient may not use COPS Office funds to pay for any item or cost associated with this funding request that the recipient is already obligated to pay. Nonfederal funds allocated to pay for award purposes may not be reallocated to other purposes or refunded should COPS Office funding be awarded. Nonfederal funds must remain available for and devoted to that purpose, with COPS Office funds supplementing those nonfederal funds. Funding awarded cannot be obligated until after the award start date (unless an exception is authorized in writing by the COPS Office). This means that COPS Office funds cannot be applied to any agency cost incurred prior to the award start date.

The possibility of supplanting will be the subject of careful application review, possible pre-award review, and post-award monitoring and audit. Any supplanting of nonfederal funds by COPS Office funds may be grounds for potential suspension or termination of award funding, recovery of misused funds, and/or other applicable legal sanctions.

If you have questions concerning the nonsupplanting requirement while completing this application, please contact the COPS Office Response Center at 800-421-6770 or AskCopsRC@usdoj.gov for further information.

V. Procurement and Sole Source Justification

Sole source procurement, or procurement by noncompetitive proposals, is procurement through solicitation of a proposal from only one source. Sole source procurements must adhere to the standards set forth in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.318.

For the purchase of equipment, technology, or services under a COPS Office award, recipients must follow their own policies and procedures on procurement as long as those requirements conform to the federal procurement requirements set forth in 2 C.F.R. § 200.320. A sole source procurement request should be submitted if a recipient

determines that the award of a contract through a competitive process is infeasible. If a recipient determines that the award of a contract through a competitive process is infeasible, and if any one of the following circumstances applies:

1. The item or service is available only from one source.
2. The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation.
3. Competition is determined inadequate after solicitation of a number of sources.
4. The COPS Office expressly authorizes noncompetitive proposals in response to a written request from the law enforcement entity.

The recipient must include this information in the sole source procurement request and submit it to the COPS Office. The award recipient must seek written authorization from the COPS Office for sole source procurements in excess of \$150,000. Written approval for sole source procurements from the COPS Office must be received prior to purchasing equipment, technology or services; obligating funding for a contract; or entering into a contract with award funds.

Requests for sole source procurements of equipment, technology, or services in excess of \$150,000 must be submitted to the COPS Office in writing certifying that the award of the contract through full and open competition is infeasible. The sole source procurement request must be signed and submitted on department letterhead.

The request should also include the following information:

Section I – A brief description of the project, the amount to be designated for the sole source procurement, and the purpose of the contract.

Section II – A statement identifying which one (or more) of the four circumstances identified below apply to the procurement transaction and an explanation as to why it is necessary to contract in a noncompetitive manner. Include supporting information as identified below under the applicable section(s).

1. The item or service is available only from one source.
 - Uniqueness of items or services to be procured from the proposed contractor or vendor (compatibility, patent issues, etc.)
 - How the agency determined that the item or service is only available from one source (market survey results, independent agency research, patented or proprietary system, etc.)
 - Explanation of need for contractor’s expertise linked to the current project (knowledge of project management, responsiveness, experience of contractor personnel, prior work on earlier phases of project, etc.)
 - Any additional information that would support the case
2. The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation.
 - When the contractual coverage is required by your department and why
 - Impact on project if deadline dates are not met
 - How long it would take an alternate contractor to reach the same required level of competence (equate to dollar amounts, if desired)
 - Any additional information that would support the case

3. Competition is determined inadequate after solicitation of a number of sources.
 - Results of a market survey to determine competition availability; if no survey is conducted, please explain why not
 - Any additional information that would support the case
4. The COPS Office authorizes noncompetitive proposals in response to a written request from the recipient.

Section III – A budget breakdown for the contract.

Section IV – A declaration that this action or choice is in the best interest of the agency.

Upon receipt of the request for sole source authorization, the COPS Office will review to determine if competition is infeasible, and your agency will be contacted if any of the identified information is missing or if additional supporting information is required. If the COPS Office determines that the request does not meet the standards set forth above, the request will be denied.

Please be advised that conflicts of interest are prohibited under the federal procurement standards set forth in 2 C.F.R. § 200.318(c).

If you have any questions regarding the federal requirements that guide procurement procedures, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

VI. Criminal Intelligence Systems/28 C.F.R. Part 23 Compliance

If your agency is receiving COPS Office funding for equipment or technology that will be used to operate an interjurisdictional criminal intelligence system, you must agree to comply with the operating principles found at 28 C.F.R. Part 23. An interjurisdictional criminal intelligence system is generally defined as a system that receives, stores, analyzes, exchanges, or disseminates data regarding ongoing criminal activities (such activities may include loan sharking, drug or stolen property trafficking, gambling, extortion, smuggling, bribery, and public corruption) and shares this data with other law enforcement jurisdictions. 28 C.F.R. Part 23 contains operating principles for these interjurisdictional criminal information systems that protect individual privacy and constitutional rights.

If you are simply using the COPS Office funds to operate a single agency database (or other unrelated forms of technology) and will not share criminal intelligence data with other jurisdictions, 28 C.F.R. Part 23 does not apply to this award.

VII. Certification to Mitigate Possible Adverse Health, Safety, and Environmental Impacts—Not applicable to any FY18 COPS Office programs

VIII. Community Policing Self-Assessment Tool (CP-SAT)—Not applicable under the CPD program

IX. System for Award Management (SAM) and Universal Identifier requirements

Unless exempted from this requirement under 2 C.F.R. § 25.110, the recipients must maintain the currency of their information in the SAM until submission of the final financial report required under this award or receipt of the final payment, whichever is later. This requires recipients to review and update the information at least annually after the initial registration and more frequently if required by changes in information or other award term.

To review the System for Award Management and Universal Identifier Award Term, please see appendix N beginning on page 135 of this guide.

X. Federal Funding Accountability and Transparency Act (FFATA)—Reporting Subaward and Executive Compensation Information

The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires, among other things, that information on federal awards (federal financial assistance and expenditures) be made available to the public via a single, searchable website, which is www.USASpending.gov.

Applicants should note that all recipients of awards of \$25,000 or more under this solicitation, consistent with FFATA, will be required to report award information on any first-tier subawards totaling \$25,000 or more and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. If applicable, the FFATA Subaward Reporting System (FSRS), accessible via the Internet at www.fsr.gov, is the reporting tool recipients under this solicitation will use to capture and report subaward information and any executive compensation data required by FFATA.

The subaward information entered in FSRS will then be displayed on www.USASpending.gov, associated with the prime award, furthering federal spending transparency.

Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the applicable reporting requirements should it receive funding.

To review the FFATA Reporting Subaward and Executive Compensation Award Term, please see the appendices of this guide.

XI. Contract Provision under Federal Award

All contracts made by the recipients under the Federal award must contain the provisions required under 2 C.F.R. part 200 (Appendix II to Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards.)

For the full text of 2 C.F.R. Part 200, Appendix II to Part 200, please refer to appendix I beginning on page 122 of this guide.

XII. Prior Approval, Planning, and Reporting of Conference/Meetings/Training Costs

Recipients are required to obtain written approval from the COPS Office prior to entering into any contract, agreement or other obligation for costs related to any conference, meeting, retreat, seminar, symposium, training activity, or similar event funded under this award. Submit all request to the Conference Cost Request mailbox at COPS.Conferencecosts@usdoj.gov and copy your program manager.

For more information on allowable costs, please visit https://ojp.gov/financialguide/doj/pdfs/DOJ_FinancialGuide.pdf.

Submit the Conference Cost Request/Reporting Form (CCR) at least 90 days prior to event. The document will have you breakout each event or training deliveries and ensures that all costs comply with current guidelines and policies on event/training planning, food and beverages, minimizing costs. Training or events should not be scheduled or delivered prior to receiving notice from your program manager that the CCR is approved.

All cooperative agreement must submit reports on conferences with total costs that exceed \$20,000, exceed cost thresholds, or for any conference at which more than 50 percent of the attendees were U.S. Department of Justice employees. The report must be submitted within 45 days of the end of the event. Award recipients are encouraged to establish policies regarding timely submission of invoices to ensure that they can meet the conference reporting deadline.

The reporting form is on the same form as the conference request.

XIII. Curriculum Development

The COPS Office defines training as the teaching and learning activities carried out for the primary purpose of helping members of an organization acquire and apply the knowledge, skills, abilities, and attitudes needed by a particular job or organization. Training is driven by specific goals and objectives; it is not a single event but rather an ongoing process that requires continuous self-reflection and evaluation.

The COPS Office trainings are national in scope and should have a specific law enforcement audience: executives, first line supervisors, line officers, dispatchers, joint community and officers, etc. COPS Office training supports the needs of the law enforcement field and strives to increase public safety.

The COPS Office has a series of requirements for the development and delivery of in-person and online training. These requirements can be found in the *Curriculum Standards, Review, and Approval Guide*, which was established to provide guidance to COPS Office training providers and program managers on instructional design, promising practices, and the process by which curricula will be reviewed and approved by the COPS Office. This guide is separated into two sections: (1) an online training guide and (2) one for in-person training. They can be found at <https://cops.usdoj.gov/training>.

The COPS Office also has a series of requirements that instructors must meet prior to becoming instructors for COPS Office courses and for the duration of their instructor tenure. Those requirements can be found in the *COPS Office Instructor Quality Assurance Guide*, which can be accessed at <https://cops.usdoj.gov/training>.

If awarded funds to develop and/or deliver training under a cooperative agreement, recipients will be required to follow these guides and comply with all terms outlined in the cooperative agreement.

XIV. Restrictions on Internal Confidentiality Agreements

Recipients, subrecipients, or entities that receive a contract or subcontract with any funds under this award may not require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts the lawful reporting waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information. Consolidated Appropriations Act, 2018, Public Law 115-141, Division E, Title VII, Section 743.

XV. Mandatory Disclosure

Recipients and subrecipients are required to timely disclose in writing to the COPS Office or pass-through entity, as applicable, all federal criminal law violations involving fraud, bribery, or gratuity that may potentially affect the awarded federal funding. Recipients agree to report certain civil, criminal, or administrative proceedings in SAM if

they received an award with the Term and Condition for Recipient Integrity and Performance Matters as outlined in 2 C.F.R. Part 200, Appendix XII to Part 200. Failure to make required disclosures can result in any of the remedies, including suspension and debarment, described in 2 C.F.R. § 200.338.

XVI. Debarment and Suspension

Recipients agree not to award federal funds under this program to any party which is debarred or suspended from participation in federal assistance programs. 2 C.F.R. Part 180 (Government-wide Debarment and Suspension) and 2 C.F.R. Part 2867 (DOJ-specific requirements).

XVII. Recipient Integrity and Performance Matters

Recipients that received \$500,000 or more in a federal award agree to comply with the terms and conditions outlined in 2 C.F.R. Part 200, Appendix XII to part 200 - Term and Condition for Recipient Integrity and Performance Matters.

For the full text of 2 C.F.R. Part 200, Appendix XII to part 200, please refer to appendix J beginning on page 124 of this guide.

XVIII. False Statements

False statements or claims made in connection with COPS Office awards may result in fines, imprisonment, or debarment from participating in federal awards or contracts, and/or any other remedy available by law.

XIX. Duplicative Funding

Recipients agree to notify the COPS Office if they receive, from any other source, funding for the same item(s) or service(s) also funded under this award.

XX. Additional High-Risk Award Recipient Requirements

Recipients agree to comply with any additional requirements that may be imposed during the award performance period if the awarding agency determines that the recipient is a high-risk award recipient (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.207).

XXI. Modifications

Award modifications are evaluated on a case-by-case basis in accordance with 2 C.F.R. § 200.308. For federal awards in excess of \$150,000, any modification request involving the reallocation of funding between budget categories that exceed or are expected to exceed 10 percent of the total approved budget requires prior written approval by the COPS Office. Regardless of the federal award amount or budget modification percentage, any reallocation of funding is limited to approved budget categories. In addition, any budget modification that changes the scope of the project requires prior written approval by the COPS Office. The COPS Office will not approve any modification request that results in an increase of federal funds.

XXII. Evaluations

The COPS Office may conduct monitoring or sponsor national evaluations of COPS Office award programs. Recipients agree to cooperate with the monitors and evaluators. 34 U.S.C. § 10385 (b).

XXIII. Allowable Costs

The funding under this award is for the payment of approved costs identified in the Financial Clearance Memorandum (FCM). Recipients must forgo any profit or management fees in accordance with 2 C.F.R. § 200.400(g).

XXIV. Local Match—Not applicable under the CPD program

XXV. Equal Employment Opportunity Plan

Recipients agree to comply with the federal regulations pertaining to the development and implementation of an Equal Employment Opportunity Plan (28 C.F.R. Part 42 subpart E).

XXVI. Employment Eligibility

Recipients agree to complete and keep on file, as appropriate, a Bureau of Citizenship and Immigration Services Employment Eligibility Verification Form (I-9). This form is to be used by recipients of federal funds to verify that persons are eligible to work in the United States. See Immigration Reform and Control Act of 1986 (IRCA), Public Law 99-603.

XXVII. Enhancement of Contractor Protection from Reprisal for Disclosure of Certain Information

Recipients agree not to discharge, demote, or otherwise discriminate against an employee as reprisal for the employee disclosing information that he or she reasonably believes is evidence of gross mismanagement of a federal contract or grant; a gross waste of federal funds; an abuse of authority relating to a federal contract or grant; a substantial and specific danger to public health or safety; or a violation of law, rule, or regulation related to a federal contract (including the competition for or negotiation of a contract) or grant. Recipients also agree to provide to their employees in writing (in the predominant native language of the workforce) of the rights and remedies provided in 41 U.S.C. § 4712. Please see appendix K beginning on page 126 of this guide for a full text of the statute.

XXVIII. Federal Civil Rights

The Applicant understands that the federal statutes and regulations applicable to the award (if any) made by the Department based on the application specifically include statutes and regulations pertaining to civil rights and nondiscrimination, and, in addition—

- a. the Applicant understands that the applicable statutes pertaining to civil rights will include section 601 of the Civil Rights Act of 1964 (42 U.S.C. § 2000d); section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794); section 901 of the Education Amendments of 1972 (20 U.S.C. § 1681); and section 303 of the Age Discrimination Act of 1975 (42 U.S.C. § 6102);

- b. the Applicant understands that the applicable statutes pertaining to nondiscrimination may include section 809(c) of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (34 U.S.C. § 10228(c)); section 1407(e) of the Victims of Crime Act of 1984 (34 U.S.C. § 20110(e)); section 299A(b) of the Juvenile Justice and Delinquency Prevention Act of 2002 (34 U.S.C. § 11182(b)); and that the grant condition set out at section 40002(b)(13) of the Violence Against Women Act (34 U.S.C. § 12291(b)(13)), which will apply to all awards made by the Office on Violence Against Women, also may apply to an award made otherwise;
- c. the Applicant understands that it must require any subrecipient to comply with all such applicable statutes (and associated regulations); and
- d. on behalf of the Applicant, I make the specific assurances set out in 28 C.F.R. §§ 42.105 and 42.204.

The Applicant also understands that (in addition to any applicable program-specific regulations and to applicable federal regulations that pertain to civil rights and nondiscrimination) the federal regulations applicable to the award (if any) made by the Department based on the application may include, but are not limited to, 2 C.F.R. Part 2800 (the DOJ "Part 200 Uniform Requirements") and 28 C.F.R. Parts 22 (confidentiality - research and statistical information), 23 (criminal intelligence systems), 38 (regarding faith-based or religious organizations participating in federal financial assistance programs), and 46 (human subjects protection).

XXIX. Conflict of Interest

Recipients must disclose in writing to the COPS Office or pass-through entity, as applicable, any potential conflict of interest affecting the awarded federal funding in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.112.

XXX. Reports/Performance Goals

Recipients are responsible for submitting quarterly programmatic progress reports that describe project activities during the reporting period and quarterly Federal Financial Reports using Standard Form 425 (SF-425). 2 C.F.R. § 200.327 and 2 C.F.R. § 200.328. The progress report is used to track recipients' progress toward implementing community policing strategies and to collect data to gauge the effectiveness of increasing your agency's community policing capacity through COPS Office funding. The Federal Financial Report is used to track the expenditures of the recipient's award funds on a cumulative basis throughout the life of the award.

XXXI. Extensions

Recipients may request an extension of their award period to receive additional time to implement their award. Such extensions do not provide additional funding. Only recipients that can provide a reasonable justification for delays will be granted no-cost extensions. Extension requests must be received prior to the end date of the award and should be requested in the COPS Office Online System.

XXXII. Computer Network Requirement

Recipients agree that no award funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography. Nothing in this requirement limits the use of funds necessary for any federal, state, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities. Consolidated Appropriations Act, 2018, Public Law 115-141, Division B, Title II, Section 531.

XXXIII. Award Monitoring Activities

Federal law requires that recipients receiving federal funding from the COPS Office must be monitored to ensure compliance with their award conditions and other applicable statutory regulations. The COPS Office is also interested in tracking the progress of our programs and the advancement of community policing. Both aspects of award implementation—compliance and programmatic benefits—are part of the monitoring process coordinated by the U.S. Department of Justice. Award monitoring activities conducted by the COPS Office include site visits, enhanced office-based award reviews, alleged noncompliance reviews, financial and programmatic reporting, and audit resolution. Recipients agree to cooperate with and respond to any requests for information pertaining to their award. 34 U.S.C. § 10385(a).

XXXIV. Community Policing—Not applicable under the CPD program

XXXV. Retention—Not applicable under the CPD program

XXXVI. Contracts and/or MOUs with Other Jurisdictions—Not applicable under the CPD program

XXXVII. Travel Costs

Travel costs for transportation, lodging and subsistence, and related items are allowable under the Community Policing Development Program with prior approval from the COPS Office. Payment for allowable travel costs will be in accordance with 2 C.F.R. § 200.474.

XXXVIII. State Information Technology Point of Contact

Recipients agree to ensure that the appropriate State Information Technology Point of Contact receives written notification regarding any information sharing or technology project funded by a COPS Office award. This is to facilitate communication among local and state governmental entities regarding various information technology projects being conducted with these award funds. In addition, recipients agree to maintain an administrative file documenting the meeting of this requirement. For a list of State Information Technology Points of Contact, go to <https://it.ojp.gov/default.aspx?area=policyAndPractice&page=1046>.

XXXIX Public Release Information

Recipients agree to submit one copy of all reports and proposed publications resulting from the award ninety (90) days prior to public release. Any publications (written, curricula, visual, sound, or websites) or computer programs, whether or not published at government expense, shall contain the following statement:

This project was supported, in whole or in part, by cooperative agreement number 2018-XX-XX-XXXX awarded by the U.S. Department of Justice, Office of Community Oriented Policing Services. The opinions contained herein are those of the author(s) or contributor(s) and do not necessarily represent the official

position or policies of the U.S. Department of Justice. References to specific individuals, agencies, companies, products, or services should not be considered an endorsement by the author(s) or the U.S. Department of Justice. Rather, the references are illustrations to supplement discussion of the issues.

The Internet references cited in this publication were valid as of the date of publication. Given that URLs and websites are in constant flux, neither the author(s) nor the COPS Office can vouch for their current validity.

XL. News Media

Recipients agree to comply with the COPS Office policy on contact with the news media. The policy establishes the COPS Office Communications Division as the principal point of contact for the news media for issues relevant to the COPS Office and/or parameters of the award. Recipients agree to refer all media inquiries on these topics directly to the COPS Office Communications Division at 202-514-9079.

XLI. Paperwork Reduction Act Clearance and Privacy Act Review

Recipients agree, if required, to submit all surveys, interview protocols, and other information collections to the COPS Office for submission to the Office of Management and Budget (OMB) for clearance under the Paperwork Reduction Act (PRA). Before submission to OMB, all information collections that request personally identifiable information must be reviewed by the COPS Office to ensure compliance with the Privacy Act. The Privacy Act compliance review and the PRA clearance process may take several months to complete. 44 U.S.C. §§ 3501-3520 and 5 U.S.C. § 552a.

XLII. Copyright

In accordance with 2 C.F.R. § 200.315(b), recipients may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. The COPS Office reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work, in whole or in part (including create derivative works), for Federal Government purposes and to authorize others to do so. The COPS Office license applies to (1) the copyright in any work developed under the award including any related subaward or contract and (2) any rights of copyright to which the recipient, including its subrecipient or contractor, purchases ownership with award funds.

Recipients agree that they are responsible for acquiring the rights, and ensuring that their subrecipients/contractors/authors acquire the rights, to copyrighted material for inclusion in U.S. Department of Justice publications and other deliverables developed under the award, including the payment of required fees. The COPS Office may make available for reproduction material produced under the award by any means, including a DOJ website, a hard copy, or in electronic form, without restriction. The COPS Office reserves the right, at its discretion, not to publish products and deliverables developed under the award as a U.S. Department of Justice resource. Products and deliverables developed with award funds and published as a U.S. Department of Justice resource will contain the following copyright notice: "This resource was developed under a cooperative agreement and may be subject to copyright. The U.S. Department of Justice reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work for Federal Government purposes and to authorize others to do so. This resource may be freely distributed and used for noncommercial and educational purposes only."

XLIII. Human Subjects Research

Recipients agree to comply with 28 C.F.R. Part 46 Protection of Human Subjects prior to expending award funds to perform human subjects research. Recipients also agree to comply with 28 C.F.R. Part 22 Confidentiality of Identifiable Research and Statistical Information to safeguard certain personally identifiable information.

XLIV. Compliance with 8 U.S.C. § 1373

To obligate or expend FY 2018 award funding, all state or local government entities and all non-state or local government entities that use Community Policing Development (CPD) funds to make subawards to state or local government subrecipients must comply with a new grant condition requiring compliance with 8 U.S.C. § 1373 regarding prohibitions or restrictions on sending to, requesting or receiving from, maintaining, or exchanging information on citizenship or immigration status, including any prohibitions or restrictions imposed or established by a state or local government entity or official. This condition applies to state or local government awardees and to state or local government subrecipients throughout the grant award period.

The full text of this award condition may be found in the appendices.

Federal award administration information

Federal award notices

Award notification will be sent electronically. To officially accept and begin your award, your agency must access www.cops.usdoj.gov and select the “Account Access” tab in the upper right corner to log in, review, and electronically sign the award document (including award terms and conditions) and, if applicable, the special award conditions or high risk conditions within 90 days of the date shown on the award congratulatory letter, unless an extension is requested and granted.

Your agency will not be able to draw down award funds until the COPS Office receives your signed award document.

For more information, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

The award document

The award document is the document indicating your official award funding amount, the award number, the award terms and conditions, and award start and end dates.

The award document is preprinted with your agency’s law enforcement and government executives’ names. If this information is incorrect or has changed, please update your “Agency Contacts” online at www.cops.usdoj.gov through the “Account Access” tab. If the law enforcement or government official has changed since the time of application, please have the current law enforcement executive or government executive for your agency create an account through the “Account Access” tab, log in, and sign the award document once your agency contacts have been updated online. Once you have reviewed your award document, please electronically sign it and make a copy of all pages of the document for your records, along with all award condition pages, within 90 days of the date shown on the award congratulatory letter.

The award start date indicated on the award document/cooperative agreement means that your agency may be reimbursed for any allowable costs incurred on or after this date. The duration of most CPD awards is 24 months, except for the Field Initiated Law Enforcement Microgrants, which is 12 months.

Your FY 2018 award number is in the following format: 2018-CKWXK-000 or 2018-CKWX-0000. The COPS Office tracks award information based upon this number. Therefore, it is important to have your agency's award number (or your agency's ORI number) readily available when corresponding with the COPS Office.

The award conditions are listed on your agency's Award Document and, if applicable, the Award Document Supplement. By accepting this award, you are acknowledging that you are obtaining federal funds from the COPS Office. As part of that agreement, if awarded funds, your agency will acknowledge that it will comply with these conditions (and, if applicable, additional special conditions or high risk conditions in the Award Document Supplement specific to your agency).

In limited circumstances, your award may be subject to special conditions or high risk conditions that prevent your agency from drawing down or accessing award funds until the special conditions or high risk conditions are satisfied as determined by the COPS Office. Any special conditions or high risk conditions will be included in your Award Document Supplement.

Administrative and national policy requirements

If selected for funding, in addition to implementing the funded project consistent with the 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 that will be included in the award or incorporated into the award by reference or are otherwise applicable to the award.

Please see general terms and conditions beginning on page 77.

Suspension or termination of funding

The COPS Office may suspend, in whole or in part, or terminate funding or impose other sanctions on a recipient for the following reasons:

- Failure to substantially comply with the requirements or objectives of the Public Safety Partnership and Community Policing Act of 1994, program guidelines, or other provisions of federal law
- Failure to make satisfactory progress toward the goals or strategies set forth in this application
- Failure to adhere to award agreement requirements or special conditions
- Proposing substantial plan changes to the extent that, if originally submitted, would have resulted in the application not being selected for funding
- Failure to submit required or requested reports
- Filing a false statement or certification in this application or other report or document
- Other good cause shown

Prior to imposing sanctions, the COPS Office will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt to resolve the problem informally. Appeal procedures will follow those in the U.S. Department of Justice regulations in 28 C.F.R. Part 18.

Awards terminated due to noncompliance with the federal statutes, regulations, or award terms and conditions will be reported to the integrity and performance system accessible through SAM (currently FAPIIS).

False statements or claims made in connection with COPS Office awards may result in fines, imprisonment, debarment from participating in federal awards or contracts, and any other remedy available by law.

Please be advised that recipients may not use COPS Office funding for the same item or service also funded by another U.S. Department of Justice award.

Reporting, Monitoring, and Evaluation Requirements

Reporting

If awarded, your agency will be required to submit quarterly Federal Financial Reports as well as quarterly Programmatic Progress Reports. Recipient should be prepared to track and report CPD award funding separately from other funding sources (including other COPS Office federal awards) to ensure accurate financial and programmatic reporting on a timely basis. Recipients should ensure that they have financial internal controls in place to monitor the use of CPD funding and ensure that its use is consistent with the award terms and conditions. Good stewardship in this area includes written accounting practices, and use of an accounting system that tracks all award drawdowns and expenditures, and the ability to track when CPD award-funded positions are filled or approved purchases are made. *Failure to submit complete reports or submit them in a timely manner may result in the suspension and possible termination of a recipient's COPS Office award funding or other remedial actions.*

Monitoring

Federal law requires that law enforcement agencies receiving federal funding from the COPS Office be monitored to ensure compliance with their award conditions and other applicable statutory regulations. The COPS Office is also interested in tracking the progress of our programs and the advancement of community policing. Both aspects of award implementation—compliance and programmatic benefits—are part of the monitoring process coordinated by the U.S. Department of Justice.

Awarded agencies will be responsible for submitting Programmatic Progress Reports and Federal Financial Reports on a quarterly basis. In addition, awarded agencies will be responsible for the timely submission of a final Closeout Report and any other required final reports. All COPS Office recipients will be required to participate in such award monitoring activities of the U.S. Department of Justice, including but not limited to the COPS Office, the Office of the Inspector General, or any entity designated by the COPS Office.

Please note that the COPS Office may take a number of monitoring approaches, such as site visits, enhanced office-based award reviews, alleged noncompliance reviews, and periodic surveys to gather information and to ensure compliance. The COPS Office may seek information including, but not limited to, your agency's compliance with nonsupplanting and both programmatic and financial requirements of the award, and your agency's progress toward achieving your community policing strategy. Program and monitoring specialists as well as auditors are particularly interested in confirming that the purchase of items and/or services is consistent with the applicant's approved award budget as reflected on the Financial Clearance Memorandum and Final Funding Memorandum.

If awarded funds, you agree to cooperate with and respond to any requests for information pertaining to your award in preparation for any of the above-referenced award monitoring activities.

Please feel free to contact your COPS Office Program Manager at 800-421-6770 to discuss any questions or concerns you may have regarding the monitoring, reporting, and evaluation requirements.

Program evaluation

Though a formal assessment is not a requirement, awarded agencies are strongly encouraged to conduct an independent assessment of their respective award-funded projects. Project evaluations have proven to be valuable tools in helping departments identify areas in need of improvement, providing data of successful processes and reducing vulnerabilities.

Selected award recipients shall be evaluated on the local level or as part of a national evaluation, pursuant to guidelines established by the Attorney General. Such evaluations may include assessments of individual program implementations. In selected jurisdictions that are able to support outcome evaluations, the effectiveness of funded programs, projects, and activities may be required. Outcome measures may include crime and victimization indicators, quality of life measures, community perceptions, and police perceptions of their own work.

Audit Requirement

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 C.F.R. Part 200, Subpart F – Audit Requirements, available at www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl, establish the requirements for organizational audits that apply to COPS Office award recipients. Recipients must arrange for the required organization-wide (not award-by-award) audit in accordance with the requirements of Subpart F.

Civil rights

All recipients are required to comply with nondiscrimination requirements contained in various federal laws. A memorandum addressing federal civil rights statutes and regulations from the Office for Civil Rights, Office of Justice Programs will be included in the award package for award recipients. All applicants should consult the Assurances form to understand the applicable legal and administrative requirements.

Please be advised that a hold may be placed on this application if it is deemed that the applicant agency is not in compliance with federal civil rights law or is not cooperating with an ongoing federal civil rights investigation.

28 C.F.R. Part 38 Partnerships with Faith-Based and Other Neighborhood Organizations

Recipients, and subrecipients at any tier, must comply with all applicable requirements of the DOJ regulation entitled "Partnerships with Faith-Based and Other Neighborhood Organizations" at 28 C.F.R. Part 38, specifically including any applicable requirements regarding written notice to program beneficiaries and prospective program beneficiaries.

Among other things, Part 38 includes rules that prohibit specific forms of discrimination on the basis of religion, a religious belief, a refusal to hold a religious belief, or refusal to attend or participate in a religious practice. Part 38 also sets out rules and requirements that pertain to recipients and subrecipients that engage in or conduct explicitly religious activities, as well as rules and requirements that pertain to recipients and subrecipients that are faith-based organizations.

For more information on the regulation, please see the Office for Civil Rights website at <https://ojp.gov/about/ocr/partnerships.htm>.

Section 508 of the Rehabilitation Act

If you are an applicant using assistive technology and you encounter difficulty when applying using the COPS Office online system (www.cops.usdoj.gov), please contact:

COPS Office Response Center
AskCopsRC@usdoj.gov or 800-421-6770

The department is committed to ensuring equal access to all applicants and will assist any applicant who may experience difficulties with assistive technology when applying for awards using the COPS Office Online System.

Other Award Information

Award decisions

It is anticipated that CPD awards will be announced on or after September 1, 2018. Notifications will be sent electronically. Any public announcements will be posted on the COPS Office website at www.cops.usdoj.gov.

All award decisions are final and not subject to appeal.

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

All applications submitted to the COPS Office (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 if DOJ determines that the responsive information is protected from disclosure under the Privacy Act or falls within the scope of one or more of the nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to the FOIA not to release some or all portions of an application/award file.

In its review of records that are responsive to a FOIA request, the COPS Office 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, the COPS Office will request the views of the applicant/recipient that submitted a responsive document.

For example, if the COPS Office receives a request pursuant to the FOIA for an application submitted by a nonprofit organization, for-profit organization, or an institution of higher education, or a request for an application that involves research, the COPS Office typically will contact the applicant/recipient that submitted the application. The COPS Office ask the applicant/recipient 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, the COPS Office makes an independent assessment regarding withholding information.

Feedback to the COPS Office

To assist the COPS Office 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 via email to AskCopsRC@usdoj.gov with the following subject line “FY18 CPD Program Feedback.”

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** contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

If you are interested in being a reviewer for other COPS Office award applications, please email your resume to **AskCopsRC@usdoj.gov** with the following subject line "COPS Office Peer Reviewer Interest." 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.

Appendices

Appendix A. Applying for CPD Checklist

Step	Complete?
Use Internet Explorer 11 or later version.	<input type="checkbox"/>
Obtain a DUNS number (Data Universal Numbering System)/Confirm DUNS number. (Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply at www.dnb.com) Apply for your DUNS number first; you cannot complete any of the steps below without it. The process can take up to 2 business days to obtain the DUNS number.	<input type="checkbox"/>
Register with SAM database/Confirm SAM number. SAM registration and renewal can take as long as 10 business days to complete. (SAM registration procedures can be accessed at www.sam.gov) The person registering with SAM will be the designated E-Business Point of Contact, who can assign the people who will submit applications for the organization (your Authorized Organization Representatives). You must have a DUNS number to submit a SAM registration. In addition, you must renew your SAM registration once a year. **If you do not have an EIN, the process can take up to 5 weeks. **If you have an EIN, the process takes up to 2 weeks.	<input type="checkbox"/>
Obtain/Confirm the unique Geographic Names Information System (GNIS) identification number assigned to your agency. https://geonames.usgs.gov/	<input type="checkbox"/>
If you do not currently have an ORI number*, submit a request for one at https://portal.cops.usdoj.gov/ORIRequest.aspx or through the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770. *The ORI Number consists of your state abbreviation followed by 5 digits/characters. Requests for an ORI number are processed within 2-3 business days.	<input type="checkbox"/>
Register with Grants.gov/Confirm registration. https://apply07.grants.gov/apply/register.faces It can take anywhere from a few days to 2 weeks for your registration to become active and for you to be able to submit an application.	<input type="checkbox"/>
Obtain/Confirm Authorized Organization Representative (AOR) Role for rights to submit an application (SF-424). https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html Please contact the helpdesk for additional information: 800-518-4726	<input type="checkbox"/>
Register or update your agency's current contact and user information in the COPS Office Agency Portal*. *Refer to Agency Portal Grants Management User Manual for instructions.	<input type="checkbox"/>
<ul style="list-style-type: none"> • Law Enforcement Executive (LE) or Program Official (PO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>
<ul style="list-style-type: none"> • Government Executive (GE) or Government Official (GO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>
<ul style="list-style-type: none"> • Chief Legal Officer(primary/highest ranking attorney for the governing body) 	<input type="checkbox"/>
Set up e-Signatures via Agency Portal*:	<input type="checkbox"/>
<ul style="list-style-type: none"> • Law Enforcement Executive (LE) or Program Official (PO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>
<ul style="list-style-type: none"> • Government Executive (GE) or Government Official (GO) for Non-Law Enforcement Agencies 	<input type="checkbox"/>

Step	Complete?
<ul style="list-style-type: none"> Chief Legal Officer (primary/highest ranking attorney for the governing body) 	<input type="checkbox"/>
Add additional user accounts for individual(s) authorized to complete application in the Agency Portal*.	<input type="checkbox"/>
Complete application package on Grants.gov for funding number: COPS-CPD-Application-2018	<input type="checkbox"/>
<ul style="list-style-type: none"> Standard Form (SF) 424 	<input type="checkbox"/>
<ul style="list-style-type: none"> COPS Office Application Attachment to SF-424 	<input type="checkbox"/>
Upon receipt of an email from the COPS Office confirming successful submission of the SF-424 on Grants.gov, complete and submit the second part of the application, Attachment to the SF-424 on the COPS Office Online Application System.	<input type="checkbox"/>

Application Documents and Sections	Required? Yes, No, or Possible	Completed?
Standard Form 424 (to be completed on Grants.gov)	Yes	<input type="checkbox"/>
COPS Office Application Attachment to SF-424 (to be completed via COPS Office Online Application System)	Yes	<input type="checkbox"/>
Section 1. COPS Office Program Request	Yes	<input type="checkbox"/>
Section 2. Agency Eligibility Information	Yes	<input type="checkbox"/>
Section 3. General Agency Information	Yes	<input type="checkbox"/>
Section 4. Executive Information	Yes	<input type="checkbox"/>
Section 5. COPS Office Hiring Request Form	No	<input type="checkbox"/>
Section 6. Law Enforcement and Community Policing Strategy	Yes (section 6A only)	<input type="checkbox"/>
Section 7. Need for Federal Assistance	Yes (section A only)	<input type="checkbox"/>
Section 8. Continuation of Project after Federal Funding Ends	Yes (section B only)	<input type="checkbox"/>
Section 9. School Safety Assessment	No	<input type="checkbox"/>
Section 10. Project Abstract	Yes	<input type="checkbox"/>
Section 11. Project Description (Narrative)	No (submitted under section 13 as an attachment)	<input type="checkbox"/>
Section 12. Official Partner(s) Contact Information	Possible	<input type="checkbox"/>
Section 13. Application Attachments	Yes	<input type="checkbox"/>
Project narrative (required)	Yes	<input type="checkbox"/>
Key curriculum vitae/staff resumes (required)	Yes	<input type="checkbox"/>
Budget narrative (required)	Yes	<input type="checkbox"/>
Indirect cost rate agreement (if applicable)	Possible	<input type="checkbox"/>
Sole source justification (if applicable)	Possible	<input type="checkbox"/>
Consultant rate justification (if applicable)	Possible	<input type="checkbox"/>
State or local Government Subrecipient Certification(s) of Compliance with 8 U.S.C. § 1373 (if applicable)	Possible	<input type="checkbox"/>
Section 14. Budget Detail Worksheets	Yes	<input type="checkbox"/>
14A Part 1. Sworn officer positions	No	<input type="checkbox"/>
14A Part 2. Sworn officer salary information	No	<input type="checkbox"/>
14A Part 3. Federal/Local share costs (hiring)	No	<input type="checkbox"/>
14B. Civilian or Nonsworn personnel	Possible	<input type="checkbox"/>
14C. Equipment/Technology	Possible	<input type="checkbox"/>
14D. Supplies	Possible	<input type="checkbox"/>
14E. Travel/Training/Conferences	Possible	<input type="checkbox"/>
14F. Contracts/Consultants	Possible	<input type="checkbox"/>

Step		Complete?
14G. Other costs	Possible	<input type="checkbox"/>
14H. Indirect costs	Possible	<input type="checkbox"/>
Budget summary	Yes	<input type="checkbox"/>
Section 15. Assurances and Certifications		
15A. U.S. Department of Justice Certified Standard Assurances	Yes	<input type="checkbox"/>
15B. U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; And Drug-Free Workplace Requirements	Yes	<input type="checkbox"/>
Section 16A. Disclosure of Lobbying Activities	Possible	<input type="checkbox"/>
Section 16B. Certification of Compliance with 8 U.S.C. § 1373	Possible	<input type="checkbox"/>
Section 16C. Certification of 287(g) Partnership and Certification of Illegal Immigration Cooperation	Possible	<input type="checkbox"/>
Section 17. Reviews and Certifications	Yes	<input type="checkbox"/>
Section 18. Application Data Verification	Possible	<input type="checkbox"/>

Appendix B. Helpful online resources

Data Universal Numbering System (DUNS) Number Information:

<https://fedgov.dnb.com/webform/displayHomePage.do>

Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS): <https://www.fsr.gov/>

General Services Administration:

- Federal Travel Regulation (FTR): <https://www.gsa.gov/policy-regulations/regulations/federal-travel-regulation-fts>
- Per Diem Rates Look-Up Tool: <https://www.gsa.gov/travel/plan-book/per-diem-rates/per-diem-rates-lookup>

Geographic Names Information System (GNIS): <https://geonames.usgs.gov/>

Grants.gov: www.grants.gov

- Grants.gov Organization Applicant User Guide: <https://www.grants.gov/help/html/help/index.htm>

Office of Community Oriented Policing Services (COPS Office): www.cops.usdoj.gov

- Agency Access: <https://portal.cops.usdoj.gov/>
- Agency Portal Grants Management User Manual: https://cops.usdoj.gov/pdf/2017AwardDocs/Agency_Portal_GrantsMgt_Manual.pdf
- Community Policing Defined: <https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P157>
- Community Policing Development (CPD) Page: <https://cops.usdoj.gov/default.asp?Item=2450>
- Contact information (including Response Center, FOIA, etc.): <https://cops.usdoj.gov/contact>
- Freedom of Information Act (FOIA): <https://cops.usdoj.gov/Default.asp?Item=40>
- Training resources: <https://cops.usdoj.gov/training>

System for Award Management (SAM): www.sam.gov

U.S. Department of Justice (DOJ): www.justice.gov

- DOJ Grants Financial Guide: <https://ojp.gov/financialguide/doj/index.htm>
- DOJ Office of Inspector General: <https://oig.justice.gov/hotline/index.htm>

Uniform Guidance: https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

USA Spending: <https://www.usaspending.gov/Pages/Default.aspx>

Appendix C. Community policing defined

Community policing is a philosophy that promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address the immediate conditions that give rise to public safety issues such as violent crime, nonviolent crime, and fear of crime.

Community policing is composed of three key components:

1. Community partnerships
2. Organizational transformation
3. Problem solving

Community partnerships

Community partnerships are collaborative partnerships between law enforcement agencies and the individuals and organizations they serve to develop solutions to problems and increase trust in police.

Community policing, recognizing that police rarely can solve public safety problems alone, encourages interactive partnerships with relevant stakeholders. The range of potential partners is large, and these partnerships can be used to accomplish the two interrelated goals of developing solutions to problems through collaborative problem solving and improving public trust. The public should play a role in prioritizing and addressing public safety problems.

Other government agencies

Law enforcement organizations can partner with a number of other government agencies to identify community concerns and offer alternative solutions. Examples of agencies include legislative bodies, prosecutors, probation and parole departments, public works departments, neighboring law enforcement agencies, health and human services departments, child support services, ordinance enforcement, and schools.

Community members or groups

Individuals who live, work, or otherwise have an interest in the community—volunteers, activists, formal and informal community leaders, residents, visitors and tourists, and commuters—are a valuable resource for identifying community concerns. These factions of the community can be engaged in achieving specific goals at town hall meetings, neighborhood association meetings, decentralized offices or storefronts in the community, and team beat assignments.

Nonprofits or service providers

Advocacy and community-based organizations that provide services to the community and advocate on its behalf can be powerful partners. These groups often work with or are composed of individuals who share common interests and can include such entities as victims groups, service clubs, support groups, issue groups, advocacy groups, community development corporations, and the faith community.

Institutions of higher education

Institutions of higher education create communities of students, professors, and personnel that are important stakeholders. The institutions can also provide resources to law enforcement agencies by assisting with communication strategies, facilitation of community meetings, data analysis, and research.

Private businesses

For-profit businesses also have a great stake in the health of the community and can be key partners because they often bring considerable resources to bear in addressing problems of mutual concern. Businesses can help identify problems and provide resources for responses, often including their own security technology and community outreach. The local chamber of commerce and visitor centers can also assist in disseminating information about police and business partnerships and initiatives, and crime prevention practices.

Media

The media represent a powerful mechanism by which to communicate with the community. They can assist with publicizing community concerns and available solutions, such as services from government or community agencies or new laws or codes that will be enforced. In addition, the media can have a significant impact on public perceptions of the police, crime problems, and fear of crime.

Organizational transformation

Organizational transformation is the alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem-solving.

The community policing philosophy focuses on the way that departments are organized and managed and how the infrastructure can be changed to support the philosophical shift behind community policing. It encourages the application of modern management practices to increase efficiency and effectiveness. Community policing emphasizes changes in organizational structures to institutionalize its adoption and infuse it throughout the entire department, including the way it is managed and organized, its personnel, and its technology.

Agency management

Under the community policing model, police management infuses community policing ideals throughout the agency by making a number of critical changes in climate and culture, leadership, formal labor relations, decentralized decision making and accountability, strategic planning, policing and procedures, organizational evaluations, and increased transparency.

Climate and culture

Changing the climate and culture means supporting a proactive orientation that values systematic problem solving and partnerships. Formal organizational changes should support the informal networks and communication that take place within agencies to support this orientation.

Leadership

Leaders serve as role models for taking risks and building collaborative relationships to implement community policing, and they use their position to influence and educate others about it. Leaders, therefore, must constantly emphasize and reinforce community policing's vision, values, and mission within their organization and support and articulate a commitment to community policing as the predominant way of doing business.

Labor relations

If community policing is going to be effective, police unions and similar forms of organized labor must be a part of the process and function as partners in the adoption of the community policing philosophy. Including labor groups in agency changes can ensure support for the changes that are imperative to community policing implementation.

Decision making

Community policing calls for decentralization both in command structure and decision making. Decentralized decision making allows front-line officers to take responsibility for their role in community policing. When an officer is able to create solutions to problems and take risks, he or she ultimately feels accountable for those solutions and assumes a greater responsibility for the well-being of the community. Decentralized decision making involves flattening the hierarchy of the agency, increasing tolerance for risk taking in problem-solving efforts, and allowing officers discretion in handling calls. In addition, providing sufficient authority to coordinate various resources to attack a problem and allowing officers the autonomy to establish relationships with the community will help define problems and develop possible solutions.

Strategic planning

The department should have a written statement reflecting a department-wide commitment to community policing and a plan that matches operational needs to available resources and expertise. If a strategic plan is to have value, the members of the organization should be well-versed in it and be able to give examples of their efforts that support the plan. Components such as the organization's mission and values statement should be simple and communicated widely.

Policies

Community policing affects the nature and development of department policies and procedures to ensure that community policing principles and practices have an effect on activities on the street. Problem solving and partnerships, therefore, should become institutionalized in policies, along with corresponding sets of procedures, where appropriate.

Organizational evaluations

In addition to the typical measures of police performance (arrests, response times, tickets issued, and crime rates) community policing calls for a broadening of police outcome measures to include such things as greater community satisfaction, less fear of crime, the alleviation of problems, and improvement in quality of life. Community policing calls for a more sophisticated approach to evaluation—one that looks at not only how outcomes are measured, but also at how feedback information is used.

Transparency

Community policing involves decision-making processes that are more open than traditional policing. If the community is to be a full partner, the department needs mechanisms for readily sharing relevant information on crime and social disorder problems and police operations with the community.

Organizational structure

It is important that the organizational structure of the agency ensure that local patrol officers have decision-making authority and are accountable for their actions. This can be achieved through long-term assignments, the development of officers who are generalists, and using special units appropriately.

Geographic assignment of officers

With community policing, there is a shift to the long-term assignment of officers to specific neighborhoods or areas. Geographic deployment plans can help enhance customer service and facilitate more contact between police and the community, thus establishing a strong relationships and mutual accountability. Patrol beat boundaries should be aligned to neighborhood boundaries to enhance officers' understanding of communities within their patrol areas and to build trust within the community. Other community policing partners should become familiar with both the patrol officers and community policing officers assigned within each patrol beat to coordinate government and nongovernment community policing activities.

Despecialization

To achieve community policing goals, officers have to be able to handle multiple responsibilities and take a team approach to collaborative problem solving and partnering with the community. Community policing encourages its adoption agency-wide, not just by special units, although there may be a need for specialist units that are tasked with identifying and solving particularly complex problems or managing complex partnerships.

Resources (time, finances, and people)

Agencies have to devote the necessary human and financial resources and the investment of time to support community policing to ensure that problem-solving efforts are robust and that partnerships are sustained and effective.

Personnel

The principles of community policing need to be infused throughout the entire personnel system of an agency including recruitment, hiring, selection, and retention of all law enforcement agency staff, from sworn officers to civilians and volunteers. Personnel evaluations, supervision, and training must also be aligned with the agencies' community policing views.

Recruitment, hiring, and selection

Agencies need a systematic means of incorporating community policing elements into their recruitment, selection, and hiring processes. Job descriptions should recognize community policing and problem-solving responsibilities and encourage the recruitment of officers who have a spirit of service instead of only a spirit of adventure. A community policing agency must also thoughtfully examine where it looks for recruits, whom it is recruiting and hiring, and

what is being tested. Agencies are also encouraged to seek community involvement in this process through the identification of competencies and participation in review boards.

Personnel supervision/evaluations

Supervisors must tie performance evaluations to community policing principles and activities that are incorporated into job descriptions. Performance, reward, and promotional procedures should support sound problem-solving activities, proactive policing, community collaboration, and community satisfaction with police services.

Training

Training at all levels—academy, field, and in-service—must support community policing principles and tactics. It also needs to encourage creative thinking, a proactive orientation, communication and analytical skills, and techniques for dealing with quality-of-life concerns and maintaining order. Officers can be trained to identify and correct conditions that could lead to crime, raise public awareness, and engage the community in finding solutions to problems. Field training officers and supervisors need to learn how to encourage problem solving and help officers learn from other problem-solving initiatives. Until community policing is institutionalized within the organization, training in its fundamental principles will need to take place regularly.

Information technology systems

Community policing is highly information-intensive, and technology plays a central role in providing ready access to quality information. Accurate and timely information makes problem-solving efforts more effective and ensures that officers are informed about the crime and community conditions of their patrol beat. In addition, technological enhancements can greatly assist with accessing information to provide vital resources, improving two-way communication with community members, and developing agency accountability systems and performance outcome measures.

Communication/access to data

Technology provides agencies with an important forum by which to communicate externally with the public and internally within their organization. To communicate with the public, community policing encourages agencies to develop two-way communication systems through the Internet that allow for online reports; reverse 911; e-mail alerts; Internet social media discussion forums; and feedback on interactive applications (such as surveys and geographical information), thereby creating open, ongoing dialogues and increasing transparency.

Technology encourages effective internal communication through memoranda, reports, newsletters, e-mail and enhanced incident reporting, dispatch functions, and communications interoperability with other entities for more efficient operations. Community policing also encourages the use of technology to develop accountability and performance measurement systems that are timely and contain accurate metrics and a broad array of measures and information.

Community policing encourages the use of technology to provide officers with ready access to timely information on crime and community characteristics within their beats, either through laptop computers in their patrol cars or through personal data devices. In addition, technology can support crime/problem analysis functions by enabling agencies to gather more detailed information about offenders, victims, crime locations, and quality-of-life concerns, and to further enhance analysis.

Quality and accuracy of data

Information is only as good as its source; therefore, it is not useful if it is of questionable quality and accuracy. Community policing encourages agencies to put safeguards in place to ensure that information from various sources is collected in a systematic fashion and entered into central systems that are linked to one another and checked for accuracy so that it can be used effectively for strategic planning, problem solving, and performance measurement.

Problem solving

The process of engaging in the proactive and systematic examination of identified problems to develop and evaluate effective responses.

Community policing emphasizes proactive problem solving in a systematic and routine fashion. Rather than responding to crime only after it occurs, community policing encourages agencies to proactively develop solutions to the immediate underlying conditions contributing to public safety problems. Problem solving must be infused into all police operations and guide decision-making efforts. Agencies are encouraged to think innovatively about their responses and view making arrests as only one of a wide array of potential responses. A major conceptual vehicle for helping officers to think about problem solving in a structured and disciplined way is the SARA (scanning, analysis, response, and assessment) problem-solving model.

Scanning: Identifying and prioritizing problems

The objectives of scanning are to identify a basic problem, determine the nature of that problem, determine the scope of seriousness of the problem, and establish baseline measures. An inclusive list of stakeholders for the selected problem is typically identified in this phase. A problem can be thought of as two or more incidents similar in one or more ways and that is of concern to the police and the community. Problems can be a type of behavior, a place, a person or persons, a special event or time, or a combination of any of these. The police, with input from the community, should identify and prioritize concerns.

Analysis: Researching what is known about the problem

Analysis is the heart of the problem-solving process. The objectives of analysis are to develop an understanding of the dynamics of the problem, develop an understanding of the limits of current responses, establish correlation, and develop an understanding of cause and effect. As part of the analysis phase, it is important to find out as much as possible about each aspect of the crime triangle by asking who?, what?, when?, where?, how?, why?, and why not? about the victim, offender, and crime location.

Response: Developing solutions to bring about lasting reductions in the number and extent of problems

The response phase of the SARA model involves developing and implementing strategies to address an identified problem by searching for strategic responses that are both broad and uninhibited. The response should follow logically from the knowledge learned during the analysis and should be tailored to the specific problem. The goals of the response can range from totally eliminating the problem through substantially reducing the problem or reducing the amount of harm caused by the problem to improving the quality of community cohesion.

Assessment: Evaluating the success of the responses

Assessment attempts to determine if the response strategies were successful by understanding if the problem declined and if the response contributed to the decline. This information not only assists the current effort but also gathers data that build knowledge for the future. Strategies and programs can be assessed for process, outcomes, or both. If the responses implemented are not effective, the information gathered during analysis should be reviewed. New information may have to be collected before new solutions can be developed and tested. The entire process should be viewed as circular rather than linear, meaning that additional scanning, analysis, or responses may be required.

Using the crime triangle to focus on immediate conditions (victim/offender/location)

To understand a problem, many problem solvers have found it useful to visualize links among the victim, offender, and location (the crime triangle) and those factors that could have an impact on them, for example, capable guardians for victims (e.g., security guards, teachers, and neighbors), handlers for offenders (e.g., parents, friends, and probation), and managers for locations (e.g., business merchants, park employees, and motel clerks). Rather than focusing primarily on addressing the root causes of a problem, the police focus on the factors that are within their reach, such as limiting criminal opportunities and access to victims, increasing guardianship, and associating risk with unwanted behavior.

This information is adapted from *Community Policing Defined*, which can be found at <https://ric-zai-inc.com/Publications/cops-p157-pub.pdf>.

COPS Office Resources

The COPS Office information resources, covering a wide range of community policing topics – from school and campus safety to gang violence – can be downloaded at <https://ric-zai-inc.com>.

Appendix D. Blank SF-424

This appendix contains a blank copy of form SF-424.

Application for Federal Assistance SF-424

*** 1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

*** 2. Type of Application:**

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN):

* c. Organizational DUNS:

d. Address:

* Street1:

Street2:

* City:

County/Parish:

* State:

Province:

* Country:

* Zip / Postal Code:

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Middle Name:

* Last Name:

Suffix:

Title:

Organizational Affiliation:

* Telephone Number:

Fax Number:

* Email:

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal
* b. Applicant
* c. State
* d. Local
* e. Other
* f. Program Income
* g. TOTAL

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**** I AGREE**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

Appendix E. U.S. Department of Justice Certified Standard Assurances

U.S. DEPARTMENT OF JUSTICE CERTIFIED STANDARD ASSURANCES

On behalf of the Applicant, and in support of this application for a grant or cooperative agreement, I certify under penalty of perjury to the U.S. Department of Justice ("Department"), that all of the following are true and correct:

I have the authority to make the following representations on behalf of myself and the Applicant. I understand that these representations will be relied upon as material in any Department decision to make an award to the Applicant based on its application.

I certify that the Applicant has the legal authority to apply for the federal assistance sought by the application, and that it has the institutional, managerial, and financial capability (including funds sufficient to pay any required non-federal share of project costs) to plan, manage, and complete the project described in the application properly.

I assure that, throughout the period of performance for the award (if any) made by the Department based on the application--

- a. the Applicant will comply with all award requirements and all federal statutes and regulations applicable to the award;
- b. the Applicant will require all subrecipients to comply with all applicable award requirements and all applicable federal statutes and regulations; and
- c. the Applicant will maintain safeguards to address and prevent any organizational conflict of interest, and also to prohibit employees from using their positions in any manner that poses, or appears to pose, a personal or financial conflict of interest.

The Applicant understands that the federal statutes and regulations applicable to the award (if any) made by the Department based on the application specifically include statutes and regulations pertaining to civil rights and nondiscrimination, and, in addition--

- a. the Applicant understands that the applicable statutes pertaining to civil rights will include section 601 of the Civil Rights Act of 1964 (42 U.S.C. § 2000d); section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794); section 901 of the Education Amendments of 1972 (20 U.S.C. § 1681); and section 303 of the Age Discrimination Act of 1975 (42 U.S.C. § 6102);
- b. the Applicant understands that the applicable statutes pertaining to nondiscrimination may include section 809(c) of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (34 U.S.C. § 10228(c)); section 1407(e) of the Victims of Crime Act of 1984 (34 U.S.C. § 20110(e)); section 299A(b) of the Juvenile Justice and Delinquency Prevention Act of 2002 (34 U.S.C. § 11182(b)); and that the grant condition set out at section 40002(b)(13) of the Violence Against Women Act (34 U.S.C. § 12291(b)(13)), which will apply to all awards made by the Office on Violence Against Women, also may apply to an award made otherwise;
- c. the Applicant understands that it must require any subrecipient to comply with all such applicable statutes (and associated regulations); and
- d. on behalf of the Applicant, I make the specific assurances set out in 28 C.F.R. §§ 42.105 and 42.204.

The Applicant also understands that (in addition to any applicable program-specific regulations and to applicable federal regulations that pertain to civil rights and nondiscrimination) the federal regulations applicable to the award (if any) made by the Department based on the application may include, but are not limited to, 28 C.F.R. Part 2800 (the DOJ "Part 200 Uniform Requirements") and 28 C.F.R. Parts 22 (confidentiality - research and statistical

information), 23 (criminal intelligence systems), 38 (regarding faith-based or religious organizations participating in federal financial assistance programs), and 46 (human subjects protection).

I assure that the Applicant will assist the Department as necessary (and will require subrecipients and contractors to assist as necessary) with the Department's compliance with section 106 of the National Historic Preservation Act of 1966 (54 U.S.C. § 306108), the Archeological and Historical Preservation Act of 1974 (54 U.S.C. §§ 312501-312508), and the National Environmental Policy Act of 1969 (42 U.S.C. §§ 4321-4335), and 28 C.F.R. Parts 61 (NEPA) and 63 (floodplains and wetlands).

I assure that the Applicant will give the Department and the Government Accountability Office, through any authorized representative, access to, and opportunity to examine, all paper or electronic records related to the award (if any) made by the Department based on the application.

I assure that, if the Applicant is a governmental entity, with respect to the award (if any) made by the Department based on the application—

- a. it will comply with the requirements of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. §§ 4601-4655), which govern the treatment of persons displaced as a result of federal and federally-assisted programs; and
- b. it will comply with requirements of 5 U.S.C. §§ 1501-1508 and 7324-7328, which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by federal assistance.

If the Applicant applies for and receives an award from the Office of Community Oriented Policing Services (COPS Office), I assure that as required by 34 U.S.C. § 10382(c)(11), it will, to the extent practicable and consistent with applicable law—including, but not limited to, the Indian Self- Determination and Education Assistance Act—seek, recruit, and hire qualified members of racial and ethnic minority groups and qualified women in order to further effective law enforcement by increasing their ranks within the sworn positions, as provided under 34 U.S.C. § 10382(c)(11).

I acknowledge that a materially false, fictitious, or fraudulent statement (or concealment or omission of a material fact) in this certification, or in the application that it supports, may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 34 U.S.C. §§ 10271-10273), and also may subject me and the Applicant to civil penalties and administrative remedies for false claims or otherwise (including under 31 U.S.C. §§ 3729-3730 and 3801-3812). I also acknowledge that the Department's awards, including certifications provided in connection with such awards, are subject to review by the Department, including by its Office of the Inspector General.

Signature of Law Enforcement Executive/Agency Executive

Date

(For your electronic signature, please type in your name)

Signature of Government Executive/Financial Official

Date

(For your electronic signature, please type in your name)

Appendix F. U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; And Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the U.S. Department of Justice (“Department”) determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by 31 U.S.C. § 1352, as implemented by 28 C.F.R. Part 69, the Applicant certifies and assures (to the extent applicable) the following:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Applicant, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If the Applicant’s request for Federal funds is in excess of \$100,000, and any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal grant or cooperative agreement, the Applicant shall complete and submit Standard Form - LLL, “Disclosure of Lobbying Activities” in accordance with its (and any DOJ awarding agency’s) instructions; and
- (c) The Applicant shall require that the language of this certification be included in the award documents for all subgrants and procurement contracts (and their subcontracts) funded with Federal award funds and shall ensure that any certifications or lobbying disclosures required of recipients of such subgrants and procurement contracts (or their subcontractors) are made and filed in accordance with 31 U.S.C. § 1352.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

- A. Pursuant to Department regulations on nonprocurement debarment and suspension implemented at 2 C.F.R. Part 2867, and to other related requirements, the Applicant certifies, with respect to prospective participants in a primary tier “covered transaction,” as defined at 2 C.F.R. § 2867.20(a), that neither it nor any of its principals—
 - (a) is presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) has within a three-year period preceding this application been convicted of a felony criminal violation under any Federal law, or been convicted or had a civil judgment rendered against it for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, tribal, or local) transaction or private agreement or transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion or receiving stolen

- property, making false claims, or obstruction of justice, or commission of any offense indicating a lack of business integrity or business honesty that seriously and directly affects its (or its principals') present responsibility;
- (c) is presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, tribal, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and/or
 - (d) has within a three-year period preceding this application had one or more public transactions (Federal, State, tribal, or local) terminated for cause or default.
- B. Where the Applicant is unable to certify to any of the statements in this certification, it shall attach an explanation to this application. Where the Applicant or any of its principals was convicted, within a three-year period preceding this application, of a felony criminal violation under any Federal law, the Applicant also must disclose such felony criminal conviction in writing to the Department (for OJP Applicants, to OJP at Ojpcompliancereporting@usdoj.gov; for OVW Applicants, to OVW at OVW.GFMD@usdoj.gov; or for COPS Applicants, to COPS at AskCOPSRC@usdoj.gov), unless such disclosure has already been made.
3. FEDERAL TAXES
- A. If the Applicant is a corporation, it certifies either that (1) the corporation has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, or (2) the corporation has provided written notice of such an unpaid tax liability (or liabilities) to the Department (for OJP Applicants, to OJP at Ojpcompliancereporting@usdoj.gov; for OVW Applicants, to OVW at OVW.GFMD@usdoj.gov; or for COPS Applicants, to COPS at AskCOPSRC@usdoj.gov).
 - B. Where the Applicant is unable to certify to any of the statements in this certification, it shall attach an explanation to this application.
4. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)
- As required by the Drug-Free Workplace Act of 1988, as implemented at 28 C.F.R. Part 83, Subpart F, for grantees, as defined at 28 C.F.R. §§ 83.620 and 83.650:
- A. The Applicant certifies and assures that it will, or will continue to, provide a drug-free workplace by—
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an on-going drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The Applicant's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the award, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of the employee's conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

- (e) Notifying the Department, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title of any such convicted employee to the Department, as follows:

- For COPS award recipients - COPS Office, 145 N Street, NE, Washington, DC, 20530;

- For OJP and OVW award recipients - U.S. Department of Justice, Office of Justice Programs, ATTN: Control Desk, 810 7th Street, N.W., Washington, D.C. 20531.

- Notice shall include the identification number(s) of each affected award;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

5. COORDINATION REQUIRED UNDER PUBLIC SAFETY AND COMMUNITY POLICING PROGRAMS

As required by the Public Safety Partnership and Community Policing Act of 1994, at 34 U.S.C. § 10382(c)(5), if this application is for a COPS award, the Applicant certifies that there has been appropriate coordination with all agencies that may be affected by its award. Affected agencies may include, among others, Offices of the United States Attorneys; State, local, or tribal prosecutors; or correctional agencies.

I acknowledge that a materially false, fictitious, or fraudulent statement (or concealment or omission of a material fact) in this certification, or in the application that it supports, may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 34 U.S.C. §§ 10271-10273), and also may subject me and the Applicant to civil penalties and administrative remedies for false claims or otherwise (including under 31 U.S.C. §§ 3729-3730 and 3801-3812). I also acknowledge that the Department’s awards, including certifications provided in connection with such awards, are subject to review by the Department, including by its Office of the Inspector General.

Signature of Law Enforcement Executive/Agency Executive

Date

(For your electronic signature, please type in your name)

Signature of Government Executive/Financial Official

Date

(For your electronic signature, please type in your name)

Appendix G. Blank SF-LLL, Disclosure of Lobbying Activities Form

This appendix contains a blank copy of form SF-LLL and instructions for completing it.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB

4040-0013

Review Public Burden Disclosure Statement

1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input type="checkbox"/> a. initial filing <input checked="" type="checkbox"/> b. material change For Material Change Only: year <input type="text"/> quarter <input type="text"/> date of last report <input type="text"/>
--	--	--

4. Name and Address of Reporting Entity:
 Prime SubAwardee
* Name
* Street 1 Street 2
* City State Zip
Congressional District, if known:

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency: <input type="text"/>	7. * Federal Program Name/Description: <input type="text"/> CFDA Number, if applicable: <input type="text"/>
--	---

8. Federal Action Number, if known: <input type="text"/>	9. Award Amount, if known: \$ <input type="text"/>
--	--

10. a. Name and Address of Lobbying Registrant:
Prefix * First Name Middle Name
* Last Name Suffix
* Street 1 Street 2
* City State Zip

b. Individual Performing Services (including address if different from No. 10a)
Prefix * First Name Middle Name
* Last Name Suffix
* Street 1 Street 2
* City State Zip

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* Signature:
* Name: Prefix * First Name Middle Name
* Last Name Suffix
Title: Telephone No.: Date:

Instructions for completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 4040-0013. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and

maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (4040-0013), Washington, DC 20503

Appendix H: Award Condition for Compliance with 8 U.S.C. § 1373

Authority to obligate or expend contingent on compliance with 8 U.S.C. 1373

NOTE: This grant condition applies only to state or local government entities or to non-state or local government entities that make subawards with these funds to a state or local government entity.

State or local government entity recipients of this award, and any subrecipient of this award at any tier that is an entity of a State or of a unit of local government, may not obligate or expend award funds if – at the time of the obligation or expenditure – the “program or activity” of the recipient funded in whole or in part with the award funds (which includes any such program or activity of any subrecipient at any tier) is subject to any prohibitions or restrictions on sending to, requesting or receiving from, maintaining, or exchanging information on citizenship or immigration status as described in 8 U.S.C. 1373(a) or (b), including any prohibitions or restrictions imposed or established by a state or local government entity or official.

A subrecipient of this award (at any tier) that is an entity of a State or of a unit of local government may not obligate or expend award funds if – at the time of the obligation or expenditure – the “program or activity” of the subrecipient (which includes any such program or activity of any subrecipient at any further tier) funded (in whole or in part) with award funds is subject to any prohibitions or restrictions on sending to, requesting or receiving from, maintaining, or exchanging information on citizenship or immigration status as described in 8 U.S.C. 1373(a) or (b), including any prohibitions or restrictions imposed by a state or local government entity or official.

Any obligations or expenditures of a recipient or subrecipient that are impermissible under this condition shall be unallowable costs for purposes of this award.

Rules of Construction. For purposes of this condition, “program or activity” means what it means under section 606 of title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-4a).

Pursuant to 8 U.S.C. 1551 note, references to the Immigration and Naturalization Service in 8 U.S.C. 1373 are to be read, as a legal matter, as references to particular components of the U.S. Department of Homeland Security.

Should any provision of a condition of this award be held to be invalid or unenforceable by its terms, then that provision shall first be applied with a limited construction so as to give it the maximum effect permitted by law (to any person or circumstance) under this award. Should it be held, instead, that a condition (or a provision thereof) is of utter invalidity or unenforceability, such condition (or such provision) shall be deemed severable from this award.

Any questions about the meaning or scope of this condition should be directed, prior to acceptance of this award, to the Office of Community Oriented Policing Services Legal Division at 202-514-3750.

Appendix I: Appendix II to Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

- (A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. § 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.
- (B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.
- (C) **Equal Employment Opportunity.** Except as otherwise provided under 41 C.F.R. Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 C.F.R. Part 60-1.3 must include the equal opportunity clause provided under 41 C.F.R. 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 C.F.R. Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 C.F.R. part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”
- (D) **Davis-Bacon Act, as amended (40 U.S.C. §§ 3141-3148).** When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. §§ 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 C.F.R. Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. § 3145), as supplemented by Department of Labor regulations (29 C.F.R. Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.
- (E) **Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 3701-3708).** Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. §§ 3702 and 3704, as supplemented by Department of Labor regulations (29 C.F.R. Part 5). Under 40 U.S.C. § 3702 of the Act, each contractor must be

required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. § 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

- (F) **Rights to Inventions Made Under a Contract or Agreement.** If the Federal award meets the definition of “funding agreement” under 37 C.F.R. § 401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 C.F.R. Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.
- (G) **Clean Air Act (42 U.S.C. §§ 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. §§ 1251-1387),** as amended—Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. §§ 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. §§ 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).
- (H) **Debarment and Suspension (Executive Orders 12549 and 12689)**—A contract award (see 2 C.F.R. § 180.220) must not be made to parties listed on the government-wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 C.F.R. Part 180 that implement Executive Orders 12549 (3 C.F.R. Part 1986 Comp., p. 189) and 12689 (3 C.F.R. Part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
- (I) **Byrd Anti-Lobbying Amendment (31 U.S.C. § 1352)**—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract or any other award covered by 31 U.S.C. § 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.
- (J) **See §200.322 Procurement of recovered materials.**

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75888, Dec. 19, 2014]

Appendix J: Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters

General Reporting Requirement

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. § 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

Proceedings About Which You Must Report

Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five year period; and
- c. Is one of the following:
 - (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
 - (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
 - (3) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
 - (4) Any other criminal, civil, or administrative proceeding if:
 - (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;
 - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
 - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

Definitions

For purposes of this award term and condition:

- a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (*e.g.*, Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
- b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of *nolo contendere*.
- c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—
 - (1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
 - (2) The value of all expected funding increments under a Federal award and options, even if not yet exercised.
- d. [Reserved]

[80 FR 43310, July 22, 2015]

Appendix K: 41 U.S.C. § 4712 - Enhancement of contractor protection from reprisal for disclosure of certain information

(a) Prohibition of reprisals.--

(1) In general.--An employee of a contractor, subcontractor, grantee, or subgrantee or personal services contractor may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing to a person or body described in paragraph (2) information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract or grant, a gross waste of Federal funds, an abuse of authority relating to a Federal contract or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract) or grant.

(2) Persons and bodies covered.--The persons and bodies described in this paragraph are the persons and bodies as follows:

(A) A Member of Congress or a representative of a committee of Congress.

(B) An Inspector General.

(C) The Government Accountability Office.

(D) A Federal employee responsible for contract or grant oversight or management at the relevant agency.

(E) An authorized official of the Department of Justice or other law enforcement agency.

(F) A court or grand jury.

(G) A management official or other employee of the contractor, subcontractor, or grantee who has the responsibility to investigate, discover, or address misconduct.

(3) Rules of construction.--For the purposes of paragraph (1)--

(A) an employee who initiates or provides evidence of contractor, subcontractor, or grantee misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract or grant shall be deemed to have made a disclosure covered by such paragraph; and

(B) a reprisal described in paragraph (1) is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Investigation of complaints.--

(1) Submission of complaint.--A person who believes that the person has been subjected to a reprisal prohibited by subsection (a) may submit a complaint to the Inspector General of the executive agency involved. Unless the Inspector General determines that the complaint is frivolous, fails to allege a violation of the prohibition in subsection (a), or has previously been addressed in another Federal or State judicial or administrative proceeding

initiated by the complainant, the Inspector General shall investigate the complaint and, upon completion of such investigation, submit a report of the findings of the investigation to the person, the contractor or grantee concerned, and the head of the agency.

(2) Inspector General action.--

(A) Determination or submission of report on findings.--Except as provided under subparagraph (B), the Inspector General shall make a determination that a complaint is frivolous, fails to allege a violation of the prohibition in subsection (a), or has previously been addressed in another Federal or State judicial or administrative proceeding initiated by the complainant or submit a report under paragraph (1) within 180 days after receiving the complaint.

(B) Extension of time.--If the Inspector General is unable to complete an investigation in time to submit a report within the 180-day period specified in subparagraph (A) and the person submitting the complaint agrees to an extension of time, the Inspector General shall submit a report under paragraph (1) within such additional period of time, up to 180 days, as shall be agreed upon between the Inspector General and the person submitting the complaint.

(3) Prohibition on disclosure.--The Inspector General may not respond to any inquiry or disclose any information from or about any person alleging the reprisal, except to the extent that such response or disclosure is--

(A) made with the consent of the person alleging the reprisal;

(B) made in accordance with the provisions of **section 552a of title 5** or as required by any other applicable Federal law; or

(C) necessary to conduct an investigation of the alleged reprisal.

(4) Time limitation.--A complaint may not be brought under this subsection more than three years after the date on which the alleged reprisal took place.

(c) Remedy and enforcement authority.--

(1) In general.--Not later than 30 days after receiving an Inspector General report pursuant to subsection (b), the head of the executive agency concerned shall determine whether there is sufficient basis to conclude that the contractor or grantee concerned has subjected the complainant to a reprisal prohibited by subsection (a) and shall either issue an order denying relief or shall take one or more of the following actions:

(A) Order the contractor or grantee to take affirmative action to abate the reprisal.

(B) Order the contractor or grantee to reinstate the person to the position that the person held before the reprisal, together with compensatory damages (including back pay), employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.

(C) Order the contractor or grantee to pay the complainant an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the complainant for, or in connection with, bringing the complaint regarding the reprisal, as determined by the head of the executive agency.

(2) Exhaustion of remedies.--If the head of an executive agency issues an order denying relief under paragraph (1) or has not issued an order within 210 days after the submission of a complaint under subsection (b), or in the case

of an extension of time under paragraph (b)(2)(B), not later than 30 days after the expiration of the extension of time, and there is no showing that such delay is due to the bad faith of the complainant, the complainant shall be deemed to have exhausted all administrative remedies with respect to the complaint, and the complainant may bring a de novo action at law or equity against the contractor or grantee to seek compensatory damages and other relief available under this section in the appropriate district court of the United States, which shall have jurisdiction over such an action without regard to the amount in controversy. Such an action shall, at the request of either party to the action, be tried by the court with a jury. An action under this paragraph may not be brought more than two years after the date on which remedies are deemed to have been exhausted.

(3) Admissibility of evidence.--An Inspector General determination and an agency head order denying relief under paragraph (2) shall be admissible in evidence in any de novo action at law or equity brought pursuant to this subsection.

(4) Enforcement of orders.--Whenever a person fails to comply with an order issued under paragraph (1), the head of the executive agency concerned shall file an action for enforcement of such order in the United States district court for a district in which the reprisal was found to have occurred. In any action brought under this paragraph, the court may grant appropriate relief, including injunctive relief, compensatory and exemplary damages, and attorney fees and costs. The person upon whose behalf an order was issued may also file such an action or join in an action filed by the head of the executive agency.

(5) Judicial review.--Any person adversely affected or aggrieved by an order issued under paragraph (1) may obtain review of the order's conformance with this subsection, and any regulations issued to carry out this section, in the United States court of appeals for a circuit in which the reprisal is alleged in the order to have occurred. No petition seeking such review may be filed more than 60 days after issuance of the order by the head of the executive agency. Review shall conform to chapter 7 of title 5. Filing such an appeal shall not act to stay the enforcement of the order of the head of an executive agency, unless a stay is specifically entered by the court.

(6) Burdens of proof.--The legal burdens of proof specified in **section 1221(e) of title 5** shall be controlling for the purposes of any investigation conducted by an Inspector General, decision by the head of an executive agency, or judicial or administrative proceeding to determine whether discrimination prohibited under this section has occurred.

(7) Rights and remedies not waivable.--The rights and remedies provided for in this section may not be waived by any agreement, policy, form, or condition of employment.

(d) Notification of employees.--The head of each executive agency shall ensure that contractors, subcontractors, and grantees of the agency inform their employees in writing of the rights and remedies provided under this section, in the predominant native language of the workforce.

(e) Construction.--Nothing in this section may be construed to authorize the discharge of, demotion of, or discrimination against an employee for a disclosure other than a disclosure protected by subsection (a) or to modify or derogate from a right or remedy otherwise available to the employee.

(f) Exceptions.--(1) This section shall not apply to any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (**50 U.S.C. 401a(4)**).

(2) This section shall not apply to any disclosure made by an employee of a contractor, subcontractor, or grantee of an element of the intelligence community if such disclosure--

(A) relates to an activity of an element of the intelligence community; or

(B) was discovered during contract, subcontract, or grantee services provided to an element of the intelligence community.

(g) Definitions.--In this section:

(1) The term “abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract or grant of such agency.

(2) The term “Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts or grants awarded for or on behalf of, the executive agency concerned.

(h) Construction.--Nothing in this section, or the amendments made by this section,¹ shall be construed to provide any rights to disclose classified information not otherwise provided by law.

[(i) Repealed by Pub.L. 114-261, § 1(a)(3)(A)(ii), Dec. 14, 2016, 130 Stat. 1362]

Appendix L. Intergovernmental review process, points of contact by state

Executive Order 12372 requires applicants from state and local units of government or other organizations or individuals providing service within a state to submit a copy of the application to the state single point of contact (SPOC), if one exists and if this program has been selected for review by the state. Before the application due date, you must contact your state SPOC to find out if this program has been selected for review and comply with the state's process under Executive Order 12372. The Catalog of Federal Domestic Assistance reference for this program is number 16.710, "Public Safety and Community Policing Grants."

A current list of state SPOCs is listed at <https://www.archives.gov/federal-register/codification/executive-order/12372.html>. States that are not listed have chosen not to participate in the intergovernmental review process and therefore do not have an SPOC.

Appendix M. Federal Funding Accountability and Transparency Act (FFATA)—Reporting subaward and executive compensation award term

Appendix A to Part 170—Award term

I. Reporting Subawards and Executive Compensation.

a. Reporting of first-tier subawards.

1. **Applicability.** Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
2. **Where and when to report.**
 - i. You must report each obligating action described in paragraph a.1. of this award term to <https://www.fsrc.gov>.
 - ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
3. **What to report.** You must report the information about each obligating action that the submission instructions posted at <https://www.fsrc.gov> specify.

b. Reporting Total Compensation of Recipient Executives.

1. **Applicability and what to report.** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
 - i. the total Federal funding authorized to date under this award is \$25,000 or more;
 - ii. in the preceding fiscal year, you received—
 - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
 - iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To

determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <https://www.sec.gov/answers/excomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:
 - i. As part of your registration profile at <https://www.sam.gov>.
 - ii. By the end of the month following the month in which this award is made, and annually thereafter.
- c. Reporting of Total Compensation of Subrecipient Executives.
 1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—
 - i. in the subrecipient's preceding fiscal year, the subrecipient received—
 - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
 - ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <https://www.sec.gov/answers/excomp.htm>.)
 2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:
 - i. To the recipient.
 - ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards,

and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 C.F.R. Part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. *Subaward*:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __ .210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. *Subrecipient* means an entity that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 C.F.R. § 229.402(c)(2)):
- i. *Salary and bonus.*
 - ii. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - iii. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
 - iv. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
 - v. *Above-market earnings on deferred compensation which is not tax-qualified.*
 - vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

Appendix N. System for Award Management (SAM) and universal identifier award term

Appendix A to Part 25—Award Term

I. System for Award Management and Universal Identifier Requirements

A. *Requirement for System for Award Management*

Unless you are exempted from this requirement under 2 C.F.R. § 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

B. *Requirement for unique entity identifier*

If you are authorized to make subawards under this award, you:

1. *Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.*
2. *May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.*

C. *Definitions*

For purposes of this award term:

1. *System for Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <https://www.sam.gov>).
2. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
3. *Entity*, as it is used in this award term, means all of the following, as defined at 2 C.F.R. Part 25, subpart C:
 - a. A Governmental organization, which is a State, local government, or Indian Tribe;
 - b. A foreign public entity;
 - c. A domestic or foreign nonprofit organization;
 - d. A domestic or foreign for-profit organization; and
 - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. *Subaward*:
 - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.330).
 - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. *Subrecipient* means an entity that:
 - a. Receives a subaward from you under this award; and
 - b. Is accountable to you for the use of the Federal funds provided by the subaward.

Appendix O. General instructions for two-part application submission process

FY 2018 COPS Office online application procedures

Note: If your agency has previously applied for awards using Grants.gov, and you already have an account set up with your username and password, please skip step 1 and proceed to step 2. For additional instructions on how to register with Grants.gov please visit <https://www.grants.gov/web/grants/applicants/organization-registration.html>.

Step 1

Please click this link for details on how to register with Grants.gov:

https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get_Started%2FGet_Started.htm.

Step 2. Submitting a COPS Office award application using Grants.gov

1. Log in to www.grants.gov.
2. Scroll to the center of the page and click the “Apply for Grants” link in the center of the page.
3. Click on the “Download a Grant Application Package” link.
4. Scroll down to the “Funding Opportunity Number” box and enter COPS-CPD-Application-2018. Then click on “Download Package.”
5. Click the “Download” link at the bottom right of the page under the “Instructions & Application” heading.
6. To view the SF-424 instructions, click the “Download Application Instructions” link.
7. To start the application, click “Download Application Package,” which is the second link.
8. Enter an application filing name of your choice (e.g., agency legal name and program type for which you are applying) into the “Application File Name” text box, which is highlighted yellow with a red border.
9. In the “Mandatory Documents” field, do the following:
 - a. Select the “Application for Federal Assistance (SF-424)” document then click on the “Move Form to Complete” button so that the form appears under the “Mandatory Documents for Submission” field.
 - b. Select “COPS Office Short Application Attachment to SF-424,” then click the “Move Form to Complete” button so that the form appears under the “Mandatory Documents for Submission” field.
10. Select “Application for Federal Assistance” and click on the “Open Form” button. Be sure to fill in all required fields on the displayed documents, which are highlighted yellow with red borders. Last, select the program to which you are applying and enter or re-enter a correct ORI.
11. Click the “Save” button at the very top of the document.
12. In the “Save As” dialogue box, do the following:
 - a. Select a location that is easy to find within your computer (e.g., Desktop or My Documents).
 - b. Select the “Save” button to save the file to your selected location on your computer.

** Note: You will be required to save this document twice. You may either save it in the same location, which will overwrite the first one, or save it in a different location for redundancy.

13. Click on the “Save & Submit” button at the top of the document.
14. In the “Save As” dialogue box, do the following:
 - a. Select a location that is easy to find within your computer (e.g., Desktop or My Documents).
 - b. Select the “Save As” button to save the file to your selected location on your computer.
15. Enter your username and password for the authorized organizational representative (AOR). This is set up while registering with Grants.gov.
16. Wait until “Confirmation Page” appears to close the document. Take note of the grant ID number provided by Grants.gov for your file.
17. After the SF-424 has been successfully submitted, you will receive three emails from Grants.gov:
 - a. One email thanking the applicant for submission
 - b. A second email confirming Grants.gov validation
 - c. A third email stating the application was received by the agency
18. Within one business day, you will receive one of two emails from the COPS Office:
 - a. An email stating your application passed the COPS Office validation and providing a link to the COPS Office Application Program System.Or
 - b. An email stating that the COPS Office validation failed and that the issues must be corrected and resubmitted.

Correcting COPS Office validation errors

1. Open the application that was saved in step 12.
2. Edit fields that had errors.
3. Select the “Save & Submit” button.
4. In the “Save As” dialogue box, do the following:
 - a. Select a location that is easy to find within your computer (e.g., Desktop or My Documents).
 - b. Select the “Save” button to save the file to your selected location on your computer. Overwrite the existing application or save as a different file name on your computer.
5. Enter your username and password for the AOR account.
6. Wait until “Confirmation Page” appears to close the document. Take note of the new grant ID number provided by Grants.gov for your file.
7. After the SF-424 has been successfully submitted, you will receive three emails from Grants.gov.
 - a. One email thanking the applicant for submission.
 - b. A second email confirming Grants.gov validation.
 - c. A third email stating the application was received by the agency.
8. Within one business day, you will receive one of two emails from the COPS Office:
 - a. An email stating your application passed the COPS Office validation and providing a link to the COPS Office Application Program System.Or
 - b. An email stating that the COPS Office validation failed and that the issues must be corrected and resubmitted.

Appendix P. Certification of Compliance with 8 U.S.C. § 1373 form (Applicants)

The following Certification must be completed by all state or local government entities and, for the Community Policing Development Program, by non-state or local government entities that intend to use these funds, if awarded, to make subawards to a state or local government entity. To determine whether this Certification applies to your application, please check the appropriate box below:

- The applicant entity is a state or local government entity OR will use these funds, if awarded, to make subawards to a state or local government entity. (Certification Required)
- The applicant entity is a Tribal entity, non-profit entity, private entity, or other entity that is not a state or local government entity AND will not use these funds, if awarded, to make subawards to a state or local government entity. (Certification Not Required)

Certification of Compliance with 8 U.S.C. § 1373

On behalf of the applicant entity named below, I certify under penalty of perjury to the Office of Community Oriented Policing Services, U.S. Department of Justice, that all of the following is true and correct:

- (1) I am chief legal officer for the applicant entity named below and have the authority to make this certification on behalf of the applicant entity (that is, the entity applying directly to the Office of Community Oriented Policing Services). For purposes of this certification, the applicant entity's "chief legal officer" is that of the applicant's state or local governing body (e.g., state, city, county) or of the non-state or local government entity that is applying for funds and will make subawards to a state or local government entity.
- (2) I have carefully reviewed 8 U.S.C. § 1373(a) and (b), including the prohibitions on certain actions by State and local government entities and officials regarding information on citizenship and immigration status. I have reviewed the provisions set out at 8 U.S.C. § 1551 note, pursuant to which references to the Immigration and Naturalization Service in 8 U.S.C. § 1373 are to be read, as a legal matter, as references to particular components of the U.S. Department of Homeland Security.
- (3) I understand that the U.S. Department of Justice will require States and units of local government to comply with 8 U.S.C. § 1373 with respect to any "program or activity" funded in whole or in part with the federal financial assistance provided under the FY 2018 Office of Community Oriented Policing Services programs, including any such program or activity of a governmental entity that is a subrecipient (at any tier) of funds under an FY 2018 program.
- (4) I understand that, for purposes of this certification, "program or activity" means what it means under section 606 of title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d-4a).

- (5) I have conducted (or caused to be conducted on my behalf) a diligent inquiry and review concerning both—
- (a) the “program or activity” to be funded (in whole or in part) with the federal financial assistance sought by the applicant entity under the FY 2018 program, and
 - (b) any prohibitions or restrictions potentially applicable to the program or activity funded under the FY 2018 program that deal with sending to, requesting or receiving from, maintaining, or exchanging information of the types described in 8 U.S.C. § 1373(a) or (b), whether imposed by a state or local government entity or official.
- (6) As of the date of this certification, no state or local government entity or official has in effect (or purports to have in effect) any prohibition or restriction that is applicable to the program or activity to be funded in whole or in part under the FY 2018 program and that deals with sending to, requesting or receiving from, maintaining, or exchanging information of the types described in 8 U.S.C. § 1373(a) or (b).

I acknowledge that a false statement in this certification, or in the application that it supports, may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 42 U.S.C. § 3795), of administrative action, and/or of civil action in court. I also acknowledge that Office of Community Oriented Policing Services awards, including certifications provided in connection with such awards, are subject to review by the Office of Community Oriented Policing Services and/or by the Department of Justice’s Office of the Inspector General.

Signature of Chief Legal Officer

Printed Name of Chief Legal Officer

Date of Certification

Title of Chief Legal Officer

Name of Applicant Entity

Appendix Q. Certification of Compliance with 8 U.S.C. § 1373 form (Subrecipients)

The following Certification must be completed by all state or local government subrecipients that will receive FY 2018 Community Policing Development Program subaward funds.

Certification of Compliance with 8 U.S.C. § 1373

On behalf of the subrecipient entity named below, I certify under penalty of perjury to the Office of Community Oriented Policing Services, U.S. Department of Justice, that all of the following is true and correct:

- (1) I am chief legal officer for the subrecipient entity named below and have the authority to make this certification on behalf of the subrecipient entity (that is, the state or local government entity that will receive FY 2018 Community Policing Development Program subaward funds from awards made by the Office of Community Oriented Policing Services). For purposes of this certification, the subrecipient entity's "chief legal officer" is that of the subrecipient's state or local governing body (e.g., City or County Attorney).
- (2) I have carefully reviewed 8 U.S.C. § 1373(a) and (b), including the prohibitions on certain actions by State and local government entities and officials regarding information on citizenship and immigration status. I have reviewed the provisions set out at 8 U.S.C. § 1551 note, pursuant to which references to the Immigration and Naturalization Service in 8 U.S.C. § 1373 are to be read, as a legal matter, as references to particular components of the U.S. Department of Homeland Security.
- (3) I understand that the U.S. Department of Justice will require States and units of local government to comply with 8 U.S.C. § 1373 with respect to any "program or activity" funded in whole or in part with the federal financial assistance provided under the FY 2018 Office of Community Oriented Policing Services programs, including any such program or activity of a governmental entity that is a subrecipient (at any tier) of funds under an FY 2018 program.
- (4) I understand that, for purposes of this certification, "program or activity" means what it means under section 606 of title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d-4a).
- (5) I have conducted (or caused to be conducted on my behalf) a diligent inquiry and review concerning both—
 - (a) the "program or activity" to be funded (in whole or in part) with the federal financial assistance sought by the applicant entity under the FY 2018 program, and
 - (b) any prohibitions or restrictions potentially applicable to the program or activity funded under the FY 2018 program that deal with sending to, requesting or receiving from, maintaining, or exchanging information of the types described in 8 U.S.C. § 1373(a) or (b), whether imposed by a state or local government entity or official.

- (6) As of the date of this certification, no state or local government entity or official has in effect (or purports to have in effect) any prohibition or restriction that is applicable to the program or activity to be funded in whole or in part under the FY 2018 program and that deals with sending to, requesting or receiving from, maintaining, or exchanging information of the types described in 8 U.S.C. § 1373(a) or (b).

I acknowledge that a false statement in this certification may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 42 U.S.C. § 3795), of administrative action, and/or of civil action in court. I also acknowledge that Office of Community Oriented Policing Services awards, including certifications provided in connection with such awards, are subject to review by the Office of Community Oriented Policing Services and/or by the Department of Justice’s Office of the Inspector General.

Signature of Chief Legal Officer

Printed Name of Chief Legal Officer

Date of Certification

Title of Chief Legal Officer

Name of Applicant Entity

Name of Subrecipient Entity

Appendix R. Certification Of Illegal Immigration Cooperation

On behalf of the applicant entity named below, I certify under penalty of perjury to the Office of Community Oriented Policing Services, U.S. Department of Justice, that all of the following is true and correct:

- (1) As the Law Enforcement Executive or Government Executive for the applicant entity named below, I have the authority to make this certification on behalf of the applicant entity (that is, the entity applying directly to the Office of Community Oriented Policing Services) and its governing body (i.e., city, county, or state).
- (2) The applicant entity and/or its governing body has implemented or, before drawing down grant funds if awarded, will implement rules, regulations, policies, and/or practices that ensure that U.S. Department of Homeland Security (“DHS”) personnel have access to any of the governing body’s correctional or detention facilities in order to meet with an alien (or an individual believed to be an alien) and inquire as to his or her right to be or to remain in the United States.
- (3) The applicant entity and/or its governing body has implemented or, before drawing down grant funds if awarded, will implement rules, regulations, policies, and/or practices that ensure that any of the governing body’s correctional and detention facilities provide advance notice as early as practicable (at least 48 hours, where possible) to DHS regarding the scheduled release date and time of an alien in the jurisdiction’s custody when DHS requests such notice in order to take custody of the alien. This certification does not require holding an alien beyond his or her scheduled time of release.

I acknowledge that a false statement in this certification, or in the application that it supports, may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 42 U.S.C. § 3795), of administrative action, and/or of civil action in court. I also acknowledge that Office of Community Oriented Policing Services awards, including certifications provided in connection with such awards, are subject to review by the Office of Community Oriented Policing Services and/or by the Department of Justice’s Office of the Inspector General.

Name of Applicant Entity

Signature of Law Enforcement Executive

Signature of Government Executive

Printed Title and Name of Law Enforcement Executive

Printed Title and Name of Government Executive

Date Signed

Date Signed

Appendix S. Financial/Budget fact sheets

This appendix contains fact sheets on Program Income, Consultant/Contractor Rates, Sole Source Justification, Indirect Costs, and Budget Modification.



COPS

Community Oriented Policing Services
U.S. Department of Justice

Fact Sheet

www.cops.usdoj.gov

Program Income

What is program income?

Program income means gross income earned by the recipient or subrecipient that is directly generated by an award-supported activity or earned as a result of a federal award during the award period.¹ Program income includes income from fees for services performed, the use or rental of real or personal property acquired under federal awards, the sale of commodities or items fabricated under a federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with federal award funds.

Examples of program income that has been generated from some COPS Office-funded activities include fees collected for conference registration, exhibit booths, and website advertisements. Interest earned on advances of federal funds is not program income. Except as otherwise provided for in federal statutes, regulations, or the award terms and conditions, program income does not include rebates, credits, discounts, and interest earned on any of them.

The recipient may not earn or keep any profit resulting from a federal award unless expressly authorized, in writing, by the COPS Office.²

How do I know if my COPS Office award generates program income?

Although recipients are encouraged to earn program income to defray program costs where appropriate, most COPS Office awards are not conducive to generating program income. Contact your COPS Office program manager or grant program specialist to determine if revenue generated

from your COPS Office award constitutes program income. They will help you assess whether or not the income is generated as a result of the award-supported activity.

Program income means gross income earned by the recipient or subrecipient that is directly generated by an award-supported activity or earned as a result of a federal award during the award period.

How can program income be used?

Program income must be used in accordance with the standards set forth in 2 C.F.R. § 200.307. Program income generated from an award can be

1. deducted from total allowable project costs to determine net allowable costs to reduce the federal award;
2. added to the federal award to increase funds committed to the project;
3. used to meet the cost sharing or matching requirement of the federal award.

Unless otherwise specified in the award terms and conditions or approved by the COPS Office, program income will be used to defray program costs and reduce the federal share of the project. Program income not anticipated at the time of the award must be used to reduce the federal award and recipient contributions rather than to increase funds committed to the project. For example, if you were awarded \$100,000 in COPS Office funding with no local match requirement to support a conference and earned \$5,000 in program income from registration fees generated from that conference, an excess of \$5,000 would remain in award funds at the completion of the project. The \$5,000 would be returned to the Federal Government, thereby reducing the federal share of the project.

1. Program income is defined by 2 C.F.R. § 200.80 in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101 for awards made after December 26, 2014. Prior awards would follow 28 C.F.R. §§ 66.25 and 70.24.

2. See 28 C.F.R. § 200.400(g).

In some cases, with prior approval, recipients may be able to work with their COPS Office program manager to identify additional project-related allowable costs that could be supported with program income.

Earned program income can be spent only on allowable project costs incurred during the award period. Program income cannot be commingled with other awards and cannot be used for purposes outside of the scope of the award that generated the income.

There are a variety of circumstances that can affect how program income is treated. If you anticipate generating program income, please contact your COPS Office program manager, grant program specialist, or designated financial analyst for guidance.

How should recipients report program income?

You are required to report gross program income earned and expended on the Federal Financial Report (SF-425)³ submitted each quarter. How you complete the report depends on when you earn and spend the program income and the status of your award. Using the example above where you earned \$5,000 from registration fees, you would

enter the total amount of program income earned (\$5,000) on 10.l and the total amount of program income expended on line 10.m.⁴

Program income earned and expended must be reported on a cumulative basis. You must manually enter these cumulative amounts each quarter, as the SF-425 form does not automatically calculate these amounts. For example, if \$5,000 in program income was earned in the 1st quarter and \$10,000 was earned in the 2nd quarter, you would add those amounts together and enter \$15,000 as earned on line 10.l of the 2nd quarter’s SF-425. Similarly, if you spent \$5,000 in program income in the 1st quarter and an additional \$10,000 of program income in the 2nd quarter, you would enter \$15,000 as expended on line 10.m of the 2nd quarter’s SF-425.

In the event of an audit or other award compliance review, your agency should maintain detailed records that identify the specific project activity source (e.g., conference registration fees) and the amount of all program income generated. Line 12 (“Remarks”) on the SF-425 can be useful to provide narrative explanations supporting the financial information entered.

Table 1. Program income on the SF-425

Note: Use lines 10.d–10.o for single award reporting only. Do not complete these lines if reporting on multiple awards.

LINE	TRANSACTIONS	DESCRIPTION
10.l	Total federal program income earned	Enter the amount of federal program income earned. Do not report any program income here that is being allocated as part of the recipient’s cost-sharing amount included in line 10.j.
10.m	Program income expended in accordance with the deduction alternative	Enter the amount of program income that was used to reduce the federal share of the total project costs.
10.n	Program income expended in accordance with the addition alternative	Enter the amount of program income that was approved and expended on the project.
10.o	Unexpended program income (Line l minus line m or line n)	Enter the remaining amount of unexpended program income by taking line l and either subtracting line m or line n, depending on which method you are using.

3. To access this form, visit https://www.cops.usdoj.gov/pdf/SF-425_Form.pdf.

4. For examples of when lines 10.n and 10.o on the SF-425 are used, contact your COPS Office program manager.

Can recipients keep program income as a cash reserve for future project costs?

No. Recipients should expend earned program income before drawing down award funds.⁵

How much time is available to spend program income?

Allowable project expenses can be supported by earned program income during the open award period. Funds cannot be drawn down for expenses that are incurred after the award end date.

Avoid retaining earned program income for extended periods of time. If you anticipate a significant lapse of time occurring between earning and spending program income, contact your COPS Office program manager or grant program specialist. Unused program income should be deposited into your COPS Office award account to reduce your federal share.⁶ These funds remain available for future use on allowable costs, incurred before award expiration, to fully implement your project.

If you anticipate having unused program income remaining toward the end of the award period, you may submit a request to your COPS Office program manager or grant program specialist for a no-cost extension to provide additional time for your agency to spend program income on allowable costs to fully implement your project. No-cost extension requests must be submitted prior to the award end date and are approved on a case-by-case basis based on reasonable justification.

Unused program income remaining 90 days after the award end date must be promptly returned to the COPS Office. Please contact your COPS Office program manager for guidance on how to return excess program income and complete your final SF-425.

In the event that you earn interest on program income, please contact your designated COPS Office financial analyst for guidance on how to complete your final SF-425 to account for interest earned.

Important: Awards must be open and active to incur project expenses paid for by program income.

Contact the COPS Office

If you have any questions regarding the federal requirements on program income, please contact your COPS Office program manager, grant program specialist, or designated financial analyst.

For more information about COPS Office programs and resources, please contact the COPS Office Response Center at 800-421-6770 or via e-mail at AskCopsRC@usdoj.gov or visit the COPS Office online at www.cops.usdoj.gov.

5. See 2 C.F.R. § 200.305 for awards made after December 26, 2014. Prior awards would follow 28 C.F.R. §§ 66.21 and 70.22.

6. It can take up to six weeks for the returned program income to appear in your COPS Office account.



Consultant/Contractor Rate Information for FY 2018 Awards

Recipient Guidelines on Consultant Rate Approval Requests

Compensation for individual consultant services procured under a COPS Office award must be reasonable and allocable in accordance with 2 C.F.R. Part 200, Subpart E—Cost Principles¹ and consistent with that paid for similar services in the marketplace.

"Compensation for individual consultant services procured under a COPS Office award must be reasonable, allocable, and consistent with that paid for similar services in the marketplace. The recipient must provide justification for any consultant rate in excess of \$650 per day and receive COPS Office approval of that rate before drawing award funds."

Unless otherwise approved by the COPS Office, approved consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$650 per day. If individuals receive fringe benefits from their primary employer, such fringe benefit costs should not be included in the calculation of consultant rates. For consultant or contractor rates which exceed \$650 per day, the COPS Office requires written justification if the consultants or contractors are hired through a noncompetitive bidding process. **The recipient must provide justification for any consultant rate in excess of \$650 per day and receive COPS Office approval of that rate before drawing down award funds.** Any organization that does not provide sufficient written justification will be limited to \$650 per day for each consultant or contractor. Please note that this does not mean that the rate can or should be \$650 for all consultants.

Note: Consultant and contractor daily rates do not include travel or subsistence costs, but may include preparation, evaluation, and travel time.

Guidance for requesting a consultant rate based on employment

- a. **Consultants Associated with Institutions of Higher Education (including state-run educational institutions).** If representing the academic institution, the maximum rate of compensation

¹ 2 C.F.R. Part 200, Subpart E—Cost Principles applies to awards made after December 26, 2014.

For awards made prior to December 26, 2014, the following Cost Principles apply: 2 C.F.R. Part 225 (OMB Circular A-87), Cost Principles for State, Local, and Indian Tribal Governments); 2 C.F.R. Part 220 (OMB Circular A-21), Cost Principles for Educational Institutions; 2 C.F.R. Part 230 (OMB Circular A-122), Cost Principles for Non-Profit Organizations; and 48 C.F.R. Part 31.000, et seq. (FAR 31.2), Cost Principles for Contracts with Commercial Organizations.

that will be allowed is the consultant's academic salary projected for 12 months, divided by 260. These individuals normally receive fringe benefits which include sick leave for a full 12-month period, even though they may only work 9 months per year in their academic positions. This does not apply to individuals providing consultant work outside of their academic commitments. In such cases, the rate of compensation will be based on reasonable cost principles and requires documentation supporting the requested rate.

b. Consultants Employed by State and Local Government.

Compensation for these consultants will be allowed only when the unit of government will not provide these services without cost. If a state or local government employee is providing services under a federal award and is representing his or her agency without pay from the respective unit of government, the rate of compensation is not to exceed the daily salary rate for the employee paid by the unit of government. If the state or local government employee is providing services under a federal award and is not representing his or her agency, the rate of compensation is based on the necessary and reasonable cost principles. Please note that under the nonsupplanting requirement of the COPS Office statute, COPS Office funds may not be used to supplant (replace) local funding which otherwise would have been spent on consultants employed by state and/or local government. The statute bars federal funding of existing consultants and of newly hired consultants that a community is committed to fund in the absence of a COPS Office award.

c. Consultants Employed by Commercial and Not-For-Profit Organizations.

These organizations are normally subject to competitive bidding procedures. Thus, if consultants have been selected through competitive bidding, they are not subject to the per day maximum compensation threshold. Otherwise, the rate of compensation will be approved based on the salary a consultant receives from his or her primary employer, as applicable, up to \$650 a day.

To request approval of a consultant rate in excess of \$650 per day, please submit the signed request on recipient department letterhead and include the agency ORI number and the award number for which the approval is being sought.

Please include the following:

- Description of the services to be provided by the consultant(s) or contractor(s), including the following:
 - » The number of days and hours to be worked by each consultant/contractor.
 - » The daily rate of each consultant/contractor that exceeds \$650/day (indicate fringe benefits, if applicable).
- A resume or curriculum vitae (CV) for each consultant or contracted individual whose rate exceeds \$650 per day.
- Documented prior instances when a similar rate has been charged by or paid to the consultant/contractor.
- If the consultant is not self-employed and has a primary employer, documentation showing that the requested daily rate is proportionate to the consultant's regular salary (e.g. pay stubs, letter from employer, etc.).
- **Optional:** You may submit other important information about the consultant(s) or contractor(s) at this time, such as letters of reference; lists of any relevant publications, papers, or honors; advanced experience as a practitioner or academic in the subject area; advanced training relating to the focus of your project; and/or any unique circumstances which you feel should be considered as the COPS Office reviews your proposed consultant/contractor rates.

To request approval of a consultant/contractor rate in excess of \$650 per day, please return this information to your Grant Program Specialist or Program Manager as soon as possible to expedite the consultant/contractor rate review process.

Contact the COPS Office

For more information about COPS Office programs and resources, please call the COPS Office Response Center at 800-421-6770 or visit the COPS Office online at www.cops.usdoj.gov.



Fact Sheet

www.cops.usdoj.gov

Sole Source Justification

What is "sole source" procurement?

Sole source procurement or procurement by noncompetitive proposals is procurement through solicitation of a proposal from only one source. Sole source procurements must adhere to the standards set forth in 2 C.F.R. § 200.320(f) in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, as adopted by the US Department of Justice in 2 C.F.R. § 2800.101.

When is sole source approval required by the COPS Office?

A recipient must request written approval from the COPS Office for sole source procurements in excess of \$150,000 prior to purchasing equipment, technology, or services; obligating funding for a contract; or entering into a contract with award funds. For the purchase of equipment, technology, or services under a COPS Office award, recipients must use their own documented procurement procedures that reflect applicable state and local laws and regulations, as long as those requirements conform to the federal procurement standards set forth in 2 C.F.R. § 200.318. A sole source justification should be submitted to the COPS Office if a recipient determines that the award of a contract through a competitive process is infeasible. Recipients may conduct noncompetitive proposals (or "sole source" procurement) by procurement through solicitation from only one source when one or more of the following circumstances apply:

- The item/service is available only from one source.
- The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation.

- The COPS Office authorizes noncompetitive proposals in response to a written request from the recipient.
- Competition is determined inadequate after solicitation of a number of sources.

Sole source procurement should be used only when competitive solicitation procedures like sealed bids or competitive proposals are not applicable to the requirements or are impractical.

What documentation must be submitted to the COPS Office for approval of a sole source procurement?

Requests for sole source procurements of equipment, technology, or services in excess of \$150,000 must be submitted to the COPS Office in writing certifying that the award of the contract through full and open competition is infeasible.

An award recipient must request written approval from the COPS Office for sole source procurements in excess of \$150,000 prior to purchasing equipment, technology, or services; obligating funding for a contract; or entering into a contract with award funds.

The outline that follows may be helpful in preparing your agency's sole source procurement request (which should include your sole source justification) and ensuring that all of the necessary information is included.

The sole source procurement request must be signed and submitted on the recipient's department letterhead and must include the agency's ORI number and the award number for which approval is being sought.

The request should also include the following information:

- **Section I.** A brief description of the project, the amount to be designated for the sole source procurement, and the purpose of the contract
- **Section II.** (a) An explanation as to why it is necessary to contract in a noncompetitive manner and (b) Which one (or more) of the four circumstances identified below applies to the procurement transaction (include supporting information as identified below under the applicable section(s)):
 1. If the item or service is available only from one source, please include the following:
 - Uniqueness of items or services to be procured from the proposed contractor or vendor (compatibility, patent issues, etc.)
 - How the agency determined that the item or service is only available from one source (market survey results, independent agency research, patented or proprietary system, etc.)
 - Explanation of need for contractor's expertise linked to the current project (knowledge of project management, responsiveness, experience of contractor personnel, prior work on earlier phases of project, etc.)
 - Any additional information that would support the case
 2. If the public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation, please include the following:
 - When the contractual coverage is required by your department and why
 - Impact on project if deadline/dates are not met
 - How long it would take an alternate contractor to reach the same required level of competence (equate to dollar amounts, if desired)
 - Any additional information that would support the case

3. The COPS Office authorizes noncompetitive proposals in response to a written request from the recipient.
4. If competition is determined inadequate after solicitation of a number of sources, please include the following:
 - Results of a market survey to determine competition availability; if no survey is conducted, please explain why not
 - Any additional information that would support the case
- **Section III.** A budget breakdown for the subcontract (see the Award Owner's Manual for budget requirements)
- **Section IV.** A declaration that this action or choice is in the best interest of the agency

Failure to provide all of the necessary information will delay the processing of your request. Your agency will be contacted if any of the identified information is missing or if additional supporting information is required. If the COPS Office determines that the request does not meet the standards set forth above, the request will be denied.

Please be advised that conflicts of interest are prohibited under the federal procurement standards set forth in 2 C.F.R. § 200.318 (c). In addition, program funds should not be awarded to any party that is debarred or suspended from participation in federal assistance programs.

If you have any questions regarding the federal requirements that guide procurement procedures, please contact your grant program specialist or program manager at 800-421-6770.

Contact the COPS Office

For more information about COPS Office programs and resources, please call the COPS Office Response Center at 800-421-6770 or visit the COPS Office online at www.cops.usdoj.gov.



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Indirect Cost Rate for FY 2018 Awards

COPS Office programs

If you are requesting indirect costs under a COPS Office program that allows those costs, a copy of your agency's most current, signed, federally approved Negotiated Indirect Cost Rate Agreement must be included with your application, or it must be noted in your budget narrative that you have never received an indirect cost rate. If the rate agreement is expired at the time of application, then you should submit documentation demonstrating that the rate is under review by your cognizant federal agency. If your agency requests indirect costs for a COPS Office award based on an expired rate, your agency may not draw down funding for indirect costs until the current approved rate agreement or an approved extension is submitted to the COPS Office. In addition, if your agency's rate agreement expires or changes during the award period, you must submit the new rate agreement or approved one-time extension from your cognizant federal agency to the COPS Office.

What are indirect costs?

Indirect Facilities & Administrative (F&A) costs are costs incurred for a common or joint purpose benefiting more than one cost objective. They are not readily attributable to the cost objectives that are being benefited. To facilitate equitable distribution of indirect expenses to the specific cost objectives, it may be necessary to establish a number of pools of indirect (F&A) costs. Indirect (F&A) cost pools must be distributed to benefited cost objectives on bases that will produce equitable results in consideration of relative benefits derived.¹

¹ See 2 C.F.R. § 200.56 in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, as adopted by the US Department of Justice in 2 C.F.R. § 2800.101.

What is an indirect cost rate proposal?

An indirect cost rate proposal as defined in 2 C.F.R. § 200.57 is the documentation prepared by a nonfederal entity to support its request for the establishment of an indirect cost rate, as described in Appendix III to 2 C.F.R. Part 200, Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHEs) through Appendix VII to 2 C.F.R. Part 200, States and Local Government and Indian Tribe Indirect Cost Proposals.

Indirect (facilities & administrative (F&A)) costs are costs incurred for a common or joint purpose benefiting more than one cost objective. They are not readily attributable to the cost objectives that are being benefited.

There are several types of indirect cost rates:

- **Final rate** is applicable to a specified past period that is based on the actual costs of the period. A final audited rate is not subject to adjustment.
- **Fixed rate** has the same characteristics as a predetermined rate except that the difference between estimated costs and actual allowable costs of the covered period is carried forward as an adjustment for a future period.
- **One-time extension** allows your agency to apply for a one-time extension of a negotiated indirect (F&A) cost rate. The negotiated cost rate may be extended for up to four years. Once your cognizant federal agency has approved an extension for indirect costs, you must abide by the rate for the agreed-upon time period. No further negotiations regarding indirect cost rates may occur until the extension has expired. At the end of the extension period, you must negotiate a new indirect cost rate.

- **Predetermined rate** is applicable to a specified current or future period and is not subject to adjustment. A predetermined rate may be used where there is reasonable assurance that the rate is not likely to exceed a rate based on the agency's actual costs. Predetermined rates may not be used by governmental units that have not submitted and negotiated the rate with the cognizant federal agency.
- **Provisional rate** is a temporary rate applicable to a specified time period that is used for funding, interim reimbursement, and reporting of indirect costs pending establishment of a final rate for that period.
- **De minimis indirect cost rate** provides the option for certain nonfederal entities that have never received a negotiated indirect cost rate to accept a flat rate of up to 10% of modified total direct costs (MTDC). MTDC can include all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs and with the approval of the cognizant federal agency for indirect costs.

How does an agency establish an indirect cost rate?

If your agency does not have a previously established indirect cost rate, your agency can obtain a rate by contacting your agency's cognizant federal agency, which will review all documentation and approve a rate for the covered time period. For more information on the requirements for development and submission of indirect (F&A) cost rate proposals, please refer to 2 C.F.R. § 200.414 (e) and Appendices III – VII to 2 C.F.R. Part 200.

What is a cognizant federal agency?

Cognizant federal agency for indirect costs as defined in 2 C.F.R. § 200.19 is the Federal agency responsible for reviewing, negotiating, and approving cost allocation plans or indirect cost proposals on behalf of all Federal agencies. The cognizant federal agency for indirect cost is not necessarily the same as the cognizant federal agency for audit. The COPS Office is not a cognizant federal agency. For nonprofit, state, local, and tribal governments your cognizant federal agency is generally the federal agency that provides your organization with the most federal financial assistance. For assignments of cognizant federal agencies, see the following:

1. For institutions of higher education: Appendix III to Part 200—Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHEs), paragraph C.11.
2. For nonprofit organizations: Appendix IV to Part 200—Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Nonprofit Organizations, paragraph C.2.a.
3. For state and local governments: Appendix V to Part 200—State/Local Government and Indian Tribe-Wide Central Service Cost Allocation Plans, paragraph F.1.
4. For Indian tribes: Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposal, paragraph D.1.

What should an agency do if its indirect cost rate expires or changes during the award period?

If your agency's approved indirect cost rate agreement expires during the award period, a current approved rate agreement must be obtained from the cognizant federal agency and submitted to the COPS Office. The agency must advise the COPS Office of any changes to its approved indirect cost rate during the award period and, if necessary, request a budget modification that reflects the rate change. Please contact your COPS Office Grant Program Specialist or Program Manager to determine when a budget modification is necessary.

If the agency experiences an increase or a decrease in its indirect cost rate, it should submit the new rate to the COPS Office within 30 days of the change.

Can an agency reprogram indirect costs to direct costs?

Reprogramming requests of indirect costs to direct costs are administered through the budget modification process for the specific COPS Office award that your agency received. Please contact your COPS Office Grant Program Specialist or Program Manager to obtain guidance on any additional requirements that may apply to your modification request. The COPS Office will then evaluate your request and notify you, in writing, of our decision.

Please be advised that if your agency's revised indirect cost rate is lower than the rate approved at the time of award and a formal budget modification was not approved, excess indirect cost rate funds should not be drawn down and will be deobligated at closeout.

What should an agency expect at the end of the award period regarding its indirect costs rate?

If a provisional indirect cost rate is in effect at award closeout, the recipient shall proceed with closeout but will complete an expenditure analysis upon receipt of the approved final indirect cost rate to determine if an adjustment is necessary. If the recipient drew down excess COPS Office funding for indirect costs, the recipient must return the overpayment to the COPS Office and submit a revised Federal Financial Report (SF-425). If the recipient incurred additional indirect costs, the recipient may request a budget modification if the award is still open and award funds are available. If the recipient returns or draws down COPS Office funding, the recipient will need to submit a revised final Federal Financial Report (SF-425).

Other important factors

To support the indirect cost rate agreement, recipients are responsible for ensuring independent audits are conducted in accordance with existing federal auditing and reporting standards set forth in 2 C.F.R. Part 200, Subpart F - Audit Requirements. A copy of the audit report must be submitted to the cognizant federal agency to support the indirect cost rate agreement.

In accordance with ensuring proper award management and use of funding awarded through the COPS Office, recipients may be selected for a site visit or an enhanced office-based grant review (EOBGR) or may need to address an alleged noncompliance complaint during a compliance review by the COPS Office Grant Monitoring Division.

Therefore, recipients must adhere to proper accounting practices and recordkeeping to ensure all necessary documentation is available for review if requested by the COPS Office. Noncompliance may result in the repayment of misused funds, suspension of funds, or other remedial actions available by law until the noncompliance is resolved.

Contact the COPS Office

If you have any questions regarding the federal requirements that guide indirect cost rates, please refer to the applicable COPS Office Award Owner's Manual or contact your COPS Office Grant Program Specialist or Program Manager.

For more information about COPS Office programs, please contact the COPS Office Response Center at 800-421-6770 or by e-mail at AskCopsRC@usdoj.gov or visit the COPS Office online at www.cops.usdoj.gov.



Fact Sheet

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Budget Modifications for CPD Recipients

Under federal regulations, you are required to expend federal funds only as approved in your Financial Clearance Memorandum (FCM). The COPS Office realizes that agencies may need to reprogram award funds and has provided this fact sheet for CPD recipients to assist with the process.

Recipients may reprogram up to a total of 10 percent of their total approved budget (over the course of the award) without submitting a formal budget modification. However, recipients should notify their COPS Office program manager (PM) prior to any reprogramming of funds regardless of whether a formal budget modification is needed. Once the reprogramming of funds exceeds 10 percent of the total approved budget, your agency must submit a formal budget modification requesting approval from the COPS Office for any additional budget modification requests. Starting with 2016 funding, any awards under \$150,000 do not require formal budget modifications; however, the recipient should communicate reprogramming as needed with the COPS Office PM.

Reprogrammed funds must be allocated for items covered within the scope of the original award. Any funds that are being requested to account for a change in scope from the original funded project must first receive approval from the COPS Office to expand or change the scope. Be advised that reprogramming requests for unallowable costs will not be approved. The COPS Office will not approve any modification request that results in an increase of federal funds.

Starting with 2017 funding, if a budget modification involves making a new subaward to a State or local government entity, the recipient and its intended subrecipient are required to certify compliance with 8 U.S.C. § 1373 regarding prohibitions or restrictions on sending to, requesting or receiving from, maintaining, or exchanging information on citizenship or immigration status, including any prohibitions or restrictions imposed or established by a State or local government entity or official. For information about the applicable form and how to certify, please contact your COPS Office PM.

What to do if you need a budget modification

If your budget requires a modification, please follow these steps:

1. Contact your PM and discuss the modification and reasoning for the change in budget. This process may require back and forth discussion and further documentation.
2. Once your agency and the PM agree to the change, log in to “Account Access” in the upper right corner of the COPS Office website, www.cops.usdoj.gov.
3. Once in the system, find the appropriate award, and within the Action menu, select “Modify.”
4. You will see the Budget Summary page with the last approved budget amounts. The totals will be in read-only mode. Select “Modify” for each category (Civilian/Nonsworn Officer Positions, Equipment/Technology, etc.) that requires a modification.
5. Each change will need to be entered in the system by either adding or modifying the amount. Every item that is modified must have an accompanying narrative explaining the modification. The narrative *must* include the following:
 - a. A brief description of each item and change that includes its purpose and how the item relates to the overall project
 - b. A calculation breakdown for each new item
6. After each section change, select “Save to Budget Summary” to save all work. Each time “Save to Budget Summary” is selected, you will be returned to the Budget Summary page.
7. After modifying all of the appropriate items and providing the required narrative, select “Validate” at the bottom of the Budget Summary page.

8. In the Budget Summary page, compare the current and modified data for each item. If there is an error, select “Cancel” to return to the Budget Summary page. If the modification is correct, select “Submit.”
9. Once your budget modification is submitted, inform your PM via e-mail. In addition, include any relevant documentation as needed for the modification. This documentation may include the following:
 - a. For any new personnel or consultants you plan to hire noncompetitively, a resume must be submitted to your PM for prior approval.
 - b. For consultant rates over \$650 per day, a consultant rate justification must be submitted to your PM for prior approval (see the Consultant/Contractor Rate Information Fact Sheet).
 - c. Current Indirect Cost Rate Agreement.
 - d. Documentation for personnel and consultant costs.
 - e. When adding a new subaward to a State or local government entity, the recipient and its intended subrecipient must each complete and submit the applicable Certification of Compliance with the 8 U.S.C. § 1373 form.

Once you have completed all of the above steps, the COPS Office will review the budget modification. It is important to note that throughout the COPS Office review, no other processes including extensions can be submitted. The budget modification typically takes 30 days to process.

Next steps

Your budget modification will go through two rounds of review at a minimum: by your PM and by a budget analyst (BA).

The PM will review the budget programmatically and may reach out to you for clarification, changes, or justification. Any changes required by your PM will result in the rejection of the modification. You will receive notification from the COPS Office, and you will be able to access the modification and make the necessary changes. The recipient will have to reenter the system, make the budget adjustments where necessary, and resubmit the saved changes.

Once the budget modification has been programmatically approved, a BA is assigned. The BA will review the modification to ensure the budget is allowable and meets all regulations and policies. The BA will work with the PM for any points of clarification, changes, or justification. Any changes required by the BA will result in the rejection of the modification, and the recipient will have to resubmit.

In the case of any rejection, an automatic notification will be sent out via e-mail, and the award’s status changes to the green “No action required” icon, from which you can initiate another request.

In the case of any approval, an automatic notification will be sent out via e-mail.

Implementation of the modified award budget may begin following this written approval from the COPS Office. The modification approvals for active awards will be accompanied by a modified FCM reflecting the approved changes.

Other resources

Your PM can provide you with a budget detail worksheet to help keep track of your costs and modifications. This tool can be used to track all of your costs, and when you submit a budget modification, it can be useful to submit as supplemental documentation to your PM.

For additional information, please review the sole source justification, consultant/contractor rate information, and indirect cost rate fact sheets. These fact sheets are available at <https://www.cops.usdoj.gov/Default.asp?Item=2541>.

Finally, your Award Owner’s Manual, Award Document, Cooperative Agreement, FCM, and Terms and Conditions will provide more information on specific requirements and policies that are applicable to your award. Your Award Owner’s Manual will include a list of allowable and unallowable items.

Please contact your PM for further direction on any additional requirements that may be applied to your modification request or any other questions.

Appendix T. Sample budget narrative

This appendix contains a sample budget and budget narrative to assist with the development of your budget and budget narrative. This should only be used as a reference.

Base salary and fringe benefits for civilian or nonsworn personnel—\$63,556.25

Program coordinator (Amanda Weinstein)

Amanda Weinstein will serve as the program coordinator. As the program coordinator, she will coordinate the project between all personnel and consultants, ensuring compliance with program requirements, and serving as the central point of contact for all project activities. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13). Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

Year 1—\$40,560 x 35% = \$14,196

- Social Security—6.2% x \$14,196 = \$880.15
- Medicare—1.45% x \$14,196 = \$205.84
- Health insurance—10.5% x \$14,196 = \$1,490.58
- Retirement—6.15% x \$14,196 = \$873.05
- Total fringe year 1 = \$3,449.62 (\$17,645.62 with salary)

Year 2—\$42,182 x 35% = \$14,763.70

- Social Security—6.2% x \$14,763.70 = \$915.35
- Medicare—1.45% x \$14,763.70 = \$214.07
- Health insurance—10.5% x \$14,763.70 = \$1,550.19
- Retirement—6.15% x \$14,763.70 = \$907.97
- Total fringe year 1 = \$3,587.58 (\$18,351.28 with salary)

Total—\$35,996.90

Research associate (Patrick Murphy)

Patrick Murphy will serve as the research associate. As the research associate, he will write and analyze all pre and post assessments and will assist in all evaluation strategies for the project including the training. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13). Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

Year 1—\$39,520 x 10% = \$3,952

- Social Security—6.2% x \$3,952 = \$245.02
- Medicare—1.45% x \$3,952 = \$57.30
- Health insurance—10.5% x \$3,952 = \$414.96
- Retirement—6.15% x \$3,952 = \$243.05
- Total fringe year 1 = \$960.33 (\$4,912.33 with salary)

Year 2— $\$41,101 \times 10\% = \$4,110.10$

- Social Security— $6.2\% \times \$4,110.10 = \254.83
- Medicare— $1.45\% \times \$4,110.10 = \59.60
- Health insurance— $10.5\% \times \$4,110.10 = \431.56
- Retirement— $6.15\% \times \$4,110.10 = \252.77
- Total fringe year 1 = $\$998.76$ ($\$5,108.86$ with salary)

Total— $\$10,021.19$

Senior trainer (Kyle Morale)

Kyle Morale will serve as the senior trainer. He will develop and deliver the law enforcement trainings. He will serve as the lead trainer for the two pilot sites and will provide technical assistance when needed. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13). Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

- Year 1— $\$65,770 \times 5\% = \$3,288.50$
 - Social Security— $6.2\% \times \$3,288.50 = \203.89
 - Medicare— $1.45\% \times \$3,288.50 = \47.68
 - Health insurance— $10.5\% \times \$3,288.50 = \345.29
 - Retirement— $6.15\% \times \$3,288.50 = \202.24
 - Total fringe year 1 = $\$799.10$ ($\$4,087.60$ with salary)
- Year 2— $\$68,401 \times 5\% = \$3,420.05$
 - Social Security— $6.2\% \times \$3,420.05 = \212.04
 - Medicare— $1.45\% \times \$3,420.05 = \49.59
 - Health insurance— $10.5\% \times \$3,420.05 = \359.11
 - Retirement— $6.15\% \times \$3,420.05 = \210.33
 - Total fringe year 1 = $\$831.07$ ($\$4,251.12$ with salary)

Total— $\$8,338.72$

Executive director (Susan Gold)

As the executive director of the organization, Susan Gold has final oversight and approval of all project deliverables. Year 2 salary estimates are based on a 4 percent cost of living increase as determined by our institutional policy (see attachment in section 13).

- Year 1— $\$181,397 \times 2\% = \$3,627.94$
 - Social Security— $6.2\% \times \$3,627.94 = \224.93
 - Medicare— $1.45\% \times \$3,627.94 = \52.61
 - Health insurance— $10.5\% \times \$3,627.94 = \380.93
 - Retirement— $6.15\% \times \$3,627.94 = \223.12
 - Total fringe year 1 = $\$881.59$ ($\$4,509.53$ with salary)

- Year 2— $\$188,653 \times 2\% = \$3,773.06$
 - Social Security— $6.2\% \times \$3,773.06 = \233.93
 - Medicare— $1.45\% \times \$3,773.06 = \54.71
 - Health insurance— $10.5\% \times \$3,773.06 = \396.17
 - Retirement— $6.15\% \times \$3,773.06 = \232.04
 - Total fringe year 1 = $\$916.85$ ($\$4,689.91$ with salary)

Total— $\$9,199.44$

Equipment/Technology— $\$0$

Supplies— $\$1,920$

Office supplies

Based on previous awards for similar work, general office supplies (paper, pens, pencils, staplers, file folders) –cost approximately $\$30$ per month.

$\$30 \times 24$ months = $\$720$

Postage

Postage—training materials, technical assistance resources and other materials will be mailed to pilot sites in connection with project activities. The estimate is based on previous awards for similar work.

$\$50 \times 24$ months = $\$1,200$

Travel/Training/Conferences— $\$6,635$

Staff travel for pilot 1

An initial training will prepare the participants from the two pilot sites to use the program to implement these crime prevention strategies in their agencies and communities. Two staff members will conduct the pilot site training. As the location of each training has not been decided at this time, average costs have been used based on the GSA Federal Travel Regulations. Travel estimates are based on previous projects for similar work.

- Registration— $\$0$
- Lodging— $\$93/\text{night} \times 3$ nights/trip $\times 2$ people = $\$558$
- Per diem— $[(\$51/\text{day} \times 2$ full days) + $(\$38.25/\text{travel day} \times 2$ travel days)] $\times 2$ people = $\$357$
- Transportation— $[\$500$ (airfare) + $\$50$ (baggage) + $\$40$ (ground transportation) + $\$60$ (rental car) + $\$20$ (fuel)] $\times 2$ people = $\$1,340$
 - Airfare— $\$500$
 - Baggage fees— $\$50$
 - Ground transportation (estimated costs for cab fare to and from airport)— $\$40$
 - Rental car (shared between two participants)— $\$30/\text{day} \times 4$ days = $\$120$ ($\$60/\text{person}$)
 - Fuel (shared between two participants)— $\$40$ ($\$20/\text{person}$)

Total staff travel for pilot 1— $\$2,255$

Staff travel for pilot 2

An initial training will prepare the participants from the two pilot sites to use the program to implement these crime prevention strategies in their agencies and communities. Two staff members will conduct the pilot site training. As the location of each training has not been decided at this time, average costs have been used based on the GSA Federal Travel Regulations. Travel estimates are based on previous projects for similar work.

- Registration—\$0
- Lodging—\$93/night x 3 nights/trip x 2 people = \$558
- Per diem—[((\$51/day x 2 full days) + (\$38.25/travel day x 2 travel days)] x 2 people = \$357
- Transportation—[\$500 (airfare) + \$50 (baggage) + \$40 (ground transportation) + \$60 (rental car) + \$20 (fuel)] x 2 people = \$1,340
 - Airfare—\$500
 - Baggage fees—\$50
 - Ground transportation (estimated costs for cab fare to and from airport)—\$40
 - Rental car (shared between two participants)—\$30/day x 4 days = \$120 (\$60/person)
 - Fuel (shared between two participants)—\$40 (\$20/person)

Total staff travel for pilot 2—\$2,255

Focus group travel

A focus group will be held in Washington, D.C., around July 2018. Two staff members will attend. Average costs have been used based on the GSA Federal Travel Regulations. Travel estimates are based on previous projects for similar work.

- Registration—\$0
- Lodging—\$175/night x 2 nights/trip x 2 people = \$700
- Per diem—[((\$69/day x 1 full day) + (\$51.75/travel day x 2 travel days)] x 2 people = \$345
- Transportation—[\$500 (airfare) + \$40 (ground transportation)] x 2 people = \$1,080
 - Airfare—\$500
 - Ground transportation (estimated costs for cab fare to and from airport)—\$40

Total staff travel for focus group—\$2,125

Contracts/Consultants—\$44,625

Contract costs—\$30,000

Roll call video creation

Ten roll call videos will be created as part of the training packages for the pilot sites. The contractor will be procured through free and open competition. The contract estimate is based on previous projects with similar work. \$30,000

Consultant fees—\$4,000

Consultant (Sergeant Eric Matthews (ret.), Driscoll Township)

Sergeant Matthews will provide his expertise on the law enforcement training development and review the promising practices guidebook. The rate of \$400 is based on Sgt. Matthews' annual salary of \$60,000. Resume has been provided to demonstrate experience and knowledge (see attachment in section 13).

$\$400/\text{day} \times 10 \text{ days} = \$4,000$

Consultant travel—\$10,625

Participant travel for focus group

Ten focus group participants will be brought in for the focus group meeting in Washington, D.C. around July 2018. The focus group participants will be geographically diverse, so the airfare is estimated. Travel estimates are based on previous projects for similar work.

- Registration—\$0
- Lodging— $\$175/\text{night} \times 2 \text{ nights}/\text{trip} \times 10 \text{ people} = \$3,500$
- Per diem— $[(\$69/\text{day} \times 1 \text{ full day}) + (\$51.75/\text{travel day} \times 2 \text{ travel days})] \times 10 \text{ people} = \$1,725$
- Transportation— $[\$500 \text{ (airfare)} + \$40 \text{ (ground transportation)}] \times 10 \text{ people} = \$5,400$
 - Airfare—\$500
 - Ground transportation (estimated costs for cab fare to and from airport)—\$40

Total staff travel for focus group—\$10,625

Consultant expenses—\$0

Other costs—\$624

Phone

Local and long distance phone service will facilitate the delivery of technical assistance and help accomplish project tasks. Phone services are \$50 a month per staff line. The percentage of all staff on this project equals .52 FTE/year

$\$50/\text{month} \times .52 \text{ FTE} = \$26 \times 24 \text{ months} = \624

Indirect costs—\$32,355.60

The organization's indirect cost is calculated at a rate of 32 percent of modified total direct costs (see indirect cost rate agreement attached to section 13). Modified total direct costs consist of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract. Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

Indirect cost calculation— $\$101,111.25 \times 32\% = \$32,355.60$

Total direct base costs = \$63,556.25 (salary/fringe) + \$1,920 (supplies) + \$6,635 (travel) + \$25,000 (contract) + \$4,000 (consultant) = \$101,111.25

Excludes = \$5,000 (subcontract in excess of \$25,000); \$10,625 (participant travel costs)

Budget summary

Base salary and fringe benefits for civilian or nonsworn personnel	\$63,556.25
Equipment/Technology	\$0
Supplies	\$1,920
Travel/Training/Conferences	\$6,635
Contracts/Consultants	\$44,625
Other costs	\$624
Indirect costs	\$32,355.60
<i>TOTAL BUDGET REQUEST</i>	<i>\$149,715.85</i>

Appendix U. Training fact sheets

This appendix contains the training and ADDIE fact sheets.



Fact Sheet

www.cops.usdoj.gov

Training Fact Sheet

The COPS Office has a series of requirements for the development and delivery of in-person and online training. These requirements can be found in the two COPS Office curriculum guides: (1) *Online Curriculum Standards and Review: Process Guide*, https://cops.usdoj.gov/pdf/training/Online_Curriculum_Process_Guide.pdf, and (2) *In-Person Curriculum Standards and Review: Process Guide*, https://cops.usdoj.gov/pdf/training/In_Person_Curriculum_Standards_Guide.pdf. The guides were established to provide guidance to COPS Office training providers and program managers on instructional design, promising practices, and the process by which the COPS Office will review and approve curricula.

The COPS Office trainings are national in scope and should have a specific law enforcement audience: executives, first line supervisors, line officers, dispatchers, joint community and officers, etc. COPS Office training supports the needs of the law enforcement field and strives to increase public safety.

The training goals of the COPS Office are as follows:

- Establish a common process for the development of COPS Office training initiatives.
- Manage quality control through a series of review and approval checkpoints.
- Standardize content, style, format, and quality.
- Establish clear outcome expectations of training initiatives.
- Maintain training relevance for the field.
- Prepare training for accreditation through national law enforcement training accreditation programs.

The COPS Office defines training as the teaching and learning activities carried out for the primary purpose of helping members of an organization acquire and apply the knowledge, skills, abilities, and attitudes needed by a particular job or

organization. Training is driven by specific goals and objectives; it is not a single event but rather an ongoing process that requires continuous self-reflection and evaluation.

Learning outcomes and objectives. Objectives describe what learners should be able to know and do after training. Learning outcomes establish the criteria by which the training will be judged a success. Training objectives and learning outcomes should be aligned with an employee's position and with the organization's goals and mission.

Self-reflection and evaluation. Self-reflection should be a conscious process whereby trainees critically analyze the training materials and test their own understanding and retention; it is an internal check on the progress and outcomes of the training. Evaluation is the external check; it should consist of setting goals in accordance with the learning outcomes and objectives and conducting pre- and post-training testing and a final course evaluation to ensure those goals are met.

Training materials. Guides, webinars, articles, conference presentations, podcasts, videos, blogs, and newsfeeds (to provide a few examples) can serve as support material in trainings or as stand-alone materials to increase knowledge, but on their own they cannot be defined as training.

The COPS Office also has a series of requirements that instructors must meet prior to becoming instructors for COPS Office courses and for the duration of their instructor tenure. Those requirements can be found in the COPS Office's *Instructor Quality Assurance Guide*, https://cops.usdoj.gov/pdf/training/Instructor_Quality_Assurance_Guide.pdf.

Contact the COPS Office

For questions related to the development and delivery of in-person or online training, please contact the COPS Office Response Center at 800-421-6770.



Fact Sheet

www.cops.usdoj.gov

The ADDIE Model of Instructional Design Fact Sheet

The ADDIE model is a process traditionally used by instructional designers and training developers. The five phases—Analysis, Design, Development, Implementation, and Evaluation—represent a dynamic, flexible guideline for building effective training and performance support tools.

In the ADDIE model, each step has an outcome that feeds into the subsequent step.

Analysis Phase

The first stage of the ADDIE model is the analysis phase. In this phase, the instructional goals and objectives are established, and the learning environment and learner's existing knowledge and skills are identified. Incorporated in this phase are the needs assessment, the course outline, and the analysis of delivery methods most appropriate to learning. The following questions are addressed during the analysis phase:

- Who is the audience, and what are their characteristics?
- What is the behavioral outcome?
- What types of learning constraints exist?
- What are the delivery options?
- What is the timeline for project completion?

Design Phase

This stage of the ADDIE model focuses on creating the blueprint for the instructional experience—that is, creating the structure and content of the learning materials, the learning assessment process, and the resources and activities that will be used to attain and complement the learning outcomes. The following are some of the steps used during the design phase to create the curriculum:

- Documentation of the project's instructional, visual, and technical design strategy
- Application of instructional strategies according to the intended outcomes
- Prototype creation
- Exercise creation
- Graphic design

Development Phase

The development phase focuses on how the plans that were created in the design phase become a reality. This phase addresses how the instructional materials will be used to support learning and engage students in innovative and productive ways. During this phase, the curriculum is reviewed and revised according to any feedback given.

Implementation Phase

During the implementation phase, the procedure for training the facilitators is developed and delivered, and the procedure for training the participants is refined. This is also the phase where the project manager ensures that the supplemental resources (books, hands-on equipment, tools, CD-ROMs, and software) are in place and that the learning application or website is functional, available, and ready for use. In this stage, the course is also tested and deployed to determine whether the components function as designed within the identified environment. This phase validates the implementation and identifies any anomalies prior to full course deployment.

Evaluation Phase

The evaluation phase determines how students feel about the course experience, whether goals were achieved, whether the transfer of learning took place, and any long-term outcomes. This phase also identifies the gaps in student performance that need to be addressed. Two levels of evaluation may be conducted:

Level 1—Reactions. Learners provide reactions and comments to the course, usually in the form of a response to a questionnaire.

Level 2—Learning. Assessments of content retention, application, and institutionalization.

Appendix V. Conference and event guidance

Conference and Event Approval, Planning, and Reporting FAQ

Prior Approval

i. Approximately how long should it take to adequately complete the Conference & Events Submission form?

The amount of time required to adequately complete the Conference & Events Submission Form will vary depending on the complexity of the proposed event. A small event (in terms of number of attendees, total cost, etc.) may require only an hour or two to complete the form because the event is basic/routine and data are not required in all of the available categories. On the other hand, a large event (in terms of number of attendees, multiple sessions occurring at the same time, etc.) may require several hours or days depending on the amount of required data (categories) and level of justification needed to support the event. Regardless of the size of any event, the supporting justification should be sufficient to support the agency's mission for conducting the event.

ii. Which types of events do not require prior approval?

Currently there are six types of events that do not require prior approval:

- i. Conferences held by grant recipients. (Note: Conferences held by cooperative agreement recipients do require prior approval.)
- ii. Law enforcement operational activities, including staging, surveillance, investigation, intelligence, and undercover activities.
- iii. Routine operational meetings (e.g., staff meetings or all-hands meetings) if held in a federal facility, if held by cooperative agreement recipients in a non-federal facility that does not charge for its use, and if there are neither costs to the DOJ for logistical conference planning nor government-provided food or beverages. In all three of these instances, the answer to all the questions on the Prior Approval Not Required Checklist must be "No." Site visits are considered routine operational meetings regardless of location so long as there are no costs to the DOJ for meeting rooms, logistical conference planning, or food and beverages.
- iv. Testing activities where the primary purpose of the event is to evaluate an applicant's qualifications to perform certain duties necessary to his or her job. This includes firearms and weaponry proficiency testing and certifications. A majority of the event must be devoted to administering and taking the test. Testing activities that are incidental to a training course or conference or are given upon its completion do require prior approval.
- v. Video conferences and webinars where there are neither costs to the DOJ for logistical conference planning nor government-provided food or beverages.
- vi. Technical assistance visits where travel was made by an individual or a small group of project staff members to provide training or technical assistance to a particular entity; in this instance, the answer to all the questions on the Prior Approval Not Required Checklist must be "No."

iii. Where should time staff spent working on the conference that is not related to planning be captured?

Time spent working on a conference by staff or contractors can be classified as either logistical planning time or programmatic planning time. Programmatic planning includes time spent on activities such as developing the conference content and agenda, identifying and recruiting subject matter experts, and preparing written materials. Logistical planning includes time spent on tasks such as selecting a venue, ordering and setting up audio-video equipment, securing hotel rooms, processing registrations, providing onsite support during the event, and undertaking other non-programmatic functions.

iv. If a cooperative agreement recipient or contractor is able to obtain a no-cost site for the event, are we still required to look into other facilities and provide justification for not selecting the other facilities?

Yes. Cooperative agreement recipients and contractors should compare three or more facilities in a location. Facilities being compared should have provided a cost estimate and be able to accommodate the event as detailed in the requirements. A desired hotel may offer an incentive of no overall facility cost (e.g., for meeting rooms or audio-visual equipment) but may not be economical in other cost comparison items such as the availability of lodging at per diem rates, travel distance for attendees, etc. Also, recipients and contractors should maintain written documentation justifying their decision to select the chosen location in the event of a future audit.

v. Is there a timeframe after the COPS Office accepts a conference request that a cooperative agreement recipient or contractor can expect notification of approval?

Each event request (meeting, conference, webinar, etc.) is unique in reference to how it will accomplish the COPS Office's mission. The key to any conference request moving through the review process depends on whether the package is complete. A complete package contains a detailed cost analysis and sufficient justification to support all categories within the package.

Example: An event is submitted for approval and consists of the following categories: printing and distribution, meals and incidental expenses (M&IE), lodging, transportation, and trainer or facilitator costs. The package contains a detailed cost analysis of each cost category (e.g., one trainer at \$450 per day x 2 days = \$900) and adequate justification explaining the purpose of the event and the role of the trainer. This package can move through the review process in a few days and allow ample time for travelers to make reservations, if the package was submitted within the required timeframe. However, if the trainer or facilitator's costs in the submitted package exceed the COPS Office's threshold and if supporting justification was not included, a delay may occur while this justification is being retrieved.

To avoid delays in the approval process, all recipients and contractors should adhere to the timeframe requirements for the dollar amount of their proposed event.

vi. Once an event is approved, how do we handle any increases or decreases in the amount of attendees originally proposed on the cost analysis spreadsheet submitted to the DOJ for approval?

After receiving notification of approval from the COPS Office, all subsequent changes prior to the start day of the event should be sent to the **COPS Office Conference Costs email address**, as appropriate. **Example:** If the COPS Office approved on 9/1/2017 an event scheduled for 12/15/2017, the cooperative agreement recipient or contractor should notify the COPS Office of any changes in attendees as soon as possible (preferably 30 days or more in advance). This scenario holds true for changes to the start and end date, location, and any other cost-related category.

vii. Does the \$25 per person per day limit for meeting rooms and audio-visual costs also include service fees and taxes?

Yes. The cost allowed for conference space and audio-visual equipment and services (fees and taxes) is limited to \$25 per day per attendee and is not to exceed a cumulative total cost of \$20,000. Total costs are defined as direct and indirect costs.

viii. What if there are multiple meetings occurring within the larger event offered to all the attendees? Is the \$25 per day per attendee limit applicable to each meeting? Example: A general session meeting contains all attendees and later breakout sessions are offered to the groups. Can each breakout session have its own \$25 per person per day limit?

No. Despite the multiple meetings offered within the larger event, the COPS Office considers and approves this type of situation to be a single event.

ix. Can we accept complimentary food and beverage?

Yes. Complimentary food and beverages may be accepted if offered to everyone. **Example:** Hotel W offers a complimentary continental breakfast to all its overnight customers regardless of any status they may have with the hotel chain. This type of complimentary offer is considered a business strategy of the hotel to promote an increase in overnight stays. You are not required to reduce your M&IE by the value of the food and beverage it offered to all customers as noted in this example.

x. Are the thresholds (\$8,750 for logistical planner, \$35,000 for programmatic planner, and \$20,000 for conference space and audio-visual equipment and services) a cumulative cost for the entire event or a per day cost?

The cost allowed for conference space and audio-visual equipment and services (fees and taxes) is limited to \$25 per day per attendee and is not to exceed a cumulative total cost of \$20,000. The cost allowed for a logistical planner is the lesser of \$50 per attendee or \$8,750 per event. The cost allowed for a programmatic planner is the lesser of \$200 per attendee or \$35,000 per event.

xi. To whom should I submit event requests?

For all COPS Office events, the form should be sent to the **COPS Office Conference Costs email address**. Please do not send questions or other correspondence to this email address. This mailbox should be used only for the submission of conference forms and supporting documentation (e.g., hotel contracts).

xii. How far in advance do I have to submit an event for review and approval?

Requests for conferences costing \$100,000 or less, and not exceeding any cost thresholds (conference space and audio-visual equipment and services, logistical conference planner, and programmatic conference planner), must be submitted to the COPS Office 90 calendar days in advance of the earliest of the following:

- Start date of the conference;
- Deadline for signing conference-related contracts; or
- Obligation of funds for conference costs (except for minimal costs required to assemble and submit the approval request).

Requests for conferences costing more than \$100,000, or exceeding any one cost threshold (conference space and audio-visual equipment and services, logistical conference planner, or programmatic conference planner), must be submitted to the COPS Office 120 calendar days in advance of the earliest of the following:

- Start date of the conference;
- Deadline for signing conference-related contracts; or
- Obligation of funds for conference costs (except for minimal costs required to assemble and submit the approval request).

If approval requests are submitted less than the required number of days in advance (as noted above), the COPS Office, in its sole discretion, may consider the late requests but cannot ensure the requests will receive a decision in time to avoid having to cancel the conference (particularly if any issues arise with specific items of cost in the request). Cancellation costs associated with conference requests that are submitted for late prior approval may be determined to be unallowable costs by the COPS Office.

xiii. What are the most common mistakes made on the forms so that I can avoid them in the future and increase the likelihood of a quick review and approval decision for my event?

The following are the most common mistakes found:

- *Inaccurate calculation of daily per diem.* Daily per diem rates for locations across the nation can be found on the GSA website. Ensure the daily rate used in the calculations corresponds to the specific location and dates of the meeting. In addition, remember that travel days are reimbursed at a slightly lower rate than meeting days. The lower rates must be used for days of travel both before and after the event. Table 5 includes these lower rates:

Table 5. Per diem rates

Full per diem rate	Corresponding travel day rate (75%)
\$46.00	\$34.50
\$51.00	\$38.25
\$56.00	\$42.00
\$61.00	\$45.75
\$66.00	\$49.50
\$71.00	\$53.25

EXCEPTION: If your organization has its own formal, written travel policy, your event submissions can reflect that policy instead of the rates in the chart above. In these instances, state that you have a formal, written travel policy, and clearly explain the rates in the policy and how the corresponding numbers in your submission were derived.

- *Insufficient explanation and justification of transportation costs.* Remember to break out and briefly describe and justify the transportation costs that are included. **Example:** If participants are flying to your event and the tickets are being paid for with DOJ funding, you should include the anticipated number of people flying multiplied by the estimated cost per ticket. If cars will be rented, you should include a brief justification for why rental cars are being used instead of another form of ground transportation, such as taxis or shuttles.
- *Insufficient explanation and justification of audio-visual costs.* All audio-visual costs should be broken out and briefly described. The quantity of equipment to be rented (number of microphones, projectors, etc.) should be included, along with relevant costs and a brief justification for why the proposed equipment is required to conduct a successful meeting. A discussion of how the audio-visual services provider was selected should be included (for example, did you obtain three quotes?).

- *Insufficient explanation and justification of printing costs.* Proposed printing costs for participant materials should also be itemized and briefly described. Specifically, it is important to articulate why printed materials are needed instead of making materials available electronically (at low or no cost) to attendees before or after the event.
- *Insufficient explanation and justification of shipping costs.* Provide an itemization of these costs, along with a brief description of why the equipment and other materials being shipped are essential to hosting a successful conference.

Insufficient explanation and justification of consultant costs. The maximum daily rate for subject matter experts who are being reimbursed for their time is **noted here**. Describe all consultant costs in detail, and include a brief yet compelling justification for the proposed costs. Daily rates for subject matter experts above the maximum daily rate require prior approval by the COPS Office and DOJ. In cases where higher rates are included in the event submission, written documentation of prior approval is required and should be attached.

xiv. Should I continue to exclude all food and beverage costs in my event submissions?

Yes. The inclusion of food and beverage costs will delay the review process, and these costs are not likely to be approved. The only exception is when the location of the conference does not allow attendees to obtain food or beverages on their own or when this restriction would greatly disrupt the conference schedule. If you believe your event qualifies for such a rare exception, contact your Program Manager to discuss it before completing and submitting your form. If meals are included in your event submission, remember that attendees must subtract the meal costs from the M&IE reimbursement for the days on which the meals will occur.

xv. Can you summarize what I can do to prevent follow-up questions about my submitted events that delay the review and approval process?

As a general rule, explain how you derived every cost that you include in the conference submission form. For lines that do not provide space for you to add descriptive narrative, include your explanations and specific cost breakdowns in a separate tab or in a separate document that is submitted with the form. In addition, include the cooperative agreement or contract number on the form.

xvi. What events qualify for the expedited review process?

There is no expedited review process. Every effort is made to review all events as quickly as possible. Most delays result from a need for additional information. Event requests are prioritized for review by balancing the following three criteria:

- The start date of the event;
- The date the event submission was received by COPS Office; and
- The overall cost and complexity of the event. For example, conferences requiring approval by the assistant attorney general's administration and the deputy attorney general (over \$100,000–\$250,000) typically take longer to process, as they must go through COPS Office and DOJ reviews, result in more questions, and are more likely to have issues related to cost thresholds.

Reporting

xvii. Where can I find the most updated version of the conference reporting form to use for my submissions?

The most updated version of the conference reporting form can be found under the Training Resources for award recipients section on the COPS Office Training page at <https://cops.usdoj.gov/training>.

xviii. If I have a question about conference reporting, to whom should I send it?

Send your questions to your designated Program Manager. They are great resources and will be happy to assist you.

xix. Are we expected to have our staff track their time hour for hour for time spent on the event for planning, etc., or are reasonable estimates adequate for cost reporting purposes?

Post-event reports must contain actual costs, not estimates. These costs should include logistical and programmatic planner staff time spent on these activities and any contracted planner costs.

xx. With conference cost reports now being due 30 days after the event, how should we handle costs for invoices that have not been received yet? Many invoices (such as for hotels) are not received within 30 days after the event. Should estimates be included on the cost report?

All conference costs for events held by cooperative agreement recipients or contractors costing more than \$20,000, or where more than 50% of attendees are DOJ employees, must be reported within *45 calendar days after the last day of the event*.

xxi. On the DOJ Conference & Events Submission Form under "A. General Conference Information," is item 19, "Reporting Period," the period in which the actual cost of the event is being reported, or should this be based on the end date of the event?

This reporting requirement is based on the end date of the event. All conference costs for events held by cooperative agreement recipients or contractors costing over \$20,000, or where more than 50% of attendees are DOJ employees, must be reported within 45 calendar days after the last day of the event. Example: A COPS Office–approved conference was conducted from 3/16/2018 through 3/20/2018. A completed Conference & Events Submission Form must be submitted, showing the prior approval amounts compared to the actual costs and explaining all variances greater than 10% or \$1,000. Reports should be emailed to the COPS Office Conference Cost email address at COPS.Conferencecosts@cops.usdoj.gov.

The following pages contain the conference reporting form template.



Department of Justice-Sponsored Conference Request and Report

A **RED** cell indicates that your entry exceeds the DOJ meal threshold AND cannot be submitted unless within the meal threshold.

A **YELLOW** cell indicates that your entry exceeds the DOJ threshold, and additional justification must be provided.

A **GREY** box indicates that no entry is required.

JMD FINANCE STAFF USE ONLY:	
JMD Tracking Number	
Date Received	

COMPONENT USE ONLY:							
Component Internal Tracking Number <i>(Optional)</i> :							
CA/Contract Number							
CA/Contract Recipient				CA/Contract PoC Name			
CA/Contract PoC Phone				CA/Contract PoC Email			
	Request Cost per Attendee	#DIV/0!	Actual Cost per Attendee		COPS Average Cost per Attendee		DOJ Average Cost per Attendee

A. GENERAL CONFERENCE INFORMATION:	
1. Name of Requestor	
2. Component Name <i>(Drop Down)</i>	COPS - Office of Community Oriented Policing Services
3. Is this submission for a conference request or report? <i>(Drop Down)</i>	Conference Request
4. JMD Tracking # <i>(Report Only)</i>	
5. If this is a Re-Submission of a previously disapproved conference, indicate original JMD Tracking Number.	
6. Official Title of the Conference <i>(No Abbreviations)</i>	
7. Is this a blanket request? (Y/N) <i>(Drop Down) If "YES" Skip A9-13,A16 and Sections C,D,& E1, If "NO" Skip A8</i>	No
8. If this is a Blanket Request, indicate for each: 1) Number of occurrences this fiscal year, 2) Locations, and 3) Start and End Dates	
9. Conference Start Date <i>(MM/DD/YYYY)</i>	
10. Conference End Date <i>(MM/DD/YYYY)</i>	

11. Location: Country <i>(Drop Down)</i>		
12. Location: State / Territory / Possession <i>(Drop Down)</i>		
13. Location: City		
14. Justification that conference is essential to accomplishing core mission		
15. Funding Appropriation Symbol		
16. Facility Name <i>(Specific)</i>		
17. Facility Type (Federal/Non-Federal) <i>(Drop Down)</i>		
18. Cooperative Agreement (Y/N) <i>(Drop Down)</i>		
<i>(Required when reporting actuals) (Drop Down)</i>		
	Conference REQUEST Information	Conference REPORT Information
20. Number of DOJ Federal Attendees		
21. Number of Other Federal Attendees		
22. Number of Non-Federal Attendees		
23. Total Number of Attendees <i>(Auto-populates)</i>	0	
24. Total number of attendees whose travel expenses are paid for by DOJ <i>(required)</i>		
25. Total Cost <i>(Auto-populates from entries below)</i>	\$0	
26. Predominately Internal Event held at a Non-Federal Facility (Y/N) <i>(Auto-populates based on Facility Type and Number of Attendees)</i>	PLEASE PROVIDE NUMBER OF ATTENDEES	

Competitive Contracting:	
<i>(Drop Down)</i>	
<i>(Drop Down)</i>	

When REPORTING quarterly conferences, only complete the request information if JMD approved your request and you have a JMD tracking number

B. TOTAL CONFERENCE COSTS:	Conference REQUEST Information				Conference REPORT Information				
	ESTIMATED DIRECT COST	ESTIMATED INDIRECT COST <i>(Funding from Cooperative Agreement)</i>	ESTIMATED TOTAL COST <i>(Auto-populates)</i>	% OF TOTAL COST <i>(Auto-populates)</i>	ACTUAL DIRECT COST	ACTUAL INDIRECT COST <i>(Funding from Cooperative Agreement)</i>	ACTUAL TOTAL COST <i>(Auto-populates)</i>	VARIANCE <i>(Between Actual and Estimate)</i> <i>(Auto-populates)</i>	VARIANCE JUSTIFICATION <i>(Provide justification if variance is >\$1,000 and >10% as indicated by a light yellow cell OR exceeds cost thresholds, as indicated by a bright yellow cell)</i>

COST CATEGORY:	NUMBER OF ATTENDEES	PER PERSON THRESHOLD (\$)	TOTAL JMD THRESHOLD (\$)
1. Conference Space & Audio-visual Equipment and Services	0	\$ 25	\$ -
2. Logistical Conference Planner	0	\$ 50	\$ -
3. Programmatic Conference Planner	0	\$ 200	\$ -

F. JUSTIFICATION IF SUBMITTING CONFERENCE REQUEST FORM WITH ESTIMATED COSTS OVER THRESHOLD (Complete if cells turn YELLOW):

1. Conference Space & Audio-visual Equipment and Services	
2. Refreshments	
3. Logistical Conference Planner	
4. Programmatic Conference Planner	

G. JUSTIFICATION REQUIRED FOR CONFERENCES WITH MEALS (Complete if cells turn YELLOW):

Government Provided Meals	
---------------------------	--

H. JUSTIFICATION FOR NON-FEDERAL FACILITY (Complete if cells turn YELLOW):

Justification for Using a Non-Federal Facility <i>(Drop Down)</i>	
--	--

I. FACILITIES CONSIDERED

NAME	FACILITY TYPE <i>(Drop Down)</i>	TOTAL EST. CONFERENCE COST	SELECTED (Y/N)	REASON FOR USE OR NON-USE
	0	\$ -	YES	

Please answer the following questions below:

Meeting/Event name:

Meeting/Event date:

Please select yes or no from the drop down:	Yes/No
1. Is the cost of the event greater than \$20,000?	<input type="text"/>
2. Are there meeting room costs?	<input type="text"/>
3. Are audio visual costs greater than \$25 per attendee or more than \$1000 in total?	<input type="text"/>
4. Are there any food and beverage costs?	<input type="text"/>
5. Did the request for the meeting come from multiple jurisdictions or agencies?	<input type="text"/>
6. Do the participants represent multiple agencies that are not co-located or joined by an agreement (e.g., task force with MOU)?	<input type="text"/>
7. Are there trinkets being purchased?	<input type="text"/>
8. Is there a formal published agenda?	<input type="text"/>
9. Are formal discussion or presentation panels planned?	<input type="text"/>
10. Are there logistical planning costs beyond incidental internal administrative costs necessary to arrange travel and lodging for a small number of individuals?	<input type="text"/>

If any question is answered "yes", the event must be submitted for prior approval. If all answers are "no", the event does not require additional prior approval. The CCRPOC must sign the certification below and this documentation along with the original cost estimate must be maintained in the award files in accordance with the record documentation guidelines outlined in the Financial Guide.

CCRPOC Certification (only to be used if all answers are "no"):

The CCRPOC for this award certifies that the answers to all the questions above are "no", thereby not requiring prior approval. The CCRPOC further certifies that actual costs charged to the cooperative agreement will not exceed \$20,000, including any applicable indirect costs.

Typed CCRPOC Name:

Date:

Please answer the following questions below to continue with your prior approval:

One sentence describing the event:

Purpose for the event:

How the purpose ties to the COPS Office/DOJ Mission:

COPS Office Mission: To advance the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources.
DOJ Mission: To enforce the law and defend the interests of the United States according to the law; to ensure public safety against threats foreign and domestic; to provide federal leadership in preventing and controlling crime; to seek just punishment for those guilty of unlawful behavior; and to ensure fair and impartial administration of justice for all Americans.

Brief discussion of how and why the venue (City, State and facility) was selected.

Answer:

--

--

Venue selection justification documents or venue selection matrix provided.

Intended audience (select all that apply "X")

	Community based organizations/NPOs
	Community Members/Volunteers/General Public
	Corrections / Detention Personnel
	Court Personnel
	Crime Scene Investigators
	Defense Attorneys
	Educators
	Faith-based Organizations
	Financial Managers
	Forensic Scientists
	Grant Managers
	Health services (medical, mental health, substance abuse treatment)
	Industry
	Judges
	Law Enforcement
	Probation /Community Corrections/Parole
	Prosecutors
	Tribal
	Victim Advocates
	Youth
	Other – describe below

Topic (select all that apply "X")

	Corrections
	Courts
	Crime Prevention
	Crime Scene Investigation
	Drugs
	Forensic Science
	Grants Management (financial, administrative, programmatic)
	Justice Systems
	Juvenile Justice
	Laboratory Operations
	Law Enforcement
	Standards
	Technical Working Groups / Advisory Groups
	Victims of Crime
	Other – describe below

ESTIMATED EXPENSE JUSTIFICATION/COST CALCULATION SECTION

Conference/Meeting Space

Justification	Item	Cost per Day	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		

A/V Equipment & Services

Justification	Item	Cost per Day	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		

Printing and Distribution

Justification	Item	Unit Cost	Quantity	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		

Gov't Provided Meals

Justification	Item	Unit Cost	Number of Attendees	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
	Breakfast				\$0	\$0	\$0
	Lunch				\$0		
	Dinner				\$0		
	Refreshment				\$0		

M & IE

Justification	Description	Per Diem Rate	Number of Travelers	Number of Days	Total Direct Costs	Total Grantee Cost	Total Cost
					\$0	\$0	\$0
					\$0		
					\$0		
					\$0		
					\$0		
					\$0		
DOJ Attendee M&IE					\$0		\$0.00

Lodging

Justification	Description	Lodging Rate	Number of Travelers	Number of Nights	Total Direct Costs	Total Grantee Cost	Total Cost
					\$0	\$0	\$0
					\$0		
					\$0		
					\$0		
					\$0		
					\$0		
DOJ Attendee Lodging					\$0		\$0.00

Transportation

Justification	Description	Rate	Number of Travelers	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0	\$0	\$0
				\$0		
				\$0		
				\$0		
				\$0		
				\$0		
DOJ Attendee Transportation				\$0		\$0.00

Local Transportation

Justification	Item	Cost/Rate	Number of trips, miles, vehicles, persons	Total Direct Costs	Total Grantee Cost	Total Cost
	Taxi			\$0.00	\$0	\$0
	Parking Fees			\$0.00		
	Shuttle Service			\$0.00		
	POV (mileage)			\$0.00		
				\$0.00		
DOJ Attendee Local Transportation				\$0		\$0.00

Logistical Planner

Justification	Item	Cost/Rate	hours/days	Total Direct Costs	Total Grantee Cost	Total Cost
				\$0.00		
				\$0.00		

Hotel Selection Justification and Cost Breakdown

Bid	Hotel	Total Cost	Availability	Food	Guest Room Rate per Night	Meeting Space Rental Fee + Service Fee	Microphones, Mixer, and Recording	Screen and Projector	Technician and Service Fee
1									
2									
3									

Audio/Visual Cost Justification

If A/V estimate costs are above the threshold, use the space below to explain and/or justify the cost.

Large empty light blue rectangular area for providing audio/visual cost justification.

Itemized Travel Costs Paid or Reimbursed with Cooperative Agreement Funds

Only complete this form when submitting Conference Report Actuals.

Name	Duty Station <i>(Departure and Return Location)</i>	Purpose/Role <i>(Participant, Facilitator, Logistical Coordinator, etc.)</i>	# of days	Total M&IE	Total Lodging <i>(Include tax)</i>	Common Carrier Transportation <i>(Air, Rail, or Bus)</i>	Baggage Fees*	Local Transportation <i>(Includes taxi, parking, rental car, POV)</i>	Total
									\$ -
									\$ -
									\$ -
									\$ -
									\$ -
TOTAL				\$ -	\$ -	\$ -		\$ -	\$ -

* Although there is a separate column for "Baggage Fees" that expense should be added to the "Common Carrier Transportation" in the actuals report.

Complete this form only when submitting Actual Costs and if there are particular itemized expense in "Part B Total Conference Costs" of the Reporting Form exceeds the threshold or the allowable variance. Provide justification/explanation and calculations in the below form.

Expense Category	Cost	Reporting Form Variance Justification/ Explanation
Conference Meeting Space	\$0	
A/V Equipment and Services	\$0	
Conference Meeting Space and A/V Equipment and Services	\$0	Total will auto-populate
Printing and Distribution	\$0	
Gov't Provided Meals*	\$0	
Breakfast	\$0	
Lunch	\$0	
Dinner	\$0	
Refreshments*	\$0	
M&IE	\$0	
Lodging	\$0	
Transportation	\$0	
Local Transportation	\$0	
Logistical Conference Planner	\$0	
Programmatic Conference Planner	\$0	
Conference Trainer/Instructor/Presenter/Facilitator	\$0	Conference trainer/instructor/presenter/facilitator costs should be broken out in the "Conference Request Questions" sheet.
Other Costs	\$0	
Indirect Costs	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
Total:	\$0	Total will auto-populate

Appendix W. Change of Information Form

This appendix contains a blank copy of the COPS Office Change of Information Form, which can also be found at https://cops.usdoj.gov/pdf/2018_Change_of_Info_508d_Form.pdf.



Change of Information Form

If you need to let the COPS Office know about changes or corrections, please type or print the information on this sheet and submit it to the COPS Office. In addition to the changed or corrected information, always indicate your organization's name on this sheet. Changes in the law enforcement and/or government executives will not relieve the grantee entity of its obligations under this grant.

Organization's Legal Name	ORI Number	Date
---------------------------	------------	------

Law Enforcement Executive/Program Official Information		
First Name	Last Name	
Title		
P.O. Box / Suite / Room Number		
City	State	Zip
Phone	Fax	
E-Mail Address		

Government Executive/Financial Official Information		
First Name	Last Name	
Title		
P.O. Box / Suite / Room Number		
City	State	Zip
Phone	Fax	
E-Mail Address		

Point of Contact Information (Individual Submitting Form)	
First Name	Last Name
Title	
E-Mail Address	

Please return this completed form via email to askCopsRC@usdoj.gov or fax to 202.616.8594.

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Overview of the Community Policing Development (CPD) Program

Q1. What is the purpose of CPD funding?

A: Community Policing Development (CPD) funds are used to develop the capacity of law enforcement to implement community policing strategies by providing guidance on promising practices through the development and testing of innovative strategies; building knowledge about effective practices and outcomes; and supporting

new, creative approaches to preventing crime and promoting safe communities. The 2018 CPD program will fund projects that develop knowledge, increase awareness of effective community policing strategies, increase skills/abilities of law enforcement and community partners, increase the number of law enforcement agencies and relevant stakeholders using proven community policing practices, and institutionalize community policing practice in routine business.

Q2. Who is eligible to apply?

A: Unless otherwise noted in the topic description, this solicitation is open to all public governmental agencies, for-profit (commercial) organizations, nonprofit organizations, institutions of higher education, community groups, and faith-based organizations. For-profit organizations (as well as other recipients) must forgo any profit or management fee. Applicants are strongly encouraged to submit an application that shows partnerships with key organizations including institutions of higher education and nonprofit organizations in order to build strong working relationships. Please refer to “CPD topic areas” beginning on page 2 for further information regarding applicant eligibility and topic descriptions.

Q3. What topic areas are covered under this solicitation?

A: Applicants are encouraged to submit proposals under the following competitive topic areas: (1) Incorporating Community Policing into Contemporary Broken Windows Theory Applications, (2) Supporting First Amendment Rights: The Community Policing Approach, (3) Partnerships to Address Labor Trafficking, (4) Online Law Enforcement Training, (5) Supporting First-Line Supervisors, (6) Field-Initiated Law Enforcement Microgrants, (7) Open Topic Area, and (8) Tribal Training and Technical Assistance.

<p>The Field-Initiated Law Enforcement Microgrants topic area in the 2018 Community Policing Development solicitation has been placed on hold until further notice due to litigation, and applications will not be accepted at this time. All other topic areas remain open and applications are being accepted until June 7, 2018, at 7:59 p.m. EDT.</p>

Please ensure that you identify and select the appropriate topic area under which you are seeking funding. Please note that an applicant can submit multiple applications in any of the topic areas.

Q4. What areas are covered under the Field-Initiated Law Enforcement Microgrants?

A: Under the Field-Initiated Law Enforcement Microgrant area, applicants will need to select one subtopic. The subtopics include (1) Peer Support for Officer Safety and Wellness, (2) Human Trafficking, (3) Hate Crimes, (4) Recruitment and Hiring, (5) Incident-Specific After-Action Reviews, and (6) Child and Youth Engagement.

Q5. What areas are covered under the Invitational Awards?

A: Invitational applications are by invitation only. For more details on the requirements for the invitational applications, please see the Preparing for Active Shooter Situations (PASS) program page, which can be found at <https://cops.usdoj.gov/default.asp?Item=2936>.

Q6. What is the deadline for this solicitation?

A: The CPD solicitation closes at 7:59 p.m. EDT on June 7, 2018.

Getting started

Q7. What are the major steps required for completing this application?

A: In addition to developing your proposal and application, there are a number of requirements for submitting this application. We strongly encourage you to ensure that you have met or will meet these requirements as early as possible to avoid the potential for delaying the submission of your application. Completing a Community Policing Development (CPD) application involves work in two separate federal systems. Applicants are first required to register via www.grants.gov and complete an SF-424. The Grants.gov funding code for this solicitation is COPS-Community-Policing-Development-Application-2018. Once the SF-424 has been submitted, applicants will receive an email from the COPS Office with instructions on how to complete the second part of the CPD application through the COPS Office Online Application System. If you have not renewed your COPS Office Account Access information, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

For technical assistance with submitting the SF-424, please call the Grants.gov customer service hotline at 800-518-4726, send questions via email to support@Grants.gov, or consult the Grants.gov Organization Applicant User Guide at <https://www.grants.gov/help/html/help/index.htm>. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

For programmatic assistance with the requirements of this program or with submitting the application through the COPS Office Online Application System, please call the COPS Office Response Center at 800-421-6770 or send questions via email to AskCopsRC@usdoj.gov. The COPS Office Response Center operates Monday through Friday, 9:00 a.m. to 5:00 p.m. ET, except on federal holidays.

Please note, to apply for funding, applicants must have a Data Universal Numbering System (DUNS) number (DUNS numbers are required of all agencies requesting federal funding) and have an active registration with the System for Award Management (SAM) database.

Do not wait until the application deadline date to begin the application process through the COPS Office website. The registration steps may take several days to complete, and if you wait until the application deadline date you may be unable to submit your application online.

In addition, all applicants are required to maintain current registrations in the SAM database. The SAM database replaces the Central Contractor Registration (CCR) database as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. The U.S. Department of Justice (DOJ) requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the SAM database. Applicants must update or renew their SAM registration annually to maintain an active status.

Q8. Is there a 8 U.S.C. § 1373 certification requirement in FY 2018?

A: In FY 2018, state or local government entity applicants (e.g., police departments, sheriff's departments, state police) and all non-state or local government entities that intend to use Community Policing Development (CPD)

funds to make subawards to a state or local government entity are required to certify compliance with 8 U.S.C. § 1373 regarding prohibitions or restrictions on sending to, requesting or receiving from, maintaining, or exchanging information on citizenship or immigration status, including any prohibitions or restrictions imposed or established by a state or local government entity or official.

- A. For state and local government CPD Applicants: This certification must be completed by the governing body's chief legal officer (e.g., City or County Attorney).
 - a. *Set up a new user and roles in the COPS Office Agency Portal at <https://portal.cops.usdoj.gov>. Establish accounts for the law enforcement executive (LE)/program official (PO), government executive (GE)/ financial official (FO), and chief legal officer (CLO).*
 - b. *Set up an e-signature in the COPS Office Agency Portal at <https://portal.cops.usdoj.gov>. Establish an electronic signature for all officials (LE/PO, GE/FO, and CLO). This is critical as it enables your agency to sign important documents in the application process.*

- B. For non-state or local government entities (e.g., Tribal, nonprofit, private) that will use CPD funds to make subawards to a state or local government entity, the Certification process will occur in two steps:
 - a. The applicant entity's chief legal officer must complete the Certification in the application to acknowledge that 8 U.S.C. §1373 will apply to any State or local government subrecipient.
 - b. Each state or local government subrecipient's chief legal officer (e.g., City or County Attorney) must submit a separate certification regarding its compliance with 8 U.S.C. §1373. Each applicant that has already identified state or local government subrecipients must:
 - i. Print the Certification of Compliance with 8 U.S.C. §1373 form for Subrecipients from Appendix Q or on the COPS Office website at <https://cops.usdoj.gov/default.asp?Item=2450>;
 - ii. Provide the Certification to each State or local government subrecipient;
 - iii. Ensure that the subrecipient's chief legal officer completes the certification before the application deadline; and
 - iv. Upload the subrecipient certification(s) as attachment(s) in Section 13 of the COPS Office online application system.

If the applicant has not yet identified subrecipients, the COPS Office will coordinate the subrecipient certification process post-award. Access to subrecipient funding will be contingent upon submission of completed Certifications from all State or local subrecipients.

We strongly recommend notifying the applicant's (and, as applicable, State or local subrecipients') chief legal officer of this certification requirement as soon as the CPD application period opens so that they may conduct the required reviews necessary for completing the certification(s) before the application deadline.

Please contact the COPS Office Legal Division at 202-514-4750 if you have any questions regarding this requirement.

Q9. Who is the Chief Legal Officer who must complete section 16B (8 U.S.C. § 1373 Certification)?

The Chief Legal Officer is the primary/highest ranking attorney for the governing body that governs any state or local law enforcement applicant (e.g., City Attorney, County Attorney, State Attorney General) or for the entity that is applying for funds and will make subawards to a State or local government entity (e.g., General Counsel for a non-profit organization that will make subawards to a City or County). *(Please note that the Certification may not be completed by a law enforcement agency attorney—the Chief Legal Officer must represent the governing body.)*.

Q10. Is there a preferred browser for using the COPS Office Online Application System?

A: Applicants should use Internet Explorer 11 or newer. To ensure the compatibility, go to the setting button on the internet window, select “compatibility,” ensure that all COPS Office website links are listed in the box, and select display all websites in compatibility view.

Q11. How do I apply?

A: Applicants should follow the CPD Application Checklist in the appendices for the detailed steps.

ORI, DUNS, and SAM

Q12. I do not know if my agency has an ORI number. How can I check if we have an ORI number or find out how to obtain one?

A: If your agency has never had an award with the COPS Office, or if you may have but you do not know your ORI number, please contact the COPS Office Response Center at 800-421-6770, and a representative will be able to look up your ORI number or provide information on how you can obtain your ORI number.

Q13. What is my agency’s Data Universal Numbering System (DUNS) number?

A: All applicants must have a DUNS number prior to submitting an application for COPS Office funding. A DUNS number is a unique nine- or thirteen-digit number recognized as the universal standard for identifying and tracking entities receiving federal funds. To verify your DUNS number, please call 866- 705-5711 or visit www.dnb.com/us.

Q14. What is the System for Award Management (SAM) database?

A: The SAM database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. The COPS Office requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Organizations that have previously submitted applications via Grants.gov are already registered with SAM, as it is a requirement for Grants.gov registration. Please note that applicants must update or renew their SAM registration at least once per year to maintain an active status. Information about registration procedures can be accessed at www.sam.gov.

Q15. My SAM registration is about to expire; how do I renew it?

A: All applicants for federal financial assistance must be registered in the SAM database prior to submitting an application for COPS Office funding. Applicants must maintain an active SAM registration with current information at all times during the award application process. If funded, you must also maintain the currency of your information in the SAM database until you submit the final financial report or receive the final payment under this award, whichever is later. This requires that you review and update your information at least annually after the initial registration and more frequently if required by changes in your information or another award term. If you

have an active SAM registration that is set to expire before September 30, 2018, you must renew your SAM registration before completing the application. To verify the expiration date of your SAM registration, or to renew your SAM registration, please visit www.sam.gov.

Grants.gov

Q16. How do I find this application on Grants.gov?

A: A step-by-step set of instructions for locating and completing the SF-424 on Grants.gov is available in appendix O of the application guide.

Q17. How do I save my SF-424 in Grants.gov?

A: Grants.gov will prompt you to save your application before submitting it. We strongly recommend that you save your application to an easily accessible location. The default save location may be different and could be a temporary folder, which may be difficult or impossible to access in the future. If you plan to update your application or complete it later, you will need to save it in a folder that is known to you. Also, please note that if you need to make changes to your SF-424 completed in Grants.gov once you are in the COPS Office Online Application System and have started your CPD application, you may do so by revising your saved SF-424 version and uploading it in section 13 of the application. DO NOT SAVE AND SUBMIT THIS REVISED SF-424, as it will result in the initiation of a new application in the COPS Office Online Application System.

Q18. What happens if I do not receive an email from the COPS Office after I submit my SF-424 and section 1 on Grants.gov?

A: If you do not receive an email from the COPS Office within 24 hours of submitting your SF-424 and section 1 on Grants.gov, please verify with Grants.gov that your information was correctly submitted. You can verify that there are no errors in your submission through your Grants.gov account by calling the Grants.gov Contact Center at 800-518-4726 or emailing support@grants.gov. Once you have verified that the submission was successful, please contact the COPS Office Response Center at 800-421-6770 or send questions via email to AskCopsRC@usdoj.gov.

COPS Office Online Application System

Q19. What is my COPS Office Account Access username?

A: Your COPS Office Account Access username is what you use to create and submit applications and manage your COPS Office awards. If you have not renewed your COPS Office Account Access information since November 15, 2013, please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

In the new COPS Office Agency Portal, your username is the login email address you used to set up your account. At that time, you also established a 12-character password for logging into the COPS Office Online Account Access site. If you need assistance accessing the site, you may contact the COPS Office Response Center at 800-421-6770.

Q20. How does my agency obtain its password if it is lost or forgotten?

A: To obtain your password, click on the "Account Access" tab on the top right hand corner of the COPS Office website. The logon page has a "Reset Password?" link that you should click on and it will ask you to enter your email address, then click "submit" and if your email address is recognized, you will receive an email with a link and instructions on how to reset your password.

Q21. How do I add or change our agency's authorized contacts?

A: The COPS Office Agency Portal, located at <https://portal.cops.usdoj.gov>, is where we manage your agency's contacts. For new contacts you will need to set-up an account as a user, assign them the appropriate role (law enforcement executive (LE)/program official (PO), government executive (GE)/ financial official (FO), chief legal officer (CLO) or contact and enable their electronic signature.

Detailed instructions on how to manage your contacts are included in the Agency Portal User Manual located on the COPS Office website at <https://cops.usdoj.gov/default.asp?Item=2450>. You may also use the change of information form in appendix W on page 184 and provide to the COPS Office Response Center via email at askCopsRC@usdoj.gov or fax to 202-616-8594.

Completing your application

Q22. Can I apply under various topic areas?

A: Yes, applicants may submit multiple applications. However, we strongly recommend that you complete the application process in Grants.gov and begin the COPS Office Online Application System before starting another application. This will ensure that the correct SF-424 will be assigned within the COPS Office Online Application System.

Q23. How much time do I have before the application times out?

A: The applications will time out after 20 minutes of inactivity. If your application times out, you will lose only the current page of data. It is advisable to click the "Save" button once you complete each page of the application. This will prevent you from losing data in the event your application is timed out. You will only be able to save pages that are completely filled out.

Q24. What documents are required to be uploaded to our application in the COPS Office Online Application System?

A: In addition to completing the SF-424 through Grants.gov and the COPS Office Attachment to the SF- 424 through the COPS Office Online Application System, at a minimum applicants are required to upload as attachments a project narrative and a budget narrative that are responsive to the application topic area under which they are applying. Other documents may be required as detailed in the FY 2018 CPD Application Guide section 13. "Application attachments," beginning on page 41.

All items must be uploaded to section 13 in the COPS Office Online Application System.

Q25. Is there a page limit to the project narrative?

A: The project narrative should meet the following requirements:

1. Double-spaced
2. 8.5 x 11 inch page
3. One-inch margins
4. Type no smaller or larger than 12 point, Times New Roman font
5. Page numbers
6. A cover page identifying the CPD solicitation topic/subtopic for which the applicant is applying and the title of the application. The CPD solicitation topic identified on the cover page must match the CPD topic selected in section 1 of the COPS Office Online Application System.

7. No more than 20 pages and no fewer than 10 pages for the project narrative (non-microgrant applications)*
8. No more than 10 pages and no fewer than 2 pages for the project narrative (microgrant applications)*
9. Word documents in the following formats: Microsoft Word (.doc or .docx) or PDF files (.pdf)
10. Headings and sub-headings that correspond to the sections identified

*Table of contents and cover page will not count toward the overall page limit.

Executive summaries, abstracts, timelines, graphs, and charts (regardless of pagination in front matter) will count toward the overall page limit. Appendices are strongly discouraged. Resumes, curriculum vitae, letters of support from partners (if applicable), and certifications should be separate attachments and do not count towards the narrative page requirements.

Q26. Should a timeline be included in the 20-page project narrative?

A: Yes, applicants should include a brief timeline with a list of key activities and milestones to take place within the award period, grouped by month or quarter. The timeline should be detailed enough to include each project goal, related objective, activity, expected completion date, and responsible person or organization.

Budget and budget narrative

Q27. What is the maximum amount to be awarded?

The COPS Office intends to fund numerous projects with the available funding. Applicants are encouraged to be conservative in their budget proposals, as the amount budgeted will be evaluated against the local or national benefits identified to ensure efficient use of resources. All budget requests must be tailored to the scope of the solicited work and must be reasonable and allowable. Applicants will be evaluated on the total cost of the project relative to the perceived benefit, the appropriateness of the budget relative to the level of effort, and the use of existing resources to conserve costs.

Q28. Do I have to submit my budget using the COPS Office Online Application System, or may I send my own budget using a spreadsheet (Excel, Lotus etc.)?

A: CPD applicants must use the form-fillable fields within section 14 of the COPS Office Online Application System. The narrative descriptions for each budget item must comprehensively describe the rationale and nature of the budget expense.

Q29. What may my agency request funding for under the CPD program?

A: All items requested will be considered on a case-by-case basis during the budget review process. Items under the program must be purchased using the legislative guidelines established by the appropriations legislation that governs this funding. Additionally, each item requested must programmatically link to the activities described in your application. To the greatest extent practical, all equipment and products purchased with these funds must be American-made.

NOTE: For awards made to states or units of local government (including law enforcement agencies), requests may be made only for items or positions that are not otherwise budgeted with state, local, or Bureau of Indian Affairs (BIA) funds and that would not be funded in the absence of this COPS Office award (see "IV. Nonsupplanting Requirement" beginning on page 79).

Each requested budget item must be allowable, necessary, allocable, and reasonable to the project activities.

Budget requests may be made in the following categories:

- Civilian or nonsworn base salary and fringe benefits
- Equipment/Technology
- Supplies
- Travel/Training/Conferences
- Contracts/Consultants
- Other costs
- Indirect costs

Construction costs are unallowable.

For-profit organizations (as well as other recipients) must forgo any profit or management fee.

Requests for reimbursement of items purchased or expenses incurred prior to the award start date will not be funded. For more information on allowable and unallowable costs, please refer to the CPD Application Guide section 14. "Budget detail worksheets and narrative" beginning on page 43.

Q30. If civilian personnel are going to work on this project, may they be included in the budget?

A: Yes. If you are going to apply to have civilian personnel work on your project, please include those calculations and figures under the nonsworn/civilian section in the budget and budget narrative. Salaries of personnel are costs based on the percentage of time spent working directly on the project. Fringe benefits are allowances and services provided by the organization to its employees as compensation in addition to regular salary.

Please note overtime is the only expense we cover for sworn law enforcement personnel and should be listed in the "Other" category.

If you have any questions, please refer to allowable/unallowable costs and the nonsupplanting requirements found in the CPD Application Guide under section 14. "Budget detail worksheets and narrative" beginning on page 43.

Q31. Why can I not move beyond section 14.B if I am not submitting any civilian costs?

A: If you are not submitting any costs related to civilian costs, you will still need to select "no" for the vacation and sick leave drop-downs before proceeding through the worksheets. This will also need to be completed if you are only entering civilian costs for year 1.

Q32. Is it allowable to pay for overtime for sworn officers?

A: Yes, this is considered an allowable cost. If you are submitting these costs, the request should be entered under section 14.G. as an "other" cost and not under section 14.B.

Q33. Are indirect costs allowable under the CPD program?

A: Yes. CPD programs allow your agency to request indirect costs. If your agency has a negotiated indirect (F&A) cost rate, then you must upload a copy of your active and current indirect cost rate agreement that has been approved by your cognizant federal agency as an attachment (within section 13 of the COPS Office Online Application System) to be eligible to receive your established rate.

If you do not have a previously approved federal indirect cost rate, you may negotiate an indirect cost rate with your cognizant agency or you may elect to charge a de minimis rate of 10 percent of modified total direct costs.

Please see appendix S beginning on page 143 of this guide for the Indirect Cost Rate fact sheet.

Q34. What if I only have a provisional indirect cost rate?

A: If you are requesting indirect costs, you must submit your most current approved indirect cost rate agreement, which may be a provisional indirect cost rate. If you submit a provisional indirect cost rate, when you receive a final approved indirect cost rate, it must be submitted to the COPS Office. In addition, differences in project costs resulting from different rates must be reconciled within your project budget for the period of the award impacted by the two rates to ensure the proper rates are always applied. Please see appendix S beginning on page 143 of this guide for the Indirect Cost Rate fact sheet.

Q35. If my agency's indirect cost rate agreement has expired, may we still apply for indirect costs?

A: Yes, you may apply and request an indirect cost rate but, you will not be able to draw down funds for the portion of indirect costs during the award period for which you do not have a current, approved, negotiated indirect cost rate with your cognizant federal agency. If your indirect cost rate expires during your award period, those funds may be frozen until you receive a new approved rate or an extension. To be eligible to receive the full amount of approved indirect costs, you must have an approved agreement or an extension for the entire award period. Documentation must be provided to the COPS Office in order to calculate and verify your indirect cost rate if you do not have a current indirect cost rate agreement. Please see appendix S beginning on page 143 of this guide for the Indirect Cost Rate fact sheet.

Q36. If my agency's indirect cost rate has expired, can I receive the flat 10 percent de minimis rate?

A: No, if your indirect cost rate agreement has expired, either you must renegotiate the rate or you may request a one-time extension from your cognizant federal agency. The negotiated cost rate may be extended for up to four years. Once the cognizant federal agency has approved your extension, you must abide by the rate for the agreed-upon time period. No further negotiations regarding indirect cost rates may occur until the extension has expired. At the end of the extension period, you must negotiate a new indirect cost rate.

Q37. How do I apply for an indirect cost rate agreement?

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

Q38. Is there a match requirement?

A: No. There is no local match.

Q39. How long is the award period for the CPD program?

A: Most CPD awards will have a performance period of 24 months in duration, except for the Field Initiated Law Enforcement Microgrants, which will have an award period of 12 months. Budgets should accurately reflect the appropriate performance period.

Submitting your application

Q40. Can I email a copy of my application?

A: The COPS Office will only accept applications via the COPS Office Agency Portal. No email, fax, or paper copies will be accepted.

Q41. Is there any way to print the finished application so that I can review a hard copy prior to submission?

A: Yes. You may print a copy of the application before submission when you get to the last page of the application online. Before submission of the application, you may print the entire application or individual sections.

Q42. How can I obtain a copy of the application we have already submitted through the COPS Office Online Application System?

A: Find the application you would like to print or save in the COPS Office Online Application System. Double click on the PDF icon and a copy of the application will open as a separate webpage. You can either save the PDF or select "Print." If you make changes, you will need to save an updated copy of the application for your records.

Q43. For the narrative sections, does the 4,000-character limit include spaces and special characters or just letters?

A: Yes, the 4,000-character limit includes letters, numbers, spaces, and special characters.

Review process

Q44. What is peer review?

A: Peer review is the technical and programmatic evaluation of applications by a group of subject matter experts qualified in a particular area related to one of the topic areas. The CPD applications are subject to peer review, which is conducted with different methods: external or internal peer review, in person or online. The peer review process provides an objective, independent review of the applications. Experts and COPS Office staff identify strengths and areas of improvement of applications, rate them, and recommend which applications merit further consideration of funding. Peer review recommendations are advisory in nature.

Award notifications

Q45. When should I expect notification if awarded CPD program funds?

A: It is anticipated that CPD awards will be announced on or after September 1, 2018. Notifications will be sent electronically. Any public announcements will be posted on the COPS Office website at www.cops.usdoj.gov.

Q46. Is there an appeal process?

All award decisions are final and not subject to appeal.

Questions? Please contact the COPS Office Response Center at AskCopsRC@usdoj.gov or 800-421-6770.

Glossary of Terms

The following information is provided to assist you with the completion of your COPS Office award program application forms. The list includes some of the most common terms that are used in the application forms. For additional assistance or clarification regarding any part of the application, please contact the COPS Office Response Center at 800-421-6770 or AskCopsRC@usdoj.gov.

allowable costs. Allowable costs are costs that will be paid for by this award program.

authorized officials. The authorized officials are the individuals in your organization who have final authority and responsibility for all programmatic and financial decisions regarding your application and, if funded, your award. For law enforcement agencies, the listed law enforcement executive (usually chief of police, sheriff, etc.) and the government executive (usually mayor, board president, etc.) are your agency's authorized officials.

authorized organizational representative (AOR). A person authorized by your e-business POC to submit applications to Grants.gov. This privilege should be provided only to those individuals who currently have signature authority for submitting award applications. The name of the individual designated as an AOR will be populated by the Grants.gov system in award application package forms, which require signatures. An organization can assign as many AORs to use Grants.gov as necessary.

award end date. This is the date until which your agency is authorized to purchase items or hire positions that were approved by the COPS Office. If funded, the award end date is found on your award document. Recipients may not make any purchases or hire any positions after this date without written approval from the COPS Office.

award number. If awarded, the award number identifies your agency's specific award, and can be found on your award document. This number should be used as a reference when corresponding with the COPS Office. The COPS Office tracks award information based upon this number.

award start date. This is the date on or after which your agency is authorized to purchase items or hire positions that were approved by the COPS Office. If funded, the award start date is found on your award document. Recipients may not make any purchases or hire any positions prior to this date without written approval from the COPS Office.

career law enforcement officer. The COPS Office statute defines a career law enforcement officer as a person hired on a permanent basis who is authorized by law or by a state or local public agency to engage in or oversee the prevention, detection, or investigation of violations of criminal laws.

Catalog of Federal Domestic Assistance (CFDA). The CFDA is an annual government-wide publication that contains a description and index of all forms of federal assistance. Each program is assigned a CFDA number, which is used by auditors to track award revenues under the Single Audit Act. It is also used in participating states by state single points of contact in conducting the required intergovernmental reviews under Executive Order 12372. The CFDA number for all COPS Office programs is 16.710.

Chief Legal Officer (CLO). The Chief Legal Officer is the primary/highest ranking attorney for the governing body that governs any state or local law enforcement applicant (e.g., City Attorney, County Attorney, State Attorney General) or for the entity that is applying for funds and will make subawards to a State or local government entity

(e.g., General Counsel for a non-profit organization that will make subawards to a City or County). *(Please note that the Certification may not be completed by a law enforcement agency attorney—the Chief Legal Officer must represent the governing body.)*

closeout. The process in which the awarding agency, the COPS Office, determines that all applicable administrative actions and all required work and conditions of the award have been completed and met by the recipient and awarding agency.

Cognizant Federal Agency. The federal agency that generally provides the most federal financial assistance to the recipient of funds. Cognizance is assigned by the Office of Management and Budget (OMB).

community policing. Community policing is a philosophy that promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address the immediate conditions that give rise to public safety issues such as violent crime, nonviolent crime, and fear of crime.

computing devices. Computing devices are machines used to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or “peripherals”) for printing, transmitting, and receiving, or storing electronic information.

cooperative agreement. A legal instrument of financial assistance between a federal awarding agency and a non-federal entity to carry out a public purpose authorized by a law of the United States that, consistent with 31 U.S.C. § 6302-6305, provides for substantial involvement between the federal awarding agency and the non-federal entity in carrying out the activity contemplated by the federal award.

COPS Office. The Office of Community Oriented Policing Services (COPS Office) is the office within the U.S. Department of Justice that, if awarded, is your grantor or awarding agency for your COPS Office award. The COPS Office is responsible for administering your award for the entire award period. You can reach the COPS Office at 800-421-6770.

COPS Office finance staff. Members of the COPS Office finance staff handle your agency’s financial and budgetary needs related to your application. A financial analyst is assigned to your state, and is available to answer any questions that you may have concerning the financial aspects of your award, if funded. To identify your state assigned financial analyst, please call the COPS Office Response Center at 800-421-6770, or visit the COPS Office web site at www.cops.usdoj.gov.

Disallowed costs. Disallowed costs means those charges that are determined to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the federal award.

DUNS number. DUNS stands for “data universal numbering system.” DUNS numbers are issued by Dun and Bradstreet (D&B) and consist of nine or thirteen digits. If your institution does not have one, call 866-705-5711 to receive one free of charge. You can also request your DUNS number online at www.dnb.com/us.

e-business point of contact (POC). Your e-business POC is the person who will designate which staff members can submit applications through Grants.gov. When you register with SAM, your institution will be asked to designate an e-Business POC.

equipment. Equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds \$5,000.

federally recognized tribe. Tribal entities that are recognized and eligible for funding and services from the Bureau of Indian Affairs by virtue of their status as Indian tribes. They are acknowledged to have the immunities and privileges available to other federally acknowledged Indian tribes by virtue of their government-to-government relationship with the United States as well as the responsibilities, power, limitation, and obligations of such tribes. Only federally recognized tribes are eligible to apply for COPS Office tribal award funds. For further information, contact: Bureau of Indian Affairs, Division of Tribal Government Services, MS-4631-MIB, 1849 C Street NW, Washington, DC 20240, 202-208-2475.

GNIS ID: The Geographic Names Information System (GNIS) database is maintained by the U.S. Geological Survey, U.S. Department of the Interior. The database assigns a unique, permanent feature identifier, the Feature ID, which is the only standard federal key for integrating or reconciling feature data from multiple datasets.

grant. A legal instrument of financial assistance between a federal awarding agency and a non-federal entity to carry out a public purpose authorized by a law of the United States that, consistent with 31 U.S.C. § 6302-6305, does not provide for substantial involvement between the federal awarding agency and the non-Federal entity in carrying out the activity contemplated by the federal award.

Indian tribe. For purposes of COPS Office awards, Indian tribe means a tribe, band, pueblo, nation, or other organized group or community of Indians, including an Alaska Native village (as defined in or established under the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. See 34 U.S.C. § 10389(3).

indirect costs. Indirect (facilities & administrative (F&A)) costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.

institutions of higher education (IHE). Institution of higher education is defined at 20 U.S.C. 1001.

Local Area Unemployment Statistics (LAUS). The Bureau of Labor Statistics' LAUS program provides monthly estimates of unemployment for communities. For more information and detailed instructions for looking up your local area's unemployment rate, please visit www.bls.gov/lau/data.htm.

local budget cycle. Your agency's fiscal year. Some common examples include January 1 to December 31, October 1 to September 30, and July 1 to June 30. Some local budget cycles may extend up to 24 months.

M-PIN. Password used by your e-business point of contact to designate which staff members can submit applications to Grants.gov.

matching funds. What a locality must contribute as a cash match toward total allowable project costs over the life of the program.

mobile data computer/laptop. A Mobile Data Computer (MDC) is a computer terminal mounted in a vehicle that is linked via wireless communication to a network that is often integrated with a CAD system. MDCs enable officers to complete previously handwritten reports on a computer. This often eliminates the need to enter duplicate information on multiple reports.

modified total direct cost. Modified total direct cost (MTDC) means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

National Incident-Based Reporting System (NIBRS). A comprehensive reporting database. Agencies provide individual records for eight index crimes and 38 other offenses.

nonfederal entity. Nonfederal entity means a state, local government, Indian tribe, institution of higher education, or nonprofit organization that carries out a federal award as a recipient or subrecipient.

nonprofit organization. Nonprofit organization means any corporation, trust, association, cooperative, or other organization, not including institutions of higher education, that is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operations of the organization.

obligation of funds. If this application is awarded, the COPS Office obligates federal funds when the award document is signed by the director or his or her designated official. For the recipient, award funds are obligated when monies are spent directly on purchasing items approved under the award. The term *encumbrance* is often used at the local and state levels to describe this type of transaction. Liquidated obligations are considered cash outlays or monies actually spent. Unliquidated obligations are obligations incurred and recorded but not yet paid (accrual basis of accounting) or not yet recorded and not yet paid (cash basis of accounting).

OJP vendor number/EIN number. This is your agency's nine-digit federal tax identification number assigned to you by the IRS. Your accounting/bookkeeping department should have this number.

If your EIN previously has been assigned to another agency within your jurisdiction, the Office of the Comptroller will assign a new OJP vendor number to you. The new assigned number is to be used for administrative purposes only, in connection with this award program, and should not be used for IRS purposes.

ORI (Originating Agency Identifier) number. This number is assigned by the FBI and is your agency's originating agency identifier. The first two letters are your state abbreviation, the next three numbers are your county's code, and the final two numbers identify your jurisdiction within your county. When you contact the COPS Office with a question, you can use the ORI number, and we will be able to assist you. If you are a previous COPS Office award recipient, you may have been assigned an ORI number through the COPS Office if the FBI had not previously assigned your agency this identifier number.

participant support costs. Participant support costs means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects.

primary law enforcement authority. An agency with primary law enforcement authority is defined as the first responder to calls for service for all types of criminal incidents within its jurisdiction. Agencies are not considered to have primary law enforcement authority if they only respond to or investigate specific type(s) of crime(s); respond to or investigate crimes within a correctional institution; serve warrants; provide courthouse security; transport prisoners; and/or have cases referred to them for investigation or investigational support.

program income. Program income means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance.

Public Safety Partnership and Community Policing Act of 1994. The COPS Office is charged with fulfilling the mandates of this law. The purposes of the law are to

- increase the number of community policing officers on the beat;
- provide additional and more effective training to law enforcement officers to enhance their problem solving, service, and other skills needed in interacting with members of the community;
- encourage the development and implementation of innovative programs to permit members of the community to assist law enforcement agencies in the prevention of crime;
- encourage the development of new technologies to assist law enforcement agencies in reorienting the emphasis of their activities from reacting to crime to preventing crime.

recipient. The Uniform Guidance defines it as “Recipient means a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term recipient does not include subrecipients. See also § 200.69 Non-Federal entity.” 2 C.F.R. § 200.86.

research and development. Research and development (R&D) means all research activities, both basic and applied, and all development activities that are performed by non-Federal entities. The term “research” also includes activities involving the training of individuals in research techniques where such activities use the same facilities as other research and development activities and where such activities are not included in the instruction function. “Research” is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. “Development” is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

school resource officer (SRO). A career law enforcement officer, with sworn authority, deployed in community-oriented policing, and assigned by the employing police department or agency to work in collaboration with schools and community-based organizations to (a) address crime and disorder problems, gangs, and drug activities affecting or occurring in or around and elementary or secondary school; (b) deploy or expand crime prevention efforts for students; (c) educate likely school-age victims in crime prevention and safety; (d) develop or expand community justice initiatives for students; (e) train students in conflict resolution, restorative justice, and crime awareness; (f) assist in the identification of physical changes in the environment that may reduce crime in or around the school; and (g) assist in developing school policy that addresses crime and to recommend procedural changes.

simplified acquisition threshold. Simplified acquisition threshold means the dollar amount below which a non-Federal entity may purchase property or services using small purchase methods. Non-Federal entities adopt small purchase procedures in order to expedite the purchase of items costing less than the simplified acquisition threshold. The simplified acquisition threshold is set by the Federal Acquisition Regulation at 48 C.F.R. Subpart 2.1 (Definitions) and in accordance with 41 U.S.C. § 1908. Currently, the simplified acquisition threshold is \$150,000.

subaward. Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

subrecipient. Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

supplanting. COPS Office award funds may not be used to supplant (replace) state, local, or Bureau of Indian Affairs (BIA) funds that would be made available in the absence of federal COPS Office award funding. Program funds must be used to increase the amount of state, local, or BIA funds otherwise budgeted for the award purposes, plus any additional state, local, or BIA funds budgeted for these purposes.

supplies. Supplies means all tangible personal property other than those described under equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life.

System for Award Management (SAM). Institutions applying for any type of award from the Federal Government must register with SAM. The SAM database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Applicants must update or renew their SAM at least once per year to maintain an active status. Information about registration procedures can be accessed at www.sam.gov.

Paperwork Reduction Act Notice

The public reporting burden for this collection of information is estimated to be up to 11.3 hours per response, depending upon the COPS Office program being applied for, which includes time for reviewing instructions. Send comments regarding this burden estimate or any other aspects of the collection of this information, including suggestions for reducing this burden, to the Office of Community Oriented Policing Services, U.S. Department of Justice, 145 N Street NE, Washington, DC 20530; and to the Public Use Reports Project, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

You are not required to respond to this collection of information unless it displays a valid OMB control number. The OMB control number for this application is 1103-0098, and the expiration date is 05/31/2020.

About the COPS Office

The **Office of Community Oriented Policing Services (COPS Office)** is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources.

Community policing begins with a commitment to building trust and mutual respect between police and communities. It supports public safety by encouraging all stakeholders to work together to address our nation's crime challenges. When police and communities collaborate, they more effectively address underlying issues, change negative behavioral patterns, and allocate resources.

Rather than simply responding to crime, community policing focuses on preventing it through strategic problem-solving approaches based on collaboration. The COPS Office awards grants to hire community policing officers and support the development and testing of innovative policing strategies. COPS Office funding also provides training and technical assistance to community members and local government leaders, as well as all levels of law enforcement.

Since 1994, the COPS Office has invested more than \$14 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing. Other achievements include the following:

- To date, the COPS Office has funded the hiring of approximately 130,000 additional officers by more than 13,000 of the nation's 18,000 law enforcement agencies in both small and large jurisdictions.
- Nearly 700,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.
- To date, the COPS Office has distributed more than eight million topic-specific publications, training curricula, white papers, and resource CDs and flash drives.
- The COPS Office also sponsors conferences, roundtables, and other forums focused on issues critical to law enforcement.

COPS Office information resources, covering a wide range of community policing topics such as school and campus safety, violent crime, and officer safety and wellness, can be downloaded via the COPS Office's home page, www.cops.usdoj.gov. This website is also the grant application portal, providing access to online application forms.



U.S. Department of Justice
Office of Community Oriented Policing Services
145 N Street NE
Washington, DC 20530
To obtain details on COPS Office programs,
call the COPS Office Response Center at 800-421-6770.

Visit the COPS Office online at www.cops.usdoj.gov.

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