



# **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](http://www.cops.usdoj.gov)) is pleased to announce that it is seeking applications for funding for the COPS Office FY 2016 Community Policing Development (CPD) program. This program furthers the department's mission of advancing public safety through community policing by addressing the department's goal of assisting state, local, and tribal efforts to prevent or reduce crime and violence.

## **COPS Office FY 2016 Application Guide: Community Policing Development (CPD)**

CFDA 16.710

Funding Opportunity Number: COPS-Community-Policing-Development-2016

### **Eligibility**

This solicitation is open to all public governmental agencies, for-profit and nonprofit institutions, institutions of higher education, community groups and faith-based organizations. 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. Applications that represent partnerships between law enforcement agencies and institution of higher education and nonprofit institutions are encouraged. 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 2016 Community Policing Development (CPD) program begins **March 31, 2016**. All applications must be submitted by **June 1, 2016, at 7:59 p.m. EDT**. Applications submitted after **June 1, 2016** 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](http://www.grants.gov) and complete an SF-424, submitting it through the Grants.gov website. Once the SF-424 has been submitted via Grants.gov, the COPS Office will send an invitation e-mail to the applicant with instructions on completing the second part of the CPD program application through the COPS Office Online Application System (see "Registration" on page 6 and "How to Apply" on page 21). If you have not renewed your COPS Office Account Access information, contact the COPS Office Response Center at [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov) or 800-421-6770. An application is not considered submitted until both of these steps are completed.

### **Contact information**

For technical assistance with submitting the SF-424, call the Grants.gov customer service hotline at 800-518-4726, send questions via e-mail to [support@Grants.gov](mailto:support@Grants.gov), or consult the Grants.gov Organization Applicant User Guide at <http://www.grants.gov/help/html/help/index.htm>. 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 e-mail to [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov).

# COPS Office FY 2016 Application Guide: COPS Community Policing Development Program

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

For more information about COPS Office grants, please call the COPS Office Response Center at 800-421-6770.



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Office of Community Oriented Policing Services  
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Visit the COPS Office online at [www.cops.usdoj.gov](http://www.cops.usdoj.gov)

Published 2016

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## Community Policing Development (CPD) (CFDA 16.710) Overview

Community Policing Development description and federal award information

This program is authorized under the Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C. § 3796dd et seq., as amended, and the Violent Crime Control and Law Enforcement Act of 1994, Title I, Part Q, Public Law 103-322

Community Policing Development (CPD) funds are used to advance the practice of community policing in law enforcement agencies through training and technical assistance, the development of innovative community policing strategies, applied research, guidebooks, and best practices that are national in scope. The COPS Office, a federal provider of innovative, customer-focused resources that address the continuing and emerging needs of those engaged in enhancing public safety through community policing, has designed the CPD solicitation to address critical topics in the law enforcement field by building on the principles of 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 crime, social disorder, and fear of crime. Community policing comprises three key components:

### 1. **Partnerships**

Collaborative partnerships between the law enforcement agency and the individuals and organizations they serve to develop solutions to problems and increase trust in police.

### 2. **Organizational transformation**

The alignment of organizational management, structure, personnel, and information systems to support community partnerships and proactive problem solving.

### 3. **Problem solving**

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

The 2016 CPD program has been established to fund specific projects related to the following topic areas: (1) Microgrant Initiative for Law Enforcement; (2) Law Enforcement Led 21st Century Policing Demonstration Projects; (3) 21st Century Policing Implementation Projects; (4) Community Policing Training Projects; (5) Community Policing Emerging Issues Forums; (6) Critical Response Technical Assistance; (7) Invitational Initiative. There is approximately \$8 million in CPD funds and the COPS Office aims to fund numerous projects. All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. Funding is limited, and we expect this solicitation to be very competitive.

The final number of awards will be based on the number of high-quality applications received and the scope of work proposed. 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.

The COPS Office may make some awards from the CPD solicitation in the form of a cooperative agreement, 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.

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, and/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 and/or is not cooperating with an ongoing federal civil rights investigation.

Misuse of CPD funds and/or failure to comply with all COPS Office award requirements may result in suspension or termination of award funds, the repayment of funds, and/or other remedies available by law.

Applicants for COPS Office Community Policing Development (CPD) funding are required to certify compliance with all applicable Federal laws at the time of application. In that regard, members of Congress have asked the Department of Justice to examine whether jurisdictions with “sanctuary policies” (i.e., policies that either prevent law enforcement from releasing persons without lawful immigration status into Federal custody for deportation or policies that prevent state or local law enforcement from sharing certain information with Department of Homeland Security (DHS) officials), are in violation of 8 U.S.C. section 1373. For that reason, all recipients for this program should understand that if the COPS Office receives information which indicates that a recipient may be in violation of 8 U.S.C. section 1373 (or any other applicable federal law) that recipient may be referred to the DOJ Office of Inspector General for investigation. If the recipient is found to be in violation of an applicable federal law by the OIG, the recipient may be subject to criminal and civil penalties, in addition to relevant DOJ programmatic penalties including suspension or termination of funds, inclusion on the high risk list, repayment of funds, or suspension and debarment.

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 <http://oig.hhs.gov/fraud/report-fraud/index.asp>, and 800-869-4499.

## Registration

All FY 2016 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. 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 grant application. This is required before you begin your application on Grants.gov.

In addition, 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 and be registered in the System for Award Management (SAM) database prior to submitting an application. See “section 3: General Agency Information” on page 46 of this guide for more information regarding DUNS and SAM.

Completing an application under the CPD program is a two-step process. Applicants are first required to register via [www.grants.gov](http://www.grants.gov) and complete an SF-424, the government-wide standard application form for federal assistance. Once you have registered and submitted your SF-424 through Grants.gov, you

will receive an e-mail from the COPS Office within one business day with instructions on completing the second part of the CPD application process, which is the COPS Office Application Attachment to the SF-424 through the COPS Office Online Application System. If you have not renewed your COPS Office Account Access information, contact the COPS Office Response Center at [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov) or 800-421-6770.

It is strongly recommended that applicants register immediately on [www.grants.gov](http://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, e-mail [support@grants.gov](mailto:support@grants.gov), or consult the Grants.gov Applicant User Guide at <http://www.grants.gov/help/html/help/index.htm>. See "How to Apply/Application Submission" on page 21 of this guide for more information.

For technical assistance with submitting the online application via the COPS Office website, please call 800-421-6770 or send questions via e-mail to [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov). See "How to Apply/Application Submission" on page 21 of this guide for more information.

## Deadline: Application

All completed applications must be submitted by **June 1, 2016 at 7:59 p.m. EST**. Please see "How to Apply/Application Submission" for more information.

Applications for this program must be submitted in two parts. First, applicants must apply online via [www.grants.gov](http://www.grants.gov) to complete the SF-424. Applicants will then be directed to the COPS Office website ([www.cops.usdoj.gov](http://www.cops.usdoj.gov)) to complete the second part of the application by **June 1, 2016 at 7:59 p.m. EST**.

## Eligibility Requirements

The CPD solicitation is open to all public governmental agencies, for-profit and nonprofit institutions, institutions of higher education, community groups, and faith-based organizations. 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. Unless 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. This program does not have a local match requirement.

For additional information, please contact the COPS Office Response Center at 800-421-6770 or send questions via e-mail to [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov).

## Program-Specific Information

Community Policing Development (CPD) funds are used to advance the practice of community policing in law enforcement agencies through training and technical assistance; the development of innovative community policing strategies; the implementation of demonstration projects; and the development of applied research, guidebooks, and best practices that are national in scope.

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

This solicitation is being announced as an open competition, and recipients will be expected to begin work immediately upon selection. Funding is limited, and we expect this solicitation to be very competitive.

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Based on the overall availability of funding, number of applications, and scope of proposed projects, applicants who are selected may be asked to resubmit a more defined project plan and revised budget with short notice prior to the making of any award. Failure to resubmit the requested information within the time period identified may impact an agency's eligibility to receive the award.

When applying, please be sure to select the most appropriate topic area under which to apply. Please note that applicants may submit multiple applications.

### Program goals

Applicants must identify the goals of the CPD program (advancing the practice of community policing through training and technical assistance; development of innovative community policing strategies; implementation of demonstration projects; development of applied research, guidebooks, and best practices that are national in scope) that will be directly accomplished if funding is awarded. Applicants should consider the following general categories when developing their own specific 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.

### Topic areas

Applicants are encouraged to present original and innovative proposals that meet the specific project outcomes outlined under each topic area. Proposals should be responsive to the selected topic, significantly advance the field of community policing, should be scalable in terms of both scope and budget, and should demonstrate an understanding of community policing as it pertains to the application topic. Applications that represent partnerships between law enforcement agencies and institutions of higher education and nonprofit institutions are encouraged. Unless 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. Depending on the quality of applications received and/or the availability of funding, the COPS Office may not fund every topic area and/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.

On December 18, 2014, President Barack Obama signed an executive order establishing the President's Task Force on 21st Century Policing. The President charged the task force with identifying best practices and offering recommendations on how policing practices can promote effective crime reduction while building public trust. This year the Community Policing Development Program has an overarching emphasis on implementation of the President's Task Force on 21st Century Policing Recommendations. Please see the full Task Force Report for full list of recommendations ([http://www.cops.usdoj.gov/pdf/taskforce/TaskForce\\_FinalReport.pdf](http://www.cops.usdoj.gov/pdf/taskforce/TaskForce_FinalReport.pdf)).



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### ***Microgrant Initiative for Law Enforcement***

The COPS Office Microgrant Initiative is a seed grant program for law enforcement agencies. A seed grant is for funding innovative ideas where relatively small amounts of funding are required to carry out self-contained or demonstration projects.

The COPS Office anticipates funding up to seven awards under this topic. The total number of awards will be based on the quality of applications received and the amount of funding requested. Microgrants will provide funding for a one-year award period.

The COPS Office is investing directly in state, local, and tribal law enforcement agencies through the Microgrant Initiative to support innovative and experimental work in community policing. The Microgrant Initiative uses practitioner-driven innovations to inform the national practice of community policing by providing seed funding to law enforcement agencies directly to implement their proposed projects.

Law enforcement agencies are invited to propose demonstration or pilot projects that offer creative ideas to advance community engagement, problem solving, and/or organizational changes to support community policing in one of the six areas identified below:

#### **Community Advisory Boards**

As highlighted by the Task Force in recommendation 4.5.3, "Law enforcement agencies should establish formal community/citizen advisory committees to assist in developing crime prevention strategies and agency policies as well as provide input on policing issues." Community advisory boards have been used by many agencies as a mechanism for structured community participation. Boards are often used for the identification and prioritization of community problems and to provide input into various policing policies and practices. When properly structured and used, they can have the benefit of improving agency transparency and trust between police and the citizens they serve. The COPS Office will provide funding to law enforcement agencies seeking to establish or enhance formal community/citizen advisory boards. Funding should be used to explore innovative ways to develop, implement, and/or evaluate their effectiveness. Projects that expand upon or move beyond existing models are especially encouraged.

#### **Youth/Police Collaboration**

It is well known that youth in their mid to late teens are at most risk of involvement with the criminal justice system as both offenders and victims. In the past decade, much has been learned about the pathways by which adolescents become delinquent, the effectiveness of prevention and treatment programs, and the long-term effects of transferring youths to the adult system. These findings have raised doubts about "zero tolerance" approaches to enforcement and criminalizing the behaviors of young children and adolescents. Many law enforcement agencies are looking for pro-active ways to engage with youth to prevent their involvement in criminal activity and to intervene in effective ways in order to attempt to divert juveniles from becoming repeat offenders. The COPS Office will provide funding to law enforcement agencies seeking to develop or enhance programs focusing on youth/police collaboration. Funding should be used to explore and implement innovative ways to reduce youth involvement in the criminal justice system, recognize the voices of youth in community decision making, facilitate youth-led research and problem solving, develop youth leadership training and life skills through positive youth/police interactions, and otherwise improve trust between youth and law enforcement.

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### **Alternatives to Incarceration for Minor Offenses**

Public health and public safety advocates, including those in policing, have increasingly come to realize that criminalization of low-level, non-violent minor offenses can result in unintended collateral damages to all involved in society. Formal criminal justice processing and incarceration of these offenders is costly. Using only criminal justice approaches to address these problems can undermine police/community relations in the neighborhoods most impacted by substance abuse. The COPS Office will provide funding to law enforcement agencies seeking to implement programs focusing on diversion and alternatives to incarceration for certain minor offenses. The COPS Office is particularly interested in funding programs designed around “least harm” approaches that curtail the reliance on arrests for minor infractions.

### **Building Trust with LGBTQ Communities**

Police officers are committed to serving all members of their communities and in promoting public safety in ways that promote equity and fairness. At times, this can be a challenging goal due to conflicts that may exist among different groups within communities as well as evolving cultural shifts, new laws, and legal rulings. The COPS Office will provide funding to law enforcement agencies seeking to advance fair and impartial treatment of LGBTQ (Lesbian, Gay, Bisexual, Transgender, and Questioning) individuals and groups and to work with the LGBTQ communities in ways that develop collaboration and trust. Agencies that embrace the philosophy of community policing commit to serving all members of the community as well as help build greater more cohesive communities. Accordingly, the COPS Office is particularly interested in efforts that will increase trust and understanding with LGBTQ communities, not only with the police agency, but across the wider community.

### **Re-entry**

The overwhelming majority of offenders who are released from jails or prisons will return to the communities in which they lived before their incarceration. While local police have always played a role with re-entry of prisoners, they have come to realize the benefits of active participation in the reintegration of these individuals, rather than just relying on surveillance and reactive approaches. In many jurisdictions, budgets for corrections have been strained and cutbacks in pre-release programs have left returnees less prepared for life outside of institutions. The COPS Office will provide funding to law enforcement agencies seeking to develop or enhance programs to reintegrate individuals back into their communities as they leave the criminal justice system. The COPS Office is particularly interested in funding those programs that enhance partnerships and collaborations in ways that help align and coordinate the efforts of all sectors of the criminal justice, public safety, and social service communities involved in prisoner reentry.

### **Open Topic Area**

*Law enforcement agencies are invited to propose projects that offer creative ideas to advance recommendations contained in the President’s Task Force on 21st Century Policing which is available at [http://www.cops.usdoj.gov/pdf/taskforce/TaskForce\\_FinalReport.pdf](http://www.cops.usdoj.gov/pdf/taskforce/TaskForce_FinalReport.pdf). The narrative should clearly identify the task force recommendation(s) to be addressed and describe how the particular initiative will result in the significant advancement of that recommendation.*

The project description must provide a background and justification for the initiative, including how it is innovative and replicable; provide clearly stated goals and objectives; and describe a project approach including specific tasks and a detailed timeline.

As part of their application, applicants are also required to describe how they plan to document the knowledge gained through their projects so that other law enforcement agencies can learn from their experiences. Applicants are encouraged to partner with a local researcher (such as those affiliated with

an institution of higher education, consulting firm, or independent evaluator) to document the process, outputs, and outcomes of their projects. We encourage projects that produce or result in resources (toolkits, brochures, smartphone apps, webinars, podcasts, etc.) that the COPS Office can disseminate to assist other law enforcement agencies to implement similar innovations. Applicants should also detail any plans to sustain the proposed work beyond the award period.

The Microgrant Initiative solicitation is open to all state, local, tribal, and/or other law enforcement agencies. Partnerships are highly recommended for this solicitation. **NOTE: the project description narrative described under section 11 (to be submitted as an attachment under section 13 of the application) is limited to 10 pages (maximum), double-spaced, 12-point font.**

### ***Law Enforcement Led 21st Century Policing Demonstration Projects***

#### **Guidebook on Police Stop Data Collection and Analysis**

The COPS Office anticipates funding up to one award.

As highlighted by the Task Force in recommendation 2.6, “Law enforcement agencies should be encouraged to collect, maintain, and analyze demographic data on all detentions (stops, frisks, searches, summons and arrests).” In order to assist agencies in implementing this recommendation, the COPS Office seeks proposals from a law enforcement agency as the primary applicant, in partnership with a research organization to develop, implement, and assess a model for data collection and analysis of police stop data that is suitable for replication. The objective of the model should be to enable law enforcement agencies to not only better collect accurate stop data and analyze it in a meaningful way but also enable agencies to better understand the implications of the data, make effective operational and policy changes based on the data, and educate and communicate with the community and the media about data and policy surrounding police stops. The deliverables for this project should include a report describing the agency’s development and implementation of the model, as well as a guidebook that includes practical resources that provide guidance to law enforcement agencies seeking to replicate these efforts. The guidebook should instruct agencies on how to implement the model and to enhance their own ability to develop a comprehensive data collection, analysis, management, and communication strategy.

Primary applicants under this topic area should be law enforcement agencies. Applications should identify the proposed research partner and letter(s) of commitment are required. Preference will be given to applicants and partners that can demonstrate a clear capacity for collecting and analyzing police stop data and are positioned to assist the law enforcement field in implementing innovative strategies around police stop data collection and analysis. In addition, creativity in the proposal of resources to assist other agencies in implementing the new model is encouraged.

#### **External Use of Force Investigations Model**

The COPS Office anticipates funding up to one award.

As highlighted by the Task Force in recommendation 2.2 specifically, Action Item 2.2.2., “Law enforcement agencies should have comprehensive policies on the use of force that include training, investigations, prosecutions, data collection, and information sharing. These policies must be clear, concise, and openly available for public inspection. These policies should also mandate external and independent criminal investigations in cases of police use of force resulting in death, officer-involved shootings resulting in injury or death, or in-custody deaths.”

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In order to assist agencies in implementing this recommendation, the COPS Office seeks proposals from a law enforcement agency to implement an external review of officer involved use of force investigations and to partner with a research organization in order to conduct a process evaluation of their efforts. The applicant should be prepared to enter into an agreement with an external entity in order to conduct reviews of their most serious use of force incidents. The project should include the development of all things necessary in order to ensure the effective implementation of their chosen review model. For example, this may include the development of corresponding policies, procedures, memorandums of understanding; quality control; and communication and feedback mechanisms. In addition to a process evaluation report documenting their own experiences with implementation, the applicant or their research partner is also required to produce a guidebook or toolkit for public distribution that provides guidance to law enforcement agencies on how to implement a comprehensive external use of force investigations model based in part on the experiences of this agency.

Primary applicants under this topic area should be law enforcement agencies. Applications should identify the proposed research partner and letter(s) of commitment are required. Applicants should also clearly describe the products and resources that will result from their award. Preference will be given to applicants and partners that can demonstrate a clear capacity for developing an external use of force investigations model and are positioned to assist the law enforcement field in implementing these strategies. Additional consideration will be given to agencies that intend to collaborate with local or state prosecutors. Creativity in the proposal of resources to assist other agencies in implementing the new model is encouraged.

#### **Building Resiliency To Prevent Violent Radicalization Through Community Policing**

The COPS Office anticipates funding up to one award.

Community policing has been promoted as a vital component of local efforts to build resilience to violent radicalization across a variety of contexts, including radicalization by foreign based and domestic based groups. With an understanding that youth are often vulnerable to grooming and recruitment from violent radicals, police agencies have sought to develop mutual trust with communities in which at-risk youth for various type of violence (as victims or perpetrators) are thought to reside; to challenge misinformation and stereotypes; to improve communication channels; to develop culturally sensitive resiliency in partnership with community groups; and to engage nonlaw-enforcement partners to appropriately and sensitively intervene when necessary.

A growing number of case studies of attempted prevention strategies have been published showing various levels of success and illustrating challenges unique to local contexts. The COPS Office seeks to provide funding to an organization with the capacity to identify and document in a field-friendly publication existing local efforts (operating at neighborhood, city, or county levels) with significant police involvement that are attempting to prevent recruitment to violent extremism among youth and build general resistance to violent radicalization using the principals of community policing.

The organization, working in partnerships with local police or other government agencies, should be capable of cataloguing both common and unique challenges experienced in identified localities and identifying the core elements of community policing that are shown to be successful across sites in protecting youth from violent radicalization. It should also have experience in producing published resources for the law enforcement community.

The organization should also be capable of drawing inferences across the identified sites and provide lessons learned for the broader law enforcement community. The COPS Office anticipates that multiple individual sites engaged in purposeful resiliency strategies will be identified, with an emphasis on localities whose efforts have not previously been documented formally. Letters of support and

cooperation from identified law enforcement agency partners are encouraged. The deliverable should provide “lessons learned” from assessment of the multiple sites, major challenges experienced, and common elements that contribute to successful outcomes.

### **21st Century Policing Implementation Projects**

#### **Innovative Police Officer Field Training Projects**

The COPS Office anticipates funding up to one award.

As highlighted by the Task Force in recommendation 5.13, “The U.S. Department of Justice should support the development and implementation of improved Field Training Officer programs.” In order to assist agencies in implementing this recommendation, the COPS Office seeks proposals to research and assess the state of police officer field training and develop alternative models and recommendations for field training that would incorporate community policing, problem solving, and other features that reflect the core principles of the President’s Task Force recommendations that other agencies could then replicate.

The COPS Office previously sponsored the development of a Police Training Officer (PTO) Program, but is now open to the development of additional ways to improve field training beyond what is presented in the PTO program. Field training should be based on what we now know about the importance of legitimacy, guardianship, and building trust as described throughout the Task Force Report, as well as on the critical role that FTO officers play in the development of new officers.

The training model or recommendations should be developed in partnership with one or more national law enforcement organizations and documented in a guidebook or toolkit for dissemination to the law enforcement field. Applicants should provide evidence of their experience in training law enforcement personnel about ways to directly promote community policing and community engagement in a manner that fosters diversity and inclusion from across their community.

Applicants under this topic area should be organizations or institutions with the capacity to identify best practices and innovative models of law enforcement training programs.

#### **Civilian Oversight Best Practices**

The COPS Office anticipates funding up to one award.

As highlighted by the Task Force in recommendation 2.8, specifically Action Item 2.8.2, “Some form of civilian oversight of law enforcement is important in order to strengthen trust with the community. Every community should define the appropriate form and structure of civilian oversight to meet the needs of that community.—The U.S. Department of Justice’s Office of Community Oriented Policing Services (COPS Office) should provide technical assistance and collect best practices from existing civilian oversight efforts and be prepared to help cities create this structure.”

In order to assist with the implementation of this recommendation, the COPS Office seeks proposals for a project to conduct an overview of existing civilian oversight programs - including the prevalence and nature of these programs - and offer guidance on achieving productive civilian oversight. The applicant should document different community oversight models nationally and identify trends in civilian oversight practice. The deliverables for this project should include a report that outlines those findings and resources and tools that provide guidance to law enforcement agencies on how to implement a comprehensive civilian oversight program including the design of a decision making process for conducting local needs assessments.

Applicants under this topic area should be organizations or institutions with the capacity to lead national level research projects. Applicants should have experience conducting national level information gathering and the capacity to develop deliverables suitable for national law enforcement audiences. Applications should identify their proposed methodology for identifying civilian oversight

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entities to examine, their proposed assessment plan, and the proposed deliverables. Preference will be given to applicants that can demonstrate a clear capacity for conducting similar projects and producing resources designed to assist the law enforcement field in implementing new strategies.

### ***Community Policing Training Projects***

#### **Diversity and Inclusion Training for Local Law Enforcement**

The COPS Office anticipates funding one or more awards.

One of the major themes of the Task Force report is that successful policing requires strong working relationships between police and the communities they protect and serve. Within the context of community policing, these relationships serve the two interrelated goals of increasing trust and enhancing collaborative problem solving efforts. Citizens who do not trust the police are less likely to report crime and to participate in developing solutions to problems. In addition, it often only takes one volatile incident to create tension between the public and the police, even for the most respected police agencies. Community policing encourages agencies to build up accounts of trust and goodwill to call upon when crises arises. Community trust is also invaluable when police seek to address long standing community problems through collaborative problem solving efforts.

Police can rarely solve significant crime and disorder problems alone and stakeholder engagement is critical to success. A key mechanism to ensuring improved effectiveness in police-community interactions is through providing high quality, interactive training for law enforcement officers. In order to assist communities in improving trust and partnerships, the COPS Office seeks proposals from an organization to provide diversity and inclusion training to law enforcement personnel. This training should increase officers' understanding of various community groups, improve their communication skills and levels of tolerance, and provide them with the motivation and practical skills necessary to forge effective and long lasting partnerships with stakeholder organizations.

Applicants should propose the delivery of existing, newly developed, or enhanced training that improves the knowledge of law enforcement officers in the areas of diversity, inclusion, cultural competency and the nature of collaborative partnerships. The training should also improve officers' practical skills in partnership development and related trust building activities and initiatives. Officers should emerge from the training with an increased awareness of the value of diversity and inclusion, and with improved knowledge and skills to most effectively outreach to their communities. Applicants should propose the incorporation of community members and groups into at least portions of these training efforts. The inclusion of community members should provide actual engagement between law enforcement and stakeholders, and improve community members' knowledge and understanding of law enforcement duties, responsibilities and challenges.

Applicants should propose to deliver 20 to 25 training sessions over the two-year award period. The total number of officers to be trained relative to the project budget will be a consideration in award selection.

#### **COPS-Talk Series**

The COPS Office anticipates funding up to one award.

The COPS Office recognizes the importance and value of hearing from practitioners and others in the criminal justice arena to gain perspectives on current critical issues impacting the field in the area of community policing. The COPS Office will provide funding to an organization to develop, produce, and deliver a series of six to eight discussions and short video presentations, to be filmed in front of a live audience, featuring leading practitioners and thought leaders on topics related to Task Force

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recommendations and other key issues in policing. These video presentations will be produced for distribution through the COPS Office YouTube Channel and featured on the COPS Office website. While the advice and recommendations of speakers are strictly those of the individual(s), each speaker's presentation should provide professional perspectives on substantive community policing-related issues affecting law enforcement professionals across the United States. The topics of the presentations and speakers will be identified in conjunction with the COPS Office.

Applicants are encouraged to submit applications to provide pre-production (scripting and rehearsals with speakers), filming, and post production facilitation (to include closed-captioning of videos). Applicants should identify the exact number of proposed videos to be developed under this award factoring in travel requirements, as well as proposed topics for consideration.

Preference will be given to applicants that can demonstrate a clear capacity for film production and experience with facilitating presentations of this nature.

### ***Community Policing Emerging Issues Forums***

The COPS Office anticipates up to two awards, and the total number of awards will be based on the quality of applications received.

The COPS Office recognizes the importance and value of hearing from practitioners and others in the criminal justice arena to gain perspectives on current issues impacting the field in the area of community policing. The purpose of the Community Policing Emerging Issues Forums is to obtain a broad spectrum of experiential and anecdotal information from the field on various topics. Forum attendees share their challenges and successes in various community policing-related subject areas and exchange information and ideas. Each forum should provide professional perspectives on substantive community policing-related issues affecting law enforcement professionals across the United States. Applicants are encouraged to submit applications to provide substantive programmatic, facilitation, and logistical support for a series of four to six meetings.

The COPS Office expects the majority of the forums will be larger gatherings with up to 70 participants (often 40-50 traveling from out of town). The topics of the forums will be identified by the COPS Office, which may include recommendations from the President's Task Force on 21st Century Policing and other current issues affecting law enforcement.

The project deliverables resulting from these Emerging Issues Forums should include practitioner-friendly reports that will be based on each meeting and the discussions that took place. Applicants may also choose to supplement some or all deliverables with additional research and information to present a more comprehensive picture of the subject discussed or use other dissemination channels to expand the reach of the forums (webinars, podcasts, etc.).

### ***Critical Response Technical Assistance***

The COPS Office anticipates funding one or more awards, and the total number of awards will be based on the quality of applications received.

The award(s) will go to a technical assistance (TA) provider(s) with demonstrated experience in providing substantial technical assistance to law enforcement agencies. The need for technical assistance can come as a result of a high profile event or major incident or could be the result of a longer term issue a department has struggled with and needs technical assistance to resolve. The COPS Office will work closely with the recipient to determine which agencies will receive technical assistance and may conduct an initial analysis to determine the specific needs of the agencies.

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The COPS Office seeks proposals that demonstrate an applicant's ability to provide the guidance, support, and logistics that will be required to deliver technical assistance to up to 20 agencies over the course of the award, depending on the required level of assistance of each agency. The applicant must have or develop a cadre of public safety subject matter experts and trainers that can deliver technical assistance on short notice; have experience working with law enforcement; exhibit the flexibility to provide technical assistance to sites on a wide variety of issues; and have a thorough understanding of community policing and other specialized topics.

Applicants can propose to provide technical assistance through methods that may include electronic communication strategies, social media outreach, facilitated discussion, peer-to-peer exchanges, onsite technical assistance and training, and other approaches. The resulting deliverable will be a product suitable for distribution that will provide learning opportunities for law enforcement agencies and their communities.

### ***Invitational Initiative***

This topic area is closed and invitation only under FY 16 Community Policing Development.

### **Length of award term, maximum federal share, and local share requirements**

All awards will have a performance period of two years in duration, except for the Microgrant Initiative for Law Enforcement which will have an award period of one year. There is no local match required.

The COPS Office will review reasonable requests made for no-cost time extensions in the event that all award funds have not been expended within the award performance period. Extension request notifications will be sent to recipients approximately 90 and 60 days prior to the award end date. Any extensions granted will be for time only and not for additional funding. Please be advised that all extension requests must be received by the COPS Office prior to the official award end date.

At present, this is a one-time funding opportunity and the COPS Office expects that all items, personnel, and/or training requested will be purchased or hired and the project implemented within the award period.

### **Federal funding: Allowable and unallowable 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. The recipient may not earn or keep any profit resulting from this award unless expressly authorized in writing by the COPS Office.

**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 section IV, "Nonsupplanting requirement").**

### ***Allowable costs: Fundable requests***

Costs must meet certain criteria in order to be charged to the Federal Government. Please refer to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.400 et seq., as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101, at [www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl) for more information.



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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 base salary
- Contracts/Consultants
- Equipment/Technology
- Fringe benefits
- Indirect costs
- Supplies
- Travel/Training
- Other costs

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 instructions for completing the budget on page 17 of this Guide.

***Unallowable costs: Requests will NOT be funded***

**Civilian Base Salary**

- If your organization charges an indirect cost, those costs normally include the following positions and therefore these positions should not be charged as personnel to avoid possible duplication:
  - Administration (e.g., director or program head) (refer to CPD FAQs)
  - Clerical (e.g., secretary or administrative assistant)
  - Accounting (e.g., controller or bookkeeper)
  - Procurement (e.g., purchasing director or stockroom clerk)
  - 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 are not allowed.

**Contracts/Consultants**

- 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)

**Equipment**

- 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 police 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, then 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

**Fringe Benefits**

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

**Travel/Training**

- Costs exceeding Federal Travel Regulations if no other organizational written policy is supplied that supersedes these established rates
- Food and beverages at conferences, meetings, or trainings your organization is hosting (refer to CPD FAQs)
- 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

**Supplies**

- 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).

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## Other

- 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.

## Monitoring, reporting, and evaluation requirements

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. 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. 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.

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 Memo and Final Funding Memorandum.

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.

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.

## Reporting

If awarded, all recipients will be required to electronically submit their financial reports using the SF-425 form by the 30th day following the end of each calendar quarter, and a final report is due 90 days following the award end date. Recipients who do not submit SF-425 reports by the due date will be unable to draw down funds.

In addition, if awarded funds, all award recipients will be required to electronically submit quarterly progress reports and a final progress report. The COPS Office will notify the award recipient when the progress report is due and provide instructions for submission.

## 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 follows:

Objective	Performance Measures	Data Recipient Provides
<p>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.</p>	<p>Extent to which COPS Office award funding (e.g., officers, equipment, training, technical assistance) has increased your agency’s community policing capacity?</p> <p>Extent to which COPS Office knowledge resources (e.g., publications, podcasts, training) have increased your agency’s community policing capacity?</p>	<p>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.</p>

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 website at [www.cops.usdoj.gov/Default.asp?Item=36](http://www.cops.usdoj.gov/Default.asp?Item=36).

As part of the programmatic progress report, 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.

## How to Apply/Application Submission

Primary Steps Required to Complete Application	Complete?
If necessary, request an ORI through the COPS Office Response Center at <a href="mailto:AskCopsRC@usdoj.gov">AskCopsRC@usdoj.gov</a> or 800-421-6770.	<input type="checkbox"/>
If you have not renewed your COPS Office Account Access information since November 15, 2013, contact the COPS Office Response Center at <a href="mailto:AskCopsRC@usdoj.gov">AskCopsRC@usdoj.gov</a> or 800-421-6770.	<input type="checkbox"/>
Register with Grants.gov/Confirm registration.	<input type="checkbox"/>
Obtain a DUNS number/Confirm DUNS number.	<input type="checkbox"/>
Register with SAM database/Confirm SAM number.	<input type="checkbox"/>
Complete SF-424 on Grants.gov (funding number: COPS-Community-Policing-Development-2016).	<input type="checkbox"/>
Upon receipt of an e-mail from the COPS Office confirming successful submission of the SF-424 on Grants.gov, complete the second part of the application on the COPS Office Online Application System.	<input type="checkbox"/>

### Electronic submission of the SF-424 in two parts via Grants.gov and the COPS Office website

Please read the following important information before attempting to submit your application via the COPS Office website:

- Completing a CPD application is a two-step process. Applicants are first required to register via [www.grants.gov](http://www.grants.gov) and complete an SF-424. The Grants.gov funding code for this solicitation is COPS-CPD -Application-2016. Once the SF-424 has been submitted, applicants will receive an e-mail from the COPS Office with instructions on completing 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, contact the COPS Office Response Center at [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov) or 800-421-6770.
- It is strongly recommended that applicants register immediately on Grants.gov. In addition, applicants are strongly encouraged to complete the SF-424 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. An application is not considered submitted until you have submitted your SF-424 on Grants.gov and the second part of the application on the COPS Office website.
- Confirmation of submission: 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, confirmation number, and program type.
- For technical assistance with submitting the SF-424, call the Grants.gov Contact Center at 800-518-4726 or e-mail [support@Grants.gov](mailto:support@Grants.gov). For assistance 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 e-mail to [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov).
- To apply for funding, applicants must have a 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.
- Applicants must comply with any word and/or field limit requirements described in the COPS Office Application Guide.

- 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. Note: If Internet access is not available to print a copy of the application package, contact the Response Center at 800-421-6770 to request that a printed copy be sent to you.
- Applicants will be able to print a copy of the application package only for reference while completing the application online via the COPS Office website. The COPS Office will not accept applications submitted via mail or e-mail.
- 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 System for Award Management (SAM) database. SAM 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.

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

- create a SAM account;
- log in to SAM 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 SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

### **Obtaining a Data Universal Numbering System (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 grant application systems. A DUNS number may be obtained by telephone at 866-705-7511 or via the Internet at [fedgov.dnb.com/webform](http://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 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/agency that applies for a grant 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 below 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](http://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 to the above number 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
  - 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 grant and cooperative agreement applicants or prospective applicants and federal contractors. Be certain to identify yourself as a federal grant applicant or prospective applicant.

## Registering with the System for Award Management (SAM)

Applicants for all federal awards are required to register with the System for Award Management (SAM). 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, then you should allow two to five weeks for obtaining the information from the IRS when requesting the EIN via phone, fax, mail, or Internet. Follow the steps listed below to register in the SAM:

### ***To register in SAM, follow the next steps:***

#### **Step 1.**

Obtain a DUNS number at [www.dnb.com/us/](http://www.dnb.com/us/) or call 866-705-5711.

#### **Step 2.**

Access the SAM online registration through the SAM home page at [www.sam.gov/](http://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 e-mail 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](http://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](http://www.sam.gov).



If awarded funds, your agency 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.

To review the System for Award Management and Universal Identifier Award Term, please see appendix D on page 76 of this guide.

### **Geographic Names Information System (GNIS) ID number**

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/](http://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).

### **Deadline/Application period**

The application period for the 2016 CPD Program begins **March 31, 2016**. All applications must be submitted by **June 1, 2016, at 7:59 p.m. eastern time**. Applications submitted after **June 1, 2016, at 7:59 p.m. eastern time** will not be considered for funding.

### **Helpful online resources**

DUNS Number Information: [fedgov.dnb.com/webform/displayHomePage.do](http://fedgov.dnb.com/webform/displayHomePage.do)

System for Award Management (SAM): [www.sam.gov](http://www.sam.gov)

### **Audit requirement**

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Award, 2 C.F.R. § 200.501 et seq., as adopted by the Department of Justice in 2 C.F.R. §2800.101, establishes the requirements for organizational audits that apply to COPS Office award recipients. Recipients must arrange for the required organization-wide (not grant-by-grant) audit in accordance with the requirements of this circular. Please reference subpart F "Audit Requirements, Part 200—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Award."

### **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 and/or is not cooperating with an ongoing federal civil rights investigation.

### 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](http://www.cops.usdoj.gov)), please contact:

**Donte Turner**  
**U.S. Department of Justice, COPS Office**  
**202-616-9427 or Donte.Turner@usdoj.gov**

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.

### Award terms and conditions/Funding restrictions

The following section describes the compliance terms and conditions that applicants should be aware of before applying to COPS Office programs. The table below further defines which of the legal 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.

FY 2016 Program		CPD
I.	Assurances	Y
II.	Certifications	Y
III.	Disclosure of Lobbying Activities	Y
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

Key: Y = Yes; N = No

Key: Y = Yes; N = No	
FY 2016 Program	CPD
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
XXVII. Whistleblower Protection	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	Y
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	Y
XLII. Copyright	Y

***I. & II. Assurances and Certifications (also refer to section 15 on page 62 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 16 on page 62 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 16 of the application. If you need to complete and submit additional forms, please complete and submit them as attachments to your application online.

#### **IV. Nonsupplanting requirement**

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.

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](mailto:AskCopsRC@usdoj.gov) for further information.

#### **V. Procurement and sole source justification**

Sole source, 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, as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101.

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 as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101. A sole source justification 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 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 number of sources. Based on one or more of the circumstances above, the COPS Office expressly authorizes noncompetitive proposals in response to a written request from the law enforcement entity—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 request must be prepared 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

**Section III** – 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 procurement standards set forth in 2 C.F.R. § 200.318 as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101.

If you have any questions regarding the federal requirements that guide procurement procedures, please contact the COPS Office Response Center at 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, but are not limited to, 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 which 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 grant.

**VII. Certification to mitigate possible adverse health, safety, and environmental impacts—  
not applicable under CPD****VIII. Community Policing Self-Assessment Tool (CP-SAT)—not applicable under CPD****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 D.

**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](http://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](http://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](http://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 appendix C.

**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. Appendix II to Part 200, please refer to appendix F on page 81 of this Application 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. For more information on allowable costs, please visit [http://ojp.gov/archives/financial\\_guides/financialguide11/PostawardRequirements/chapter14page1.htm](http://ojp.gov/archives/financial_guides/financialguide11/PostawardRequirements/chapter14page1.htm).

**XIII. Curriculum development**

If awarded funds, recipients will be required to follow the COPS Office curriculum standards, review, and approval guide and COPS Office instructor quality assurance guide if developing training curriculum or delivering training under this cooperative agreement. A copy of these guides will be supplied to you by your COPS Office Program Manager.

**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.

**XV. Mandatory disclosure**

If awarded funds, recipients and subrecipients will be 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. Failure to make required disclosures can result in any of the remedies, including suspension and debarment, described in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.338 as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101.

**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.

**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 please refer to Appendix XXX of this Application Guide.

**XVIII. False Statements**

False statements or claims made in connection with COPS 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 as adopted by the Department of Justice in 2 C.F.R. § 2800.101).

**XXI. Modifications**

Award modifications are evaluated on a case-by-case basis. All modification requests involving the reallocation of funding between budget categories that exceed or are expected to exceed ten percent (10%) of the total award amount must be approved, in writing, by the COPS Office prior to purchase or implementation. 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 the COPS Program. Recipients agree to cooperate with the monitors and evaluators.

**XXIII. Allowable Costs**

The funding under this award is for the payment of approved costs identified in the Financial Clearance Memorandum (FCM). Recipients may not earn or keep any profit resulting from the award unless expressly authorized, in writing, by the COPS Office.

**XXIV. Local Match – not applicable under CPD****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.

**XXVII. Whistleblower Protection**

Recipients agree not to discharge, demote, or otherwise discriminate against an employee as reprisal for the employee disclosing information that he/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 X in this Application Guide for a full text of the statute.

**XXVIII. Federal Civil Rights**

As a condition of receipt of federal financial assistance, recipients acknowledge and agree that they will not (and will require any subgrantees, contractors, successors, transferees, and assignees not to), on the grounds of race, color, religion, national origin (which includes providing limited English proficient persons meaningful access to your programs), sex, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds. These civil rights requirements are found in the non-discrimination provisions of Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789d); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. § 1681, et seq. and the corresponding U.S. Department of Justice regulations implementing those statutes at 28 C.F.R. part 42 (subparts C, D, E, G, and I).

Recipients also agree to comply with Executive Order 13279, Equal Protection of the Laws for Faith-Based and Community Organizations; Executive Order 13559, Fundamental Principles and Policymaking Criteria for Partnerships With Faith-Based and Other Neighborhood Organizations; and the U.S. Department of Justice implementing regulations at 28 C.F.R. Part 38.

**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 as adopted by the Department of Justice in 2 C.F.R. § 2800.101.

**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). The progress report is used to track recipient's progress toward implementing community policing strategies and to collect data to gauge the effectiveness of increasing your agency's community policing capacity through COPS funding.

**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.

**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.

**XXXIII. Award Monitoring Activities**

Federal law requires that law enforcement agencies 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.

**XXXIV. Community Policing**

Community policing activities to be initiated or enhanced by recipients were identified and described in their award application. Recipients develop a community policing plan for the award with specific reference to a crime or disorder problem and the following elements of community policing: a) problem solving—a recipient's plan to assess and respond to the problem identified; b) community partnerships and support, including related governmental and community initiatives that complement a recipient's proposed use of funding; and c) organizational transformation—how a recipient will use the funds to reorient its mission to community policing or enhance its involvement in and commitment to community policing. Throughout the award period recipients are required to implement the community policing plan they set forth in the award application.

**XXXV. Retention – not applicable under CPD****XXXVI. Contracts and/or MOUs with Other Jurisdictions – not applicable under CPD****XLIII. 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 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) as adopted by the Department of Justice in 2 C.F.R. § 2800.101.

**XLIV. 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 <http://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 by Cooperative Agreement Number 2016-XX-XXX-XXX awarded by the Office of Community Oriented Policing Services, U.S. Department of Justice. The opinions contained herein are those of the author(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice. References to specific 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 this 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**

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 (PWRA) of 1995.

## ***XLII. Copyright***

U.S. Department of Justice regulations permit recipients to copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. Recipients agree that the COPS Office reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, for Federal Government purposes: (1) the copyright in any work developed under the award, subaward, or contract; and (2) any rights of copyright to which a recipient, subrecipient, or contractor purchases ownership with support from award funds. Recipients also agree that it is responsible for acquiring the rights, and ensuring that its subrecipients/contractors/authors acquire the rights, to copyrighted material for inclusion in U.S. Department of Justice publications and other products and deliverables that are 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 recipient further agrees that the COPS Office reserves the right, at its discretion, to not publish deliverables and other materials developed under this award as a U.S. Department of Justice resource.

When appropriate, U.S. Department of Justice publications and other products and deliverables developed under the award should contain the following copyright notice: "Copyright © [year work was published] [name of copyright owner]. The U.S. Department of Justice reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, this publication for Federal Government purposes. This publication may be freely distributed and used for noncommercial and educational purposes only."

### ***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.

This review will also assess whether costs are reasonable, necessary, and allocable under applicable federal cost principles and agency regulations. The financial review will be conducted by the COPS Office staff or in collaboration with the peer review process.

CPD applications for most program types (not Invitational) will be evaluated based on the following merit criteria, which the applicant addresses in their application, project description, budget narrative, budget worksheets, and other attachments:

- Topic selection and outcome identification and justification
- Strategy to achieve program outcomes and goals
- Capacity and experience
- Management and implementation plan
- Effectiveness of program
- Total cost of the project relative to the perceived benefit
- Appropriateness of the budget relative to the level of effort
- Use of existing resources to conserve costs

CPD applications that meet eligibility and basic minimum requirements will be evaluated and ranked by peer reviewers. In order to pass the basic minimum requirements review, an applicant must be an eligible organization as stated under the topic description; must respond to the solicitation description; must demonstrate a cost-effective use of federal funds; and, if applicable, must address at least one or

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

Peer reviewers will be asked to review applications keeping in mind that the purpose of the CPD program is to advance the practice of community policing in law enforcement agencies through training and technical assistance, the development of innovative community policing strategies, applied research, guidebooks, and promising practices. Reviewers will be asked to evaluate the following:

- The applicant's ability to identify specific goals that will be directly accomplished if funding is awarded and their strategies to achieve those outcomes and goals.
- The applicant's experience and capacity to accomplish their stated goals will be considered in the review. Depending on the CPD topic area and described project goals, the evaluation of the applicant's experience may include their 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.
- The applicant's ability to articulate a gap in existing knowledge/practice and demonstrated understanding of the principles of community policing and the needs of law enforcement practitioners.
- The applicant's plan and demonstrated capacity to effectively implement their proposed project and communicate their results.
- The applicant's budget worksheets and budget narrative to assess if the cost items are complete, allowable, cost effective, justified based on the solicited project outcomes and goals, and appropriate relative to the level of effort.
- Peer reviewers' ratings and any resulting recommendations are advisory only, although their 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 the COPS Office staff.

Past performance on previous awards may be in an indicator in this review process. Financial and programmatic performance factors may be included in the past performance review.

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, but not limited to, underserved populations, population served, geographic diversity, strategic priorities, past performance, risk, and available funding when making awards.

#### **Review process for Community Policing Development—Invitational Initiative topic area**

This topic area is closed and invitation only. The COPS Office reviews 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 Community Police Development—Invitational Initiative applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include, but is not limited to, the following:

- Financial stability and fiscal integrity

- Quality of management systems and ability to meet the management standards prescribed in the 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, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior COPS Office awards, and available funding when making awards.

In addition, prior to making an award greater than the simplified acquisition threshold (currently set at \$150,000), 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.

### ***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](http://www.cops.usdoj.gov) and select the "Account Access" link 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 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](http://www.cops.usdoj.gov) through the "Account Access" link. 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" link, 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 your Community Policing Development award is two years.

Your FY 2016 award number is in the following format: 2016-CKWXK-0000 or 2016-CRWXK-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.

Your originating agency identifier (ORI) number begins with your state abbreviation followed by five numbers or letters (e.g., VA00000). This number is assigned by the Federal Bureau of Investigation (FBI) for use in tracking information for the Uniform Crime Report (UCR). The COPS Office tracks programmatic award information based upon this ORI number. If your agency does not have an ORI number assigned by the FBI, the COPS Office assigns a nonofficial ORI code to use as an agency identifier (in such cases, the last two characters will be "ZZ"). If you have any questions regarding your award, please refer to your award number or your agency's ORI number when you contact the COPS Office.

The award conditions are listed on your agency's award document. By accepting this award, 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 specific to your agency).

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

#### ***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 on page 26.

#### ***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 non-compliance 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/or 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.

## COPS Office Application Attachment to SF-424

### What an application must include

#### **Required application documents and sections for Community Policing Development**

Listed below is a chart that 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 may delay processing and/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.

<b>Application Documents and Sections</b>	<b>Required? Yes, No, or Possible</b>	<b>Completed?</b>
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. Executive Summary	Yes	<input type="checkbox"/>
Section 11. Project Description (Narrative)	No (submitted under section 13)	<input type="checkbox"/>
Section 12. Official Partner(s) Contact Information	Possible	<input type="checkbox"/>
Section 13. Application Attachments Project narrative (required) Key vitae/staff resumes (required) Budget narrative (required) Indirect cost rate agreement (if applicable) Sole source justification (if applicable) Consultant rate justification (if applicable)	Yes	<input type="checkbox"/>



<b>Application Documents and Sections</b>	<b>Required? Yes, No, or Possible</b>	<b>Completed?</b>
Section 14. Budget Detail Worksheets	Yes	<input type="checkbox"/>
A. Part 1. Sworn officer positions	No	<input type="checkbox"/>
Part 2. Sworn officer salary information	No	<input type="checkbox"/>
Part 3. Federal/Local share costs (hiring)	No	<input type="checkbox"/>
B. Civilian/Nonsworn personnel	Possible	<input type="checkbox"/>
C. Equipment/Technology	Possible	<input type="checkbox"/>
D. Supplies	Possible	<input type="checkbox"/>
E. Travel/Training	Possible	<input type="checkbox"/>
F. Contracts/Consultants	Possible	<input type="checkbox"/>
G. Other costs	Possible	<input type="checkbox"/>
H. Indirect costs	Possible	<input type="checkbox"/>
Budget summary	Yes	<input type="checkbox"/>
Section 15. Assurances and Certifications		
A. Assurances	Yes	<input type="checkbox"/>
B. Certifications		
Section 16. Disclosure of Lobbying Activities	Possible	<input type="checkbox"/>
Section 17. Reviews and Certifications	Yes	<input type="checkbox"/>

### **General information**

The applicant's SF-424 must be submitted online via [www.grants.gov](http://www.grants.gov). Once the SF-424 has been submitted via Grants.gov, the COPS Office will send an invitation e-mail to the applicant with instructions on completing the second part of the COPS Community Policing Development Program application through the COPS Office online via the COPS Office website ([www.cops.usdoj.gov](http://www.cops.usdoj.gov)).

### **Instructions: Application for Federal Assistance SF-424**

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. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

The Instructions for the Application for Federal Assistance SF-424 on page 40 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 federal agency (agency).

Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

1. **Type of Submission** (required). Select one type of submission in accordance with agency instructions.
  - Pre-application
  - Application
  - 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.
  - 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.
    - A. Increase award
    - B. Decrease award
    - C. Increase duration
    - D. Decrease duration
    - E. 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. 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.

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- c. *Organizational DUNS* (required). Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.
- d. *Address*. 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 e-mail 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.
- A. State government
  - B. County government
  - C. City or township government
  - D. District government
  - E. Organization
  - F. U.S. Territory or possession
  - G. Independent school district
  - H. Public/state controlled institution of higher education
  - I. Indian/Native American Tribal Government (federally recognized)
  - J. Indian/Native American Tribal Government (other than federally recognized)
  - K. Indian/Native American tribally designated organization
  - L. Public/Indian housing authority
  - M. Nonprofit
  - N. Nonprofit
  - O. Private institution of higher education
  - P. Individual
  - Q. For-profit organization (other than small business)
  - R. Small business
  - S. Hispanic-serving institution
  - T. Historically Black colleges and universities (HBCU)
  - U. Tribally controlled colleges and universities (TCCU)

- V. Alaska Native and Native Hawaiian serving institutions
- W. Nondomestic (non-U.S.) entity
- X. 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, and
- 16b. Enter all district(s) affected by the program or project. Enter in the format:
- Two-character state abbreviation
  - 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.
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 e-mail 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.)

### Section 1. COPS Office program request

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-2016-1).

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.

Applicants for the CPD program must select one CPD topic area from the drop down menu:

(1) Microgrant Initiative for Law Enforcement; (2) Law Enforcement Led 21st Century Policing Demonstration Projects; (3) 21st Century Policing Implementation Projects; (4) Community Policing Training Projects; (5) Community Policing Emerging Issues Forums; (6) Critical Response Technical Assistance; and (7) Invitational Initiative.

If Community Policing Development is selected, there will be two additional questions that require you to check the appropriate box and provide the applicable information.

- A. Invitational Initiative: Please select either yes or no depending if you have received an invitation to apply from the COPS Office with a code. If you have, please enter the code in A2 as instructed.
- B. Research & Development (R&D): Please 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 as defined below:

*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 utilize 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.

## Section 2. Agency eligibility information

The CPD Program is open to all public governmental agencies, for-profit and nonprofit institutions, institutions of higher education, community groups, and faith-based organizations. Proposals should be of national relevance, significantly advance the field of community policing, and demonstrate an understanding of community policing as it pertains to the application topic. Initiatives that primarily or solely benefit one or a limited number of law enforcement agencies or other entities will not be considered for funding.

Before proceeding with this application, we ask that you please log onto the COPS Office Agency Portal to update the agency providing law enforcement services as your law enforcement executive/agency executive information. This information will be prepopulated from the COPS Office Agency Portal in section 4 of this application, so please ensure its accuracy.

## 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.

### A. Applicant ORI number

The ORI number is assigned by the 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 grant. ORI numbers assigned to agencies by the COPS Office may end in "ZZ."

### B. Applicant Data Universal Numeric System (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. A DUNS number is a unique nine- or thirteen-digit sequence recognized as the standard identifier for entities receiving federal funds, and provides consistent name and address data for electronic grant application systems. A DUNS number may be obtained by telephone at 866-705-7511 or via the Internet at [fedgov.dnb.com/webform](http://fedgov.dnb.com/webform). For more information about how to obtain a DUNS number, please refer to the "How to Apply" section of this application guide.

### C. System for Award Management (SAM)

The System for Award Management (SAM) database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. The Federal Government requires that all applicants of federal grant funds and cooperative agreements—with the exception of individuals other than sole proprietors—be registered in the database prior to application submission. Please contact the SAM Service Desk at 866-606-8220 or view or update your registration information at [www.sam.gov](http://www.sam.gov). If your SAM registration is set to expire prior to September 30, 2016, please renew your SAM registration prior to completing this application. All applicants are required to maintain current registrations in the SAM database. Please note that applicants must update or renew their SAM at least once per year to maintain an active status. For more information about how to register with SAM, please refer to the "How to Apply" section of this application guide.

**D. Geographic Names Information System (GNIS) ID**

The Geographic Names Information System (GNIS) identification number is a unique ID assigned to all geographic entities by the U.S. Geological Survey. To look up your GNIS Feature ID, please go to [geonames.usgs.gov/domestic/index.html](http://geonames.usgs.gov/domestic/index.html). For more information about how to obtain a GNIS number, please refer to the “How to Apply” section of this application guide.

**E. Cognizant Federal Agency**

A Cognizant Federal Agency, generally, 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 the “U.S. Department of Justice” as the Cognizant Federal Agency.

**F. Fiscal year**

Enter the month, day, and year of the legal applicant’s fiscal year.

**G. Law enforcement agency sworn force information—not applicable under CPD****H. Civilian staffing—not applicable under CPD****I. 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 grant funding is being requested under this application.

Be advised that COPS Office grant 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 and/or an active grant with any other federal funding source (e.g., direct federal funding or indirect federal funding through state subawarded federal funds) that 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.

**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 awarded, this information will be used for any award notifications.

**Applicant executive/agency executive information**

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 call the COPS Office Response Center at 800-421-6770.

**A. For law enforcement agencies**

Enter 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**

Enter 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.

**Government executive/Financial official information**

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 call the COPS Office Response Center at 800-421-6770.

**A. For government agencies**

Enter 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 non-government agencies**

Enter the name and contact information of the financial official who has the authority to apply for this award on behalf of the applicant agency (e.g., treasurer). 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.

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.

**Application contact information**

Enter the application contact name and contact information.

**Section 5. COPS Officer hiring request form—not applicable under CPD****Section 6. Law enforcement and community policing strategy**

Please complete CP1 and CP2.



## 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. Please note that the character limit for this response is 3,000 characters.

### **Section 7B. Service population—not applicable under CPD**

### **Section 7C. Fiscal health—not applicable under CPD**

### **Section 7D. Property crime/Violent crime—not applicable under CPD**

## Section 8. Continuation of project after federal funding ends

### **Section 8A. For COPS Office awards with a retention plan requirement—not applicable under CPD**

### **Section 8B. For 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. 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.

## Section 9. School safety assessment—not applicable under CPD

## Section 10. Executive summary

Applicants are required to complete section 10 of the COPS Office Application Attachment to the SF-424 Form. Briefly summarize (in 3,000 characters or less) how your agency intends to use this award funding, if awarded, including how your proposed CPD project will address the topic area for which you are applying. This information may be used to keep Congress or other executive branch agencies informed about COPS Office CPD projects.

## Section 11. Project description (narrative)

Agencies that seek funding under this program are required to submit a project description. To do so, please develop one narrative that addresses sections 1 through 6 below. Describe how the project will advance community policing as it pertains to the chosen topic area. The project narrative portion of the application is limited to 20 pages (maximum), double-spaced, 12-point font. For the Microgrant Initiatives, the project narrative portion of the application is limited to 10 pages (maximum), double-spaced, 12-point font. 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.

Please format your narrative using the following sections. The total length of the narrative should not exceed 20 pages (or 10 pages for Microgrant).

**Narrative sections**

## 1. Topic selection and outcome identification and justification

Select one application topic area described on pages 8–16. 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.

## 2. Strategy to achieve program outcomes and goals

Applicants should describe the specific project goals (on page 7) that are to be accomplished and provide a comprehensive description of the overall strategy and specific activities of the proposed work. Applicants should specify how these proposed activities will achieve the identified program outcomes and goals.

## 3. Capacity and experience

Please detail the capacity of your organization to carry out the proposed plan in the proposed time frame of the project and explain your experience with other similar efforts. This should 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.

Applicants who propose delivery of reports, guidebooks, web content, 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 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.

## 4. Management and implementation plan

Applicants should 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 (two years for all awards under this solicitation), 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).

## 5. 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 should 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 should 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.

## Section 12. Official partner(s) contact information

If applicable, please submit a list of partnering agencies including contact person, organization name, address, phone number, and e-mail address.

Regardless of whether you submit any partnering agencies, you still need to check the box and list the name of the person submitting this application.

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

## Section 13. Application attachments

### *Project narrative and budget narrative*

Community Policing Development applicants should submit the required project description described in section 11 (maximum 20 pages, or 10 pages for Microgrant), up to three resumes/vitae, the budget narrative, indirect cost rate agreement (if applicable), sole source justification (if applicable), budget justification documentation (pay scales, travel policies, etc.), and documentation justifying consultant rates over \$650 per day if the consultant is hired through a noncompetitive bidding process (if applicable). Additional attachments are strongly discouraged.

Applicants should 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. **Vita and resumes of key project personnel attachments** do not count toward the page limit. 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 20-page limit. See section 14, "Budget detail worksheets and budget narrative," for instructions and sample information.

The project narrative portion of the application is limited to 20 pages, double-spaced, 12-point font. 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 only exception is the Microgrants Initiative, for which the page limit is 10 pages, double-spaced, 12-point font.

Please note the applicant may enter as much or as little text as needed to fully describe the project, as long as the total length of the project narrative portion does not exceed 20 pages (or 10 pages for Microgrants Initiative). Please note if the applicant exceeds the page limit, the peer reviewers will NOT review beyond the page limit requirement, so narratives should be as clear and concise as possible.

Please use appropriately descriptive file names (e.g., Program Narrative, Budget Detail Worksheet and Budget Narrative, Timelines, Memoranda of Understanding, Resumes, etc.) for all attachments.

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

## Section 14. Budget detail worksheets and budget narrative attachments

### ***Instructions for completing the budget***

Applicants are required to provide a specific description for each item included in the budget detail worksheets and explain how it supports the project goals and objectives outlined in their application. This information is to be submitted within your electronic application in the narrative spaces provided.

If you are not requesting anything under a particular budget category, please check the appropriate box in that category indicating that no positions or items are requested.

If indirect costs are applicable to your agency, please enter "1" for the computation (number of items). For computation (unit cost), include your total indirect costs for this project. Please explain only applicable indirect rates and amounts in your budget narrative. If the applicant does not have a provisional or current indirect cost rate negotiated agreement or it is expired and under review, the applicant may submit supporting documents to show the applicant's cognizant federal agency is reviewing the request. If a current indirect cost rate agreement is not provided at the time of award, those funds will be frozen until a provisional or final indirect cost rate agreement is provided. This applies to the fringe rate if the rate is based on the recipient's indirect cost rate agreement. Indirect cost requests will be eliminated from all applications that do not provide the required documentation.

All final calculations should be rounded to the nearest whole dollar. Once the budget for your application has been completed, a budget summary page will reflect the total amounts requested in each category and the total project costs.

### ***Civilian base salary and fringe benefits***

#### **Civilian 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.

Completing the budget form:

- Include name and position title of each individual working on the project as well as the description of the position. The description should outline the work to be completed by this individual on the project as well as annual salary information and percentage of time spent (projected FTE) on this project.
- If the salary increases from one budget year to another due to cost of living increases, be sure to detail these increases in the budget description.

#### **Fringe benefits**

Fringe benefits are allowances and services provided by the organization to its employees as compensation in addition to regular salary. 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

Completing the budget form:

- Include the “percentage of base” (salary) for each fringe benefit (the SMS system will automatically calculate the requested amount for each benefit based on the number entered here). For example, for Social Security and Medicare, you can check the fixed rate boxes for easier calculation. If you do not have a fringe breakdown but rather a flat fringe rate, include the rate under the “Other” category titled “Flat Fringe,” and attach your organization’s fringe rate agreement in section 13 of the application.

Below is a screenshot of the civilian/nonsworn personnel budget worksheet from the online application.

**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/Default.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.

**B. CIVILIAN POSITIONS**

Add Position Remove Position

---

**A. Base Salary Information**

Position Title: <input type="text"/>	<b>Year 1 Salary</b> Enter the first year entry-level base salary for the civilian/non-sworn position. <input type="text"/>	<b>Year 2 Salary</b> Enter the second year entry-level base salary for the civilian/non-sworn position. <input type="text"/>
Description: <input type="text"/>	<input type="text"/> x <input type="text"/> 100.00 % of time on project <input type="text"/>	<input type="text"/> x <input type="text"/> 100.00 % of time on project <input type="text"/>
	Please check this box if base salary includes vacation <input type="checkbox"/> costs. Please check this box if the base salary includes sick leave costs. <input type="checkbox"/>	Please check this box if base salary includes vacation <input type="checkbox"/> costs. Please check this box if the base salary includes sick leave costs. <input type="checkbox"/>

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

FRINGE BENEFITS:	Year 1 Fringe Benefits		Year 2 Fringe Benefits	
	COST BASE	% OF SALARY	COST BASE	% OF SALARY
Social security expenses cannot exceed 6.2% <input type="checkbox"/> Exempt <input checked="" type="checkbox"/> 6.2% <input type="checkbox"/> Fixed Rate	<input type="text"/>	<input type="text"/> 6.2	<input type="text"/>	<input type="text"/> 6.2
Medicare expenses cannot exceed 1.45% <input type="checkbox"/> Exempt <input checked="" type="checkbox"/> 1.45% <input type="checkbox"/> Fixed Rate	<input type="text"/>	<input type="text"/> 1.45	<input type="text"/>	<input type="text"/> 1.45
Health Insurance	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Life Insurance	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Vacation Number of Hours Annually: <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Sick Leave Number of Hours Annually: <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Retirement	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Worker's Compensation <input type="checkbox"/> Exempt	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Unemployment Insurance <input type="checkbox"/> Exempt	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other <input type="text"/> Select One	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other <input type="text"/> Select One	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other <input type="text"/> Select One	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Benefits Sub-Total Per Year (1 Position)	<input type="text"/>		<input type="text"/>	
C. Total Salary + Benefits Per Year (1 Position)	<input type="text"/>		<input type="text"/>	
D. Total Salary and Benefits for Years 1 and 2 (1 Position):	<input type="text"/>	x <input type="text"/> # of Positions	<input type="text"/>	

### 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.

Completing the budget form:

- For each requested item, provide item type, description, and calculation.
- For description, please include justification for the need of each item relating to this project.

Your budget narrative should include the following:

- List of each equipment request and justification.
- If your agency is proposing to purchase equipment under this project, you must provide justification to the necessity of such purchases.
- Justification that this equipment is not available or accessible to project personnel without specifically purchasing through this award.

Below is a screenshot of the equipment/technology budget worksheet from the online application.

**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. Non-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 / CONSULTANTS" category.

Please be advised that, to the greatest extent practical, all equipment and products purchased with these funds must be American-made.

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 interjurisdictional strategy for communications interoperability among federal, state, and local law enforcement agencies.

See <http://www.cops.usdoj.gov/Default.asp?item=46> for a list of allowable/unallowable costs for this program. Please limit your descriptions to 1000 characters.

Item Name

Name	Cost	Qty	Sub Total	Description
	Base cost: <input style="width: 50px;" type="text" value="0.00"/>	<input style="width: 50px;" type="text" value="1"/>	<input style="width: 50px;" type="text" value="0.00"/>	<a href="#">Delete</a>
			<b>Total</b> : <input style="width: 50px;" type="text" value="0.00"/>	

[Add Item](#)

### Supplies

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.

Completing the budget form:

- For each requested item, provide item type, description, and calculation.
- For description, please include justification for the need of each item relating to this project. For broad category requests (such as "Office Supplies"), explanation for project amounts should be provided and include 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 example, calculations 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.

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

**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 <http://www.cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for this program. Please limit your descriptions to 1000 characters.

Item Name

Name	Cost	Qty	Sub Total	Description
	Base cost: 0.00	1	0.00	
			<b>Total</b> :0.00	<a href="#">Delete</a>

[Add Item](#)

### Travel/Training

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. When charging travel costs to federal awards, award recipients must adhere to their internal travel policy.

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.

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 [www.gsa.gov/portal/content/104790](http://www.gsa.gov/portal/content/104790).

Completing the budget form:

- Include each trip as an individual entry in the Travel/Training section. The name should reflect the name/title of the trip and should not be a group of trips.
- Registration includes the amount for the registration of the training/conference attendance.
- Lodging includes the amount for the hotel and any taxes/fees associated.
- Per diem includes the amount for GSA-approved meals and incidentals.
- Transportation includes all ground and air transportation as well as public transportation and parking fees.
- Include the detailed cost breakdown for each category in the description. For example, if the transportation is \$610, the description breakdown should include \$500/roundtrip flight + (3 days x \$20/day = \$60) for parking + \$30/taxi to airport + \$30/taxi from airport = \$610. If two people are traveling, then 2 should be reflected in the quantity rather than the full amount in the transportation section.

Your budget narrative should include:

- Purpose of trip
- Proposed destination
- Trip duration by day/night

- List of individuals travelling
- Cost and calculation breakdown (per person/per trip), including
- 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;
- lodging costs per night;
- transportation fees per day;
- parking fees per day
- Written travel policy attached, if applicable

Below is a screenshot of the travel/training budget worksheet from the online application.

**E. TRAVEL/TRAINING**

No Travel/Training Requested

**Instructions:** Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the non-Federal entity. Itemize grant-related travel expenses of grantee personnel (excluding consultants, whose expenses are listed in Section F) by event (e.g., mandatory training, staff to training, field interviews, advisory group meetings). Identify the location of travel whenever possible, and show the number of staff expected to attend each event. Training fees, transportation, lodging and per diem rates for trainees should be listed as separate travel items. Grantee travel costs specific to the grant project may be based on the grantee's written travel policy, assuming the costs are reasonable. Grantees without a written travel policy must follow the established federal rates (found at <http://www.gsa.gov>) for lodging, meals, and per diem. For all grantees (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).

See <http://www.cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for this program. 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.

Event Title and Location

Name	Cost	Qty	Sub Total	Description
	Registration: 0.00			
	Lodging: 0.00			
	Per Diem: 0.00	1	0.00	
	Transportation: 0.00			
			<b>Total:</b> 0.00	

[Add Item](#) [Delete](#)

### Contracts/Consultants

Consultant expenses and contracts 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.

Completing the budget form:

- Include name of contract/consultant/travel/expense with a description of the scope of the work.
- Unless justification is provided, the daily rate for the consultant should not exceed \$650/day.
- Consultant travel should follow the same format as the travel section detailed in the section above.
- Similarly to supplies and equipment, consultant expenses should be broken out by item rather than one grouping.



Your budget narrative should include the following:

- List of consultants with justification, including
  - nature and scope of services rendered in relation to 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 and customary fees charged
- List of contracts with justification, including
  - nature and scope of goods purchased;
  - price proposals and length of contract
- List of consultant travel, including
  - purpose of trip;
  - proposed destination;
  - trip duration broken down by day/night;
  - list of individuals travelling;
- Cost and calculation breakdown (per person/per trip), including
  - mode of transportation and proposed fare per trip (airfare, train, etc.) broken down by day/night;
  - mileage allowances if private vehicle will be used;
  - per diem rates for the destination per day;
  - lodging costs per night;
  - transportation fees per day;
  - parking fees per day
- For consultant or contractor rates that exceed \$650 per day, the COPS Office requires written justification if the consultants or contractors are hired through a noncompetitive bidding process and recipients must receive COPS Office approval of those rates before drawing down award funds. Determinations of approval will be made on a case-by-case basis (refer to the consultant/contractor rate information fact sheet).
- Sole source justification for all proposed sole source procurements in excess of \$150,000 (refer to the sole source justification fact sheet)

### **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.

- For each requested item, provide item type, description, and calculation.
- For description, please include justification for the need of each item relating to this project.

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

**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 <http://www.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: 0.00	1	0.00	
			Total: 0.00	

[Add Item](#) [Delete](#)

### Indirect costs

Indirect costs normally included in the indirect pool include the following:

- Personnel service—administration, clerical, accounting, procurement, housekeeping and maintenance, legal, library, public relations, automatic data processing
- Other costs—space rental, utilities, communication, taxes, insurance, materials and supplies, travel

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. If your organization has an expired indirect cost rate, the indirect cost category will be frozen until a current or provisional rate is provided (refer to CPD FAQs).

If your agency has never received a negotiated indirect cost (IDC) rate, then you may request up to a flat 10 percent de minimis indirect cost rate applied to the modified total direct costs (MTDC).

### F. CONTRACTS/CONSULTANTS

No Contract Costs Requested

**Instructions:** See the <http://www.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.

**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 <http://www.cops.usdoj.gov/Default.asp?Item=46> for more information on the required submission.)

F1. Contract Costs

Name	Cost	Qty	Sub Total	Description	
<input type="text"/>	Base cost: <input type="text" value="0.00"/>	<input type="text" value="1"/>	<input type="text" value="0.00"/>	<input type="text"/>	Delete
			Total : <input type="text" value="0.00"/>		

[Add Item](#)

F2. Consultant Fees

Name	Cost	Qty	Sub Total	Description	
<input type="text"/>	Base cost: <input type="text" value="0.00"/>	<input type="text" value="1"/>	<input type="text" value="0.00"/>	<input type="text"/>	Delete
			Total : <input type="text" value="0.00"/>		

[Add Item](#)

No Consultant Expenses Requested

**Instructions:** See <http://www.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 grant to the individual consultants separate from their consultant fees and travel expenses (e.g., computer equipment and office supplies).

F4. Consultant Expenses: List all other consultant 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).

Name	Cost	Qty	Sub Total	Description	
<input type="text"/>	Base cost: <input type="text" value="0.00"/>	<input type="text" value="1"/>	<input type="text" value="0.00"/>	<input type="text"/>	Delete
			Total : <input type="text" value="0.00"/>		

[Add Item](#)

If your IDC rate 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.

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 educational institutions 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., as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101.)
- **Participant Support Costs.** For nonprofit organizations, in accordance with 2 C.F.R. part 200, Appendix VI, B.2.c. to Part 200—Indirect (F&A) Costs Identification and Assignment and Rate Determination for Nonprofit Organizations, as adopted by the U.S Department of Justice in 2 C.F.R. § 2800.101: “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.

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.

Completing the budget form:

- For each indirect rate related to this project, calculations should be entered as a percentage multiplied by the modified direct total base. For instance, if your rate is 25 percent and the base is \$100,000, your calculation should be  $.25 \times 100,000$ , and not  $1 \times \$25,000$ . 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.
- A copy of the current, signed, federally approved indirect cost rate negotiated agreement must be uploaded to section 13 of this application.
- 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.

Under the indirect costs category, the following items are generally unallowable:

- Participant travel costs are excluded from indirect cost calculations (refer to CPD FAQs)

All final calculations should be rounded to the nearest whole dollar. Once the budget for your application has been completed, a budget summary page will reflect the total amounts requested in each category and the total project costs.

Below is a screenshot of the indirect costs budget worksheet from the online application.

**H. INDIRECT COSTS**

No Indirect Costs Requested

**Instructions:** Indirect costs are allowed under a very limited number of specialized COPS programs. Please see <http://www.cops.usdoj.gov/Default.asp?Item=46> for a list of allowable/unallowable costs for the particular program to which you are applying.

If indirect costs are requested, a copy of the agency's fully-executed, negotiated Federal Rate Approval Agreement must be attached to this application.

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. 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

Indirect Cost Description	Budget Base Total (\$)	Indirect Rate (%)	Approved Indirect Cost	Delete
	Base cost: 0.00	100.00	0.00	Delete
			<b>Total</b> 0.00	

Add Item

**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	\$0.00	
C. Equipment & Technology	\$0.00	
D. Supplies	\$0.00	
E. Travel & Training	\$0.00	
F. Contracts & Consultants	\$0.00	
G. Other Costs	\$0.00	
H. Indirect Costs	\$0.00	
<b>Total Project Amount:</b>	\$0.00	
<b>Total Federal Share Amount:</b> (Total Project Amount X Federal Share Percentage Allowable)	\$0.00	100.000000%
<b>Total Local Share Amount (If applicable):</b> (Total Project Amount - Total Federal Share Amount)	\$0.00	0.000000%

**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.

**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:

## 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 grant 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 grant.

## Section 16. 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.

## 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, and/or is not cooperating with an ongoing federal civil rights investigation, and/or is not cooperating with a Department of Justice grant 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 grant 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 grants, 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 grant;

- 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 grant project and mutually agreed to this partnership prior to this grant 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.

### **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 2016 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 grant 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 grant
- 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 grants, cooperative agreements, or contracts; and/or other remedy available to by law to the Federal Government.

## Appendices

### Appendix A. Glossary of COPS Office program terms

The following information is provided to assist you with the completion of your COPS Office grant 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 your Grant Program Specialist at 800-421-6770.

**allowable costs.** Allowable costs are costs that will be paid for by this grant 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 grant applications. The name of the individual designated as an AOR will be populated by the Grants.gov system in grant application package forms, which require signatures. An organization can assign as many AORs to use Grants.gov as necessary.

**automated booking system.** An automated booking system captures arrestee fingerprints and photographic information electronically and often has the ability to transfer that information to a departmental or state-wide database.

**automated fingerprint identification system (AFIS).** An AFIS is a highly specialized biometrics system that compares a single fingerprint image with a database of fingerprint images. Fingerprint images are collected from crime scenes or are taken from criminal suspects when they are arrested. Fingerprint images may be captured by placing a finger on a scanner or by electronically scanning inked impressions on paper.

**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 grant 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 grant 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.

**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 oriented policing.** Community oriented 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 crime, social disorder, and fear of crime.

**Computer Aided Dispatch (CAD) system.** A CAD system is a computer database that can track calls for service, maintain status of units available, provide various reports, produce address histories, and support electronic mail. With the installation of integrated CAD systems, officers are able to receive calls for service on their mobile data terminals rather than over the radio. Radios can then be used only for serious emergencies.

**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.

**consortium.** A consortium is a group of two or more governmental entities that agree to form a partnership to provide law enforcement services to their constituent communities.

**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 grant for the entire grant 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 Staff Accountant 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 Staff Accountant, please call the COPS Office Response Center at 800-421-6770, or visit the COPS Office web site at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).

**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](http://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.

**EPIC (El Paso Intelligence Center) National Clandestine Laboratory Seizure Database.** The U.S. Department of Justice maintains this database to track seizure of clandestine drug laboratories. It contains addresses of some locations where law enforcement agencies reported they found chemicals or other items that indicated the presence of either clandestine drug laboratories or dumpsites.

**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 grant 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.

**Global Positioning System (GPS).** Global Positioning Systems are a series of 24 geosynchronous satellites that continuously transmit their position. Each system is used in personal tracking, navigation, and automatic vehicle location technologies.

**grant number.** If awarded, the grant number identifies your agency's specific grant, and can be found on your grant award document. This number should be used as a reference when corresponding with the COPS Office. The COPS Office tracks grant information based upon this number.

**interoperable communications.** Communications interoperability refers to the ability to talk across disciplines and jurisdictions via radio communications networks on demand, in real time. Interoperable communications equipment and technology is used to increase interoperability and data information-sharing among the law enforcement, fire service, and emergency medical service communities.

**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](http://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.

**National Incident-Based Reporting System (NIBRS).** A comprehensive reporting database. Agencies provide individual records for eight index crimes and 38 other offenses.

**obligation of funds.** If this application is awarded, the COPS Office obligates federal funds when the grant 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.

**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.

**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.

**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.

**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.

**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](http://www.sam.gov).

## Appendix B. Assurances

Several provisions of federal law and policy apply to all award programs. The Office of Community Oriented Policing Services ("COPS Office") needs to secure your assurance that the applicant will comply with these provisions. If you would like further information about any of these assurances, please contact your state's COPS Office Grant Program Specialist at 800-421-6770.

By signing this form, the applicant assures that it will comply with all legal and administrative requirements that govern the applicant for acceptance and use of federal award funds. In particular, the applicant assures us of the following:

1. It has been legally and officially authorized by the appropriate governing body (for example, mayor or city council) to apply for this award and that the persons signing the application and these assurances on its behalf are authorized to do so and to act on its behalf with respect to any issues that may arise during processing of this application.
2. It will comply with the provisions of federal law, which limit certain political activities of employees whose principal employment is in connection with an activity financed in whole or in part with this award. These restrictions are set forth in 5 U.S.C. § 1501, et seq.
3. It will comply with the minimum wage and maximum hours provisions of the Fair Labor Standards Act (29 U.S.C. § 201, et seq.), if applicable.
4. It will establish safeguards, if it has not done so already, to prohibit employees from using their positions for a purpose that is, or gives the appearance of being, motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties. In addition, it will disclose (in writing) to the COPS Office any potential conflict of interest arising during the course of performance of the award and also will require such written disclosures by any subrecipients.
5. As required by 42 U.S.C. § 3796dd-6, it will give the U.S. Department of Justice or the Comptroller General access to and the right to examine records and documents related to the award.
6. It will comply with all requirements imposed by the U.S. Department of Justice as a condition or administrative requirement of the award, including but not limited to: the requirements of 2 C.F.R. Part 200 (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 ; 48 C.F.R. Part 31 (FAR Part 31) (Contract Cost Principles and Procedures); the applicable provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; 28 C.F.R. Part 38 (Equal Treatment for Faith-Based Organizations); the applicable COPS application guide; the applicable COPS award owner's manual; and with all other applicable program requirements, laws, orders, or regulations.

7. As required by 42 U.S.C. § 3796dd-1(c)(11), it will, to the extent practicable and consistent with applicable law, 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 in the agency.
8. It will not (and will require any subgrantees, contractors, successors, transferees, and assignees not to), on the grounds of race, color, religion, national origin, sex, disability, or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds. These civil rights requirements are found in the non-discrimination provisions of Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789d); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. § 1681, et seq.); and the corresponding U.S. Department of Justice regulations implementing those statutes at 28 C.F.R. Part 42 (subparts C, D, E, G, and I). It will also comply with Executive Order 13279, Equal Protection of the Laws for Faith-Based and Community Organizations; Executive Order 13559, Fundamental Principles and Policymaking Criteria for Partnerships With Faith-Based and Other Neighborhood Organizations; and the U.S. Department of Justice implementing regulations at 28 C.F.R. Part 38.
  - A. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability or age against the applicant after a due process hearing, it agrees to forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs, 810 7th Street, NW, Washington, D.C. 20531.
  - B. *It will 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).*

*The requirements are as follows:*

If your organization has fewer than fifty employees or receives an award of less than \$25,000 or is a nonprofit organization, a medical institution, an educational institution, or an Indian tribe, then it is exempt from the EEOP requirement. To claim the exemption, your organization must complete and submit Section A of the Certification Form, which is available online at <http://ojp.gov/about/ocr/eeop.htm>.

If your organization is a government agency or private business and receives an award of \$25,000 or more, but less than \$500,000, and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare a Utilization Report (formerly called an EEOP Short Form), but it does not have to submit the report to the OCR for review. Instead, your organization has to maintain the Utilization Report on file and make it available for review on request. In addition, your organization has to complete Section B of the Certification Form and return it to the OCR. The Certification Form is available at <http://ojp.gov/about/ocr/eeop.htm>.

If your organization is a government agency or private business and has received an award for \$500,000 or more and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare a Utilization Report (formerly called an EEOP Short Form) and submit it to the OCR for review within sixty days from the date of this letter. For assistance in developing a Utilization Report, please consult the OCR's website at <http://ojp.gov/about/ocr/eeop.htm>

In addition, your organization has to complete Section C of the Certification Form and return it to the OCR. The Certification Form is available at <http://ojp.gov/about/ocr/eeop.htm>.

To comply with the EEOP requirements, you may request technical assistance from an EEOP specialist at the OCR by telephone at (202) 307-0690, by TTY at (202) 307-2027, or by e-mail at [EEOSubmission@usdoj.gov](mailto:EEOSubmission@usdoj.gov).

9. Pursuant to U.S. Department of Justice guidelines (June 18, 2002 Federal Register (Volume 67, Number 117, pages 41455-41472)), under Title VI of the Civil Rights Act of 1964, it will ensure meaningful access to its programs and activities by persons with limited English proficiency.
10. It will ensure that any facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency' (EPA) list of Violating Facilities and that it will notify us if advised by the EPA that a facility to be used in this award is under consideration for such listing by the EPA..
11. If the applicant's state has established a review and comment procedure under Executive Order 12372 and has selected this program for review, it has made this application available for review by the state Single Point of Contact.
12. It will submit all surveys, interview protocols, and other information collections to the COPS Office for submission to the Office of Management and Budget for clearance under the Paperwork Reduction Act of 1995 if required.
13. It will comply with the Human Subjects Research Risk Protections requirements of 28 C.F.R. Part 46 if any part of the funded project contains non-exempt research or statistical activities which involve human subjects and also with 28 C.F.R. Part 22, requiring the safeguarding of individually identifiable information collected from research participants.
14. Pursuant to Executive Order 13043, it will enforce on-the-job seat belt policies and programs for employees when operating agency-owned - or - rented or personally-owned vehicles.
15. As required by 42 U.S.C. § 3796dd-3(a), it will not use COPS Office funds to supplant (replace) state, local, or Bureau of Indian Affairs funds that otherwise would be made available for the purposes of this grant, as applicable.
16. If the awarded funding contains a retention requirement, it will retain the increased officer staffing level or the increased officer redeployment level, as applicable, with state or local funds for a minimum of 12 months following expiration of the award period.
17. It will not use any federal funding directly or indirectly to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law ratification, policy or appropriation whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy or appropriation as set forth in the Anti-Lobby Act, 18 U.S.C. § 1913.

18. In the event that a portion of award reimbursements are seized to pay off delinquent federal debts through the Treasury Offset Program or other debt collection process, it agrees to increase the non-federal share (or, if the award does not contain a cost sharing requirement, contribute a non-federal share) equal to the amount seized in order to fully implement the award project.

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/or any other remedy available by law.

I certify that the assurances provided are true and accurate to the best of my knowledge.

Elections or other selections of new officials will not relieve the awardee of its obligations under this award.

---

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 C. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; Federal Taxes and Assessments; Drug-Free Workplace Requirements; and Coordination with Affected Agencies.**

Although the U.S. Department of Justice has made every effort to simplify the application process, other provisions of federal law require us to seek your agency's certification regarding certain matters. Applicants should carefully review the statutes and regulations cited below and the instructions for certification to understand the requirements and whether they apply to a particular applicant. Signing this form complies with the certification and notice requirements under 28 C.F.R. Part 69 "New Restrictions on Lobbying"; 2 C.F.R. Part 2867 "Nonprocurement Debarment and Suspension"; 2 C.F.R. Part 200 "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards"; the general provisions in the applicable Appropriations Act; 28 C.F.R. Part 83 "Government-Wide Requirements for Drug-Free Workplace (Grants)"; and the Public Safety Partnership and Community Policing Act of 1994. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the U.S. Department of Justice determines to award the covered grant.

#### ***Lobbying***

As required by 31 U.S.C. § 1352, implemented at 28 C.F.R. Part 69, for persons entering into an award agreement over \$100,000, and 2 C.F.R. § 200.450 as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101, the applicant certifies to the following:

- A. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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 award;
- B. If 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 award, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
- C. If applicant is a nonprofit organization or an institution of higher education, it will comply with the additional lobbying restrictions set forth in 2 C.F.R. § 200.450(c) as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101; and
- D. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under awards and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.



**Debarment, Suspension and Other Responsibility Matters (Direct Recipient)**

Pursuant to Executive Order 12549, Debarment and Suspension, as implemented at 2 C.F.R. Part 2867, for prospective participants in primary covered transactions, as defined at 2 C.F.R. § 2867.20(a), and other requirements, the applicant certifies that it and its principals:

- A. Are not 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. Have not 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 them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) 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 your present responsibility;
- C. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (B) of this certification; and
- D. Have not within a three-year period preceding this application had one or more public transactions (federal, state or local) terminated for cause or default.

**Mandatory Disclosure**

Pursuant to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.113 as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101, the applicant certifies that it:

- A. Has not violated any federal criminal law involving fraud, bribery, or gratuity that may potentially affect the federal award;
- B. Shall timely disclose in writing to the federal awarding agency or pass-through entity, as applicable, any violation of federal criminal law involving fraud, bribery, or gratuity that may potentially affect the federal award; and
- C. Shall require that the language of this certification be included in the award documents for all subawards (including subgrants and cooperative agreements) and shall require all subrecipients certify and disclose accordingly.

**Federal Taxes and Assessments**

- D. If applicable, an applicant who receives an award in excess of \$5,000,000 certifies that, to the best of its knowledge and belief, the applicant has filed all federal tax returns required during the three years preceding the certification, has not been convicted of a criminal offense under the Internal Revenue Code of 1986, and has not, more than 90 days prior to certification, been notified of any unpaid federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

- E. The applicant certifies that it does not have any unpaid federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

### **Drug-Free Workplace**

As required by the Drug-Free Workplace Act of 1988 (41 U.S.C. 8103), and implemented at 28 C.F.R. Part 83, for recipients (other than individuals), as defined at 28 C.F.R. § 83.660 –

- A. The applicant certifies that it will, or will continue to, provide a drug- free workplace by doing the following:
- (i) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the recipient's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (ii) Establishing an on-going drug-free awareness program to inform employees about –
    - (a) the dangers of drug abuse in the workplace;
    - (b) the recipient's policy of maintaining a drug-free workplace;
    - (c) any available drug counseling, rehabilitation and employee assistance programs; and
    - (d) the penalties that may be imposed upon employees for drug-abuse violations occurring in the workplace;
  - (iii) 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 (i);
  - (iv) Notifying the employee in the statement required by paragraph (i) that, as a condition of employment under the grant, the employee will –
    - (a) abide by the terms of the statement; and
    - (b) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
  - (v) Notifying the agency in writing within 10 calendar days after receiving notice under subparagraph (iv)(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: COPS Office, 145 N Street NE, Washington, DC 20530. Notice shall include the identification number(s) of each affected grant;
  - (vi) Taking one of the following actions within 30 calendar days of receiving notice under subparagraph (iv)(b) with respect to any employee who is so convicted –
    - (a) 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

(b) 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;

(vii) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (i), (ii), (iii), (iv), (v), and (vi).

B. The applicant further certifies that it will identify all known workplaces under each COPS Office award, keep the identification documents on file, and make them available for inspection upon request by the U.S. Department of Justice officials or their designated representatives.

**Coordination**

As required by 42 U.S.C. § 3796dd-1(c)(5) of the Public Safety Partnership and Community Policing Act of 1994, applicants must certify that there has been appropriate coordination with all agencies that may be affected by the applicant's award proposal if approved. Affected agencies may include, among others, the Office of the United States Attorney, state or local prosecutors, or correctional agencies. The applicant certifies that there has been appropriate coordination with all affected agencies.

*Where the applicant is unable to certify to any of the statements in this Certifications form, he or she shall attach an explanation to this application regarding the particular statement that cannot be certified. Please check the box if an explanation is attached to this application. Please note that the applicant is still required to sign the Certifications form to certify to all the other applicable statements.*

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

I certify that the assurances provided are true and accurate to the best of my knowledge.

Elections or other selections of new officials will not relieve the awardee of its obligations under this award.

_____	_____
Signature of Law Enforcement Executive/Agency Executive	Date
(For your electronic signature, please type in your name)	
<input style="width: 450px; height: 20px;" type="text"/>	

_____	_____
Signature of Government Executive/Financial Official	Date
(For your electronic signature, please type in your name)	
<input style="width: 450px; height: 20px;" type="text"/>	

## Appendix D: 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 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR 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 CFR 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 CFR 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 CFR 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 CFR 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 CFR §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 CFR 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 CFR 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 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR 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 E: 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 (FAPIS)) 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 F: 41 U.S.C. § 4712 -Pilot program for enhancement of contractor protection from reprisal for disclosure of certain information

### *Prohibition of reprisals*

**(1) In general.** An employee of a contractor, subcontractor, or recipient 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 award 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 recipient 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 recipient misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract or award 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.

### *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 recipient 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.

***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 recipient 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 recipient to take affirmative action to abate the reprisal.

**(B)** Order the contractor or recipient 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 recipient 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 recipient 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.

#### ***Notification of employees***

The head of each executive agency shall ensure that contractors, subcontractors, and recipients 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.

#### ***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.

#### ***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 recipient 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 recipient services provided to an element of the intelligence community.

#### ***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 award 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 awards funded, for or on behalf of, the executive agency concerned.

#### ***Construction***

Nothing in this section, or the amendments made by this section, shall be construed to provide any rights to disclose classified information not otherwise provided by law.

#### ***Duration of section***

This section shall be in effect for the four-year period beginning on the date that is 180 days after the date the enactment of this section.

## Appendix G. 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.whitehouse.gov/omb/grants\\_spoc/](https://www.whitehouse.gov/omb/grants_spoc/). States that are not listed have chosen not to participate in the intergovernmental review process and therefore do not have an SPOC.

## Appendix H. Federal Funding Accountability and Transparency Act (FFATA)—Reporting subaward and executive compensation award term

### **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 [www.fsrs.gov](http://www.fsrs.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, 2013, the obligation must be reported by no later than December 31, 2013.)
3. **What to report.** You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.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;
  - iii. 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 [www.sec.gov/answers/execomp.htm](http://www.sec.gov/answers/execomp.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 [www.sam.gov](http://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 [www.sec.gov/answers/execomp.htm](http://www.sec.gov/answers/execomp.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 nonfederal 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. II .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 nonequity 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 I. System for Award Management (SAM) and universal identifier award term

The following award terms will be incorporated in all COPS awards made on or after October 1, 2010:

### System for Award Management registration and universal identifier requirements

- A. *Requirement for System for Award Management (SAM) Registration*  
Unless you are exempted from this requirement under 2 C.F.R. Part 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 Data Universal Numbering System (DUNS) Numbers*  
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 DUNS number to you.
  2. May not make a subaward to an entity unless the entity has provided its DUNS number 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 [www.sam.gov](http://www.sam.gov)).
  3. *Data Universal Numbering System (DUNS) number* means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at [fedgov.dnb.com/webform](http://fedgov.dnb.com/webform)).
  4. *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 nonfederal entity.
5. *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.
  - f. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec.II.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
  - g. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
6. *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 J. Step-by-step instructions for two-part application submission process

### ***FY 2016 COPS Office grant online application procedures***

Note: If your agency has previously applied for grants 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 <http://www.grants.gov/help/html/help/index.htm#t=Register%2FRegister.htm>.

#### Step 1

Please click the link below for details on how to register with Grants.gov.

Steps for registering with Grants.gov  
<http://www.grants.gov/help/html/help/index.htm>

#### Step 2. Submitting a COPS Office grant application using Grants.gov

1. Log in to [www.grants.gov](http://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-2016. Then click on "Download Package."

**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.

**Move Form to Complete**

- b. Select "COPS 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.

**Move Form to Complete**

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.

**Open Form**

11. Click the "Save" button at the very top of the document.

**Save**

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.

**Save**

\*\* 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.

**Save & Submit**

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.

A rectangular button with rounded corners and a light gray background. The text "Save As" is centered in a bold, black, sans-serif font.

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 e-mails from Grants.gov:
  - a. One e-mail thanking the applicant for submission
  - b. A second e-mail confirming Grants.gov validation
  - c. A third e-mail stating the application was received by the agency
18. Within one business day, you will receive one of two e-mails from the COPS Office:
  - a. An e-mail stating your application passed the COPS Office validation and providing a link to the COPS Office Application Program System.

Or

- b. An e-mail 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 above.
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 e-mails from Grants.gov.
  - a. One e-mail thanking the applicant for submission.
  - b. A second e-mail confirming Grants.gov validation.
  - c. A third e-mail stating the application was received by the agency.

8. Within one business day, you will receive one of two e-mails from the COPS Office:
  - a. An e-mail stating your application passed the COPS Office validation and providing a link to the COPS Office Application Program System.

Or

  - b. An e-mail stating that the COPS Office validation failed and that the issues must be corrected and resubmitted.

### **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 04/30/2017.

## 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, territory, and tribal law enforcement agencies through information and grant resources.

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 crime, social disorder, and fear of crime.

Rather than simply responding to crimes once they have been committed, community policing concentrates on preventing crime and eliminating the atmosphere of fear it creates. Earning the trust of the community and making those individuals stakeholders in their own safety enables law enforcement to better understand and address both the needs of the community and the factors that contribute to crime.

The COPS Office awards grants to state, local, territory, and tribal law enforcement agencies to hire and train community policing professionals, acquire and deploy cutting-edge crime fighting technologies, and develop and test innovative policing strategies. COPS Office funding also provides training and technical assistance to community members and local government leaders and all levels of law enforcement. The COPS Office has produced and compiled a broad range of information resources that can help law enforcement better address specific crime and operational issues, and help community leaders better understand how to work cooperatively with their law enforcement agency to reduce crime.

- 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.
- To date, the COPS Office has funded more than 127,000 additional officers to over 13,000 of the nation's 18,000 law enforcement agencies across the country in small and large jurisdictions alike.
- 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 2 million topic-specific publications, training curricula, white papers, and resource CDs.

COPS Office resources, covering a wide breadth of community policing topics—from school and campus safety to gang violence—are available, at no cost, through its online Resource Center at [www.cops.usdoj.gov](http://www.cops.usdoj.gov). This easy-to-navigate website is also the grant application portal, providing access to online application forms.





**COPS** ★

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

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U.S. Department of Justice  
Office of Community Oriented Policing Services  
145 N Street NE  
Washington, DC 20530

To obtain details on COPS programs, call the COPS Office Response Center at 800-421-6770.

Visit the COPS Office online at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).