

**U.S. Department of Justice**  
Office of Justice Programs  
Office of Sex Offender Sentencing, Monitoring,  
Apprehending, Registering and Tracking



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering and Tracking](#) (SMART), is pleased to announce that it is seeking applications for funding under the SMART Office FY 16 Support for Adam Walsh Act Implementation Grant Program. This program furthers the Department's mission by assisting states, the District of Columbia, territories and certain federally recognized Indian tribes with implementation and ongoing maintenance of requirements under the Adam Walsh Child Protection and Safety Act of 2006, specifically Subtitle A of Title I, the Sex Offender Registration and Notification Act (SORNA).

## **SMART FY 16 Support for Adam Walsh Act Implementation Grant Program**



**Due: April 7, 2016**

### **Eligibility**

Eligible applicants are states, the District of Columbia, the principal U.S. territories, and federally recognized Indian tribes that are eligible under SORNA section 127 to carry out the functions of SORNA and have elected to do so. Jurisdictions that have not previously received funding under this program are strongly encouraged to apply.

Tribal applicants must identify eligibility status by indicating that the tribe is eligible to and has elected to carry out the requirements of SORNA under section 127 and has not delegated its duties since its election. Tribes that have elected to carry out the requirements of SORNA must submit the tribal resolution which documents the tribe's election to do so. The link to the Bureau of Indian Affairs' list of federally-recognized Indian tribes is located at <http://www.bia.gov/cs/groups/public/documents/text/idc1-029079.pdf>.

Preference will be given to the following jurisdictions: 1) State and territorial applicants that have already implemented SORNA or have submitted a reallocation request to the SMART Office or 2) Tribal applicants that have already implemented SORNA or submitted a substantial implementation package to the SMART Office, or submitted a request for additional time to implement SORNA.

For additional eligibility information, see [Section C. Eligibility Information](#).

## Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 7, 2016.

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

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

## Contact Information

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

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

For assistance with any other requirements of this solicitation, contact Faith A. Baker, Associate Director, by telephone at 202-305-2586, or by email at [Faith.Baker@usdoj.gov](mailto:Faith.Baker@usdoj.gov).

Grants.gov number assigned to this announcement: SMART-2016-8950

Release date: January 28, 2016

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# SMART FY 2016 Support for Adam Walsh Act Implementation Grant Program

## CFDA #16.750

### A. Program Description

#### Overview

The Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking (SMART) Support for Adam Walsh Act Implementation Grant Program assists jurisdictions with developing and/or enhancing programs designed to implement the Sex Offender Registration and Notification Act (SORNA). SORNA (42 U.S.C. § 16901, Title I) was enacted to protect the public by establishing a comprehensive national system of standards for the registration and notification of convicted sex offenders.

The term jurisdiction is defined in the SORNA national guidelines as any State of the United States, the District of Columbia, the principal U.S. territories and federally-recognized Indian tribes to the extent provided by SORNA section 127.

#### Program-Specific Information

The Support for Adam Walsh Act (AWA) Implementation Grant Program assists jurisdictions with developing and/or enhancing programs designed to implement requirements of SORNA. In summary, SORNA requires: (1) all States, the District of Columbia, the principal U.S. territories, and participating federally recognized Indian tribes to maintain a sex offender registry; and (2) sex offenders to register and maintain a current registration in each jurisdiction where the offender resides, is an employee, or is a student. SORNA also sets forth requirements for sex offender registries, to include: specified required information, duration of registration, and in-person verification of sex offender identity as well as participation in the National Sex Offender Public Website (NSOPW), and the utilization of the SORNA Exchange Portal. For more specific information about compliance with SORNA and access to the National Guidelines and Supplemental Guidelines on Sex Offender Registration and Notification, please visit [www.smart.gov/sorna\\_tools.htm#sornaguidelines](http://www.smart.gov/sorna_tools.htm#sornaguidelines). For information and resources on SORNA, visit [www.smart.gov](http://www.smart.gov).

#### Goals, Objectives, and Deliverables

The SMART Office is interested in proposals that facilitate, enhance and maintain jurisdictional implementation of SORNA.

For State and Territorial jurisdictions that have not yet substantially implemented SORNA, applicants must have received a SORNA Substantial Implementation Report from the SMART Office, or submitted materials for a review,<sup>1</sup> and must explain how the proposed project will bring the jurisdiction closer to implementation based upon SMART's review.

For tribal jurisdictions that have not yet substantially implemented SORNA, applicants must have received a SORNA Substantial Implementation Report, have submitted materials for a

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<sup>1</sup> For further information on submitting materials to SMART see: [www.smart.gov/sorna\\_tools.htm#materials](http://www.smart.gov/sorna_tools.htm#materials)

review, or requested and received a “reasonable time” extension from the SMART Office, and must explain how the proposed project will bring the jurisdiction closer to implementation based on SMART’s review.

Discussion of a jurisdiction’s planned activities should include information regarding the jurisdiction’s SORNA implementation working group. The working group plan should include a list of the working group members, their responsibility regarding SORNA implementation, and an agenda for the group’s work during the grant period, in addition to the timeline of the applicant’s planned activities otherwise required by this solicitation. It is expected that successful grantees will complete semi-annual progress reports which include updates on their jurisdiction’s working group meetings. This requirement does not apply to jurisdictions that have already been found to have substantially implemented SORNA.

For those jurisdictions that have already substantially implemented SORNA, the application must explain how the proposed project will either support continued implementation of SORNA or enhance their programs around registration/notification. State and Territorial applicants should link their proposed activities with non-implemented factors as identified in their most recent SORNA Substantial Implementation Report.

In developing and/or enhancing efforts or programs designed to implement or maintain compliance with SORNA, applicants may propose specific strategies and projects including, but not limited to, the following examples:

**Examples of strategies and projects to develop or enhance jurisdiction-wide SORNA implementation programs or functions:**

**All applicants:**

- Developing proposed legislation and administrative materials (such as policies and procedures) which address SORNA’s requirements, including through legal support.
- Providing support for coordinated interagency efforts to enhance implementation of SORNA requirements.
- Developing or enhancing law enforcement and other criminal justice agency information sharing at the jurisdiction level as well as between and among jurisdiction level agencies and local level agencies.
- Implementing records management projects, such as converting documents to digital format as required by SORNA.
- Developing and implementing training for law enforcement and other criminal justice agency personnel responsible for sex offender registration, notification, monitoring, or management.
- Enhancing address verification strategies, collaborating with other jurisdictions and agencies on absconder investigations, and expanding community education and prevention programs related to sex offender registration, notification, or management.
- Enhancing infrastructure to assist implementation of SORNA, such as for the collection, storage, submission or analysis of sex offender biometric data (finger and palm prints) and DNA. ***See budget information on page 6 including referenced footnote for more information.***

### **Tribal applicants:**

- Tribes that have elected to carry out the requirements of SORNA are encouraged to apply for funding to support SORNA implementation activities carried out by a consortium of tribes that have elected to implement SORNA. Several tribes may choose to form a consortium to share resources (e.g., hardware, digital fingerprint equipment, kiosks; joint staff or shared registry office space; shared public registry website, etc.); or collaborate on enforcement activities or other facilities used for registration. An application to fund such a collaborative approach or project must include supporting documentation, such as an interagency agreement, a memorandum of understanding, or a letter of cooperation, which demonstrates the collaborative endeavor from each member jurisdiction of the consortium.
- Tribes that have been found to have substantially implemented SORNA may apply for funding to create and improve sustainment strategies, including but not limited to developing community education programs on sex offender topics or collaborations with intra-tribal organizations including victim service agencies, courts, probation, schools and other entities. An application to fund such a collaborative approach or project must include supporting documentation from the included tribal organizations detailing how the collaboration will be effectuated. The application should also detail how such strategies will sustain and support the tribe's sex offender registration and notification program.
- Tribes that have been found to have substantially implemented SORNA may apply for funding to develop or enhance their inter-jurisdictional cooperation, including but not limited to information-sharing infrastructure improvement.

### **States with tribal jurisdictions within their borders:**

- States may apply to support efforts of local or state units of government, or P.L. 280 tribes, to develop or enhance their sex offender registration and notification functions as they pertain to tribal nations that have been delegated to the state for the purpose of substantial implementation of SORNA.
- State jurisdictions that include P.L. 280 tribes are encouraged to design projects that address SORNA implementation as it relates to these tribes.
- State jurisdictions that have Tribal SORNA Jurisdictions within their borders may apply for funding to enhance their collaboration with SORNA tribes including but not limited to enhancing information sharing such as tribal access to NCIC/NSOR. An application to fund such a collaborative approach or project must include supporting documentation, such as an interagency agreement, a memorandum of understanding, or a letter of cooperation, which demonstrates the collaborative endeavor from each member SORNA jurisdiction involved in the collaboration.

### **Additional Information Required**

State and territory applicants that are eligible to receive Byrne/JAG reallocation funding should describe how the proposed project complements the work that the jurisdiction plans to perform with that reallocation funding. Applicants shall ensure that the project involves activities that are separate from or complement the tasks being performed with the SORNA reallocation funding, so as to avoid receiving duplicate funds for the same activity.

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

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

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

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The [OJP CrimeSolutions.gov](http://OJP.CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services. The SMART Office's Sex Offender Management and Planning Initiative (SOMAPI) sets forth current research about adult and juvenile offenders, and responses thereto. The SOMAPI report is available online at <http://smart.gov/SOMAPI/index.html>.

## **B. Federal Award Information**

The SMART Office will make awards of up to \$400,000, for a period of up to 24 months. Thirty percent of the total amount awarded under this solicitation will be set aside for tribal jurisdictions. It is anticipated that any award that may be made under this solicitation should be awarded no later than September 30, 2016.

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

### **Type of Award<sup>2</sup>**

The SMART Office expects that it will make any award from this solicitation in the form of a grant.

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

If selected for funding, the award recipient must:

(a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal

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<sup>2</sup> See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

(b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.

(c) Evaluate and monitor the non-Federal entity's compliance with statute, regulations and the terms and conditions of federal awards.

(d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

(e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the non-federal entity considers sensitive consistent with applicable federal, state and local laws regarding privacy and obligations of confidentiality.

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

## **Budget Information**

Applicants should be aware that the SMART Office has developed information technology resources that have been made available to all SORNA jurisdictions for the purpose of meeting requirements of participation in the Dru Sjodin National Sex Offender Public Website. These resources include software such as: mapping technology, geographic radius and email address search applications, and community notification and email notification applications. Additionally, the SMART Office provides the Tribe and Territory Sex Offender Registry System (TTSORS) free of charge to tribes and territories. TTSORS assists the tribes and territories with implementing SORNA registry system requirements. It functions as the administrative registry system and as the public sex offender registry website system for jurisdictions. Additional information about TTSORS is available at [www.smart.gov/pdfs/TTSORSFactSheet.pdf](http://www.smart.gov/pdfs/TTSORSFactSheet.pdf). It is therefore recommended that applicants avoid proposals that include similar software expenditures.

In addition, the Sex Offender Registry Tool (SORT) is available to states at no cost to assist with implementing SORNA registry system requirements. It was designed to improve information sharing capabilities and make the sex offender registry system setup and maintenance process as efficient and effective as possible. SORT functions as the state-level administrative registry system and provides local registration agencies with their own specialized public sex offender registry website. Additional information about SORT is available at [www.ojp.usdoj.gov/smart/pdfs/SORT\\_Fact\\_Sheet.pdf](http://www.ojp.usdoj.gov/smart/pdfs/SORT_Fact_Sheet.pdf).

Software may be purchased with funding under this solicitation if there is a proven and justifiable need. Allowable software purchases include: software needed by the jurisdiction to support kiosks or facilitate information sharing between a jurisdiction's sex offender registry and other law enforcement-operated electronic systems or databases and sex offender tracking systems within the jurisdiction (including local law enforcement); software that facilitates sex



offender tracking and management throughout the jurisdiction; and software or technical assistance necessary to facilitate use of SMART-provided software resources.

Applicant proposals may include the purchase of equipment for items such as digital fingerprint and palm print technology, scanners to transfer existing records and documents into a digital format, computer hardware and DNA collection.<sup>3</sup> It is expected that, in this grants cycle and in future years, Adam Walsh Act implementation funding will be increasingly used for implementation activities other than the purchase of equipment, given the widespread automation of law enforcement records systems since the enactment of SORNA.

Grant funds to tribes can be used to purchase an electronic scanner or Live Scan device for scanning finger and palm prints for upload to the FBI databases IAFIS and Next Gen. However, tribes will typically have to coordinate with the State in which they are located in order to connect to those federal databases.<sup>4</sup> **NOTE:** A Tribe can purchase a scanner without working with the State, but if no connection is effectuated the tribe will have to print the scanned prints and mail them to the FBI utilizing mailers provided by the FBI. Information on this process is available on the SMART Office website, [www.smart.gov](http://www.smart.gov).

States will need to agree to accept and facilitate a connection to a tribe that wishes to use such devices for the upload. Further, States will need to provide to the tribe information on what hardware or device will interface with their system. Tribal applicants must document either (1) how the transmission of data will be made directly to the FBI or (2) how data will be transmitted through the state, including any MOUs or other agreements.

#### **Cost Sharing or Match Requirement**

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

For additional cost sharing and match information, see [Section C. Eligibility Information](#).

#### **Pre-Agreement Cost Approvals**

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

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<sup>3</sup> Tribes that propose to utilize grant funds to support the collection, storage, and submission of DNA must document that costs are necessary and verifiable. Examples of verified and validated costs include fees that a state or its political subdivision charges the tribe for collection, storage, or submission of DNA. Please note that contracting with a private lab does not facilitate submission of DNA to the Combined DNA Index System (CODIS), and thus does not meet SORNA requirements. As a result, private lab fees are considered unallowable costs. The FBI Laboratory permits SORNA tribes to receive free DNA collection kits and analyzes the kits and enters the data into CODIS for free. Please contact the SMART Office for additional information about utilizing this service.

<sup>4</sup> This process may change in the future with the expansion of the Department's Tribal Access Program, which is in its early stages as of the time of this solicitation.

announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

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

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>5</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

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

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

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

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

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<sup>5</sup> This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

## C. Eligibility Information

For additional eligibility information, see title page.

### Cost Sharing or Match Requirement

For additional information on cost sharing and match requirement, see [Section B. Federal Award Information](#).

### Limit on Number of Application Submissions

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

## D. Application and Submission Information

### What an Application Should Include

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

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

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

For examples of successful FY 2014 applications, go to: [www.ojp.usdoj.gov/smart/funding.htm](http://www.ojp.usdoj.gov/smart/funding.htm).

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

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

**Intergovernmental Review:** This funding opportunity is subject to [Executive Order 12372](#). Applicants may find the names and addresses of their state's Single Point of Contact

(SPOC) at the following website: [www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/). Applicants whose state appears on the SPOC list must contact their state's SPOC to find out about, and comply with, the state's process under Executive Order 12372. In completing the SF-424, applicants whose state appears on the SPOC list are to make the appropriate selection in response to question 19 once the applicant has complied with their state's E.O. 12372 process. (Applicants whose state does not appear on the SPOC list are to make the appropriate selection in response to question 19 to indicate that the "Program is subject to E.O. 12372 but has not been selected by the State for review.")

## 2. Project Abstract

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

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

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

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

**Permission to Share Project Abstract with the Public:** It is unlikely that the SMART Office will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

## 3. Program Narrative

The program narrative should respond to the solicitation and present a detailed description of the purpose, scope, goals and objectives of the proposed project. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 25 pages. Please number pages "1 of 25," "2 of 25," etc. Submissions that do not adhere to the format will be deemed ineligible. Information required under the "Budget and Budget Narrative" and "Other Attachments" sections will not count toward the program narrative page count.

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

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

a. Statement of the Problem

Applicants should describe the challenges the jurisdiction faces in implementing or maintaining ongoing compliance with the Sex Offender Registration and Notification Act (SORNA) and the strategy for addressing those challenges, should grant funds be awarded. Applicants should describe steps taken to assess and analyze their current sex offender registration and notification systems in relation to SORNA implementation or ongoing compliance. This section should also detail ongoing jurisdiction efforts to address implementation or maintain compliance. State and territorial applicants should link the proposed activities to as-yet unmet implementation needs identified in the most recent substantial implementation report, if any. Applicants should discuss the jurisdiction's strategy to implement SORNA and identify deficits or problems encountered as well as needs identified in order to substantially implement or maintain substantial implementation.

b. Project Design and Implementation

Project Goals and Objectives: Applicants should describe the goals of the proposed project and identify its objectives and outcomes. Goals: Applicants should provide a broad statement, written in general terms, that conveys the project's intent to change, reduce, or eliminate the problem described. Objectives: Applicants should explain how the program will accomplish its goals. The objectives should be quantifiable and describe the steps necessary to accomplish project goals. When formulating the project's goals and objectives, applicants should be cognizant of the performance measures that will be required of successful applicants.

Applicants should detail how the project will operate during the funding period and describe the strategy that will be used to implement the proposed project. This section should illustrate what activities are proposed for the project and describe how the strategy will support the goals and objectives. Applicants should outline how the proposed project will move the jurisdiction closer to substantial implementation of SORNA or enhance ongoing SORNA compliance and help to sustain the efficacy and viability of the jurisdiction's sex offender registration and notification program. In addition, applicants should specifically identify each SORNA requirement that will be implemented or enhanced as a result of the proposed project.

- Project timeline: Submit as an attachment a project timeline with each project goal, related objective, activity, expected completion date, and responsible person or organization. Please do not use actual calendar months in the timeline; instead prepare the timeline using "Month 1", etc.
- SORNA Working Group Plan (for jurisdictions that have not already implemented SORNA): Discussion of a jurisdiction's planned activities should include information regarding the jurisdiction's SORNA implementation working group. The working group plan should include a

list of the working group members and their responsibility regarding SORNA implementation. It is expected that successful grantees will report on their jurisdiction’s working group meetings in their quarterly progress reports. This requirement does not apply to jurisdictions that have already been found to be substantially implementing SORNA.

In addition, state and territory applicants that are eligible to receive the Byrne/JAG penalty funding reallocation should describe how the project complements the work that the jurisdiction plans to perform with that reallocation funding. Applicants should take care to ensure that the project involves activities that are separate from or complement the tasks being performed with the reallocation funding, so as to avoid receiving duplicate funds for the same activity

c. Capabilities and Competencies

Applicants should describe the management structure and staffing of the project and include information describing the roles and responsibility of key organizational and functional components and personnel. This section should describe the experience and capability of the applicant and any contractors that will be used to implement the project and highlight any previous experience implementing projects of similar design or magnitude. The management and organizational structure described should match the staff needs necessary to accomplish the tasks outlined in the project work plan.

- Position descriptions and/or resumes for key positions/personnel should be submitted as an attachment.

d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures

Applicants should describe how performance will be documented, monitored, and evaluated, including how the impact of the strategy implemented and/or enhancement will be determined. It should also discuss plans for sustainability, i.e., how the program will continue to operate beyond the period of the grant award. If personnel costs are supported by grant funds, specific discussion of how these positions will be maintained beyond the period of the grant award must be included.

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

<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Data Grantee Provides</b>
Improve public sex offender registry systems to support and maintain SORNA compliance	Number of SORNA requirements implemented during the reporting period	Number of policies/procedures and/or programs established/amended to comply with SORNA during the reporting period (if applicable)

	Number of staff trained (if applicable)	Number of jurisdiction personnel trained on SORNA compliance during the reporting period
	Percentage of records/data made electronically accessible for inclusion in SORNA jurisdiction sex offender registries (if applicable)	Number of updated sex offender registration records electronically transmitted (intra and inter-jurisdictionally) through the SORNA Exchange Portal during each month of the reporting period
	Number of records that are automated (if applicable)	Number of records/data (including sex offender case files; sex offender registration information; finger/palm print cards, DNA) captured and/or automated during the reporting period
	Increase in information exchange between State/Tribal/Territory sex offender registration agencies and other SORNA jurisdictions or federal, state or local agencies	Number of information exchanges between State/Tribal/Territory sex offender registration agencies and other SORNA jurisdictions or federal, state or local agencies, by type, through the SORNA Exchange Portal
Enhance jurisdiction efforts to address victim and public safety	Percentage of registered sex offenders in compliance with jurisdiction registry requirements	<p>Number of sex offenders who are in compliance with jurisdiction registry requirements each month during the project period</p> <p>Number of sex offenders who are registered in the jurisdiction each month during the project period</p> <p>Number of sex offender address verifications/compliance checks completed each month during the project</p>
	Percentage of registered sex offenders in non-compliance	Number of sex offenders identified as non-compliant with jurisdiction registry

	with jurisdiction registry requirements	requirements during each month of the project period  Number of sex offenders who are registered in the jurisdiction each month during the project period
	Number of sex offenders newly registered (tribal jurisdictions only)	Number of sex offenders newly registered each month in the jurisdiction during the reporting period (tribal jurisdictions only)
	Number of partnerships maintained	Number of partnerships maintained with other jurisdictions and agencies on absconder investigations  Number of partnerships maintained with victims' service providers on community education and prevention programs related to sex offender registration, notification, and management
Develop SORNA implementation training for law enforcement and other criminal justice agency personnel (if applicable)	Number of education/training modules developed (if applicable)	Number of education/training modules developed related to SORNA implementation in the jurisdiction
	Number of participants who complete training (if applicable)	Number of education/training modules developed related to SORNA implementation in the jurisdiction
	Number of participants who reported that the training provided information that could be utilized in their job (if applicable)	Number of law enforcement and other criminal justice agency personnel who reported that the training provided information on SORNA implementation that could be utilized in their job

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



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

### **Note on Project Evaluations**

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the [OJP Funding Resource Center](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page ([www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

## **4. Budget Detail Worksheet and Budget Narrative**

### **a. Budget Detail Worksheet**

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

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

### **b. Budget Narrative**

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

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

The narrative should be mathematically sound and correspond with the information and

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

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

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

**d. Pre-Agreement Cost Approvals**

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

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

Indirect costs are allowed only under the following circumstances:

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

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

In order use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>6</sup>

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

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action

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<sup>6</sup> See 2 C.F.R. § 200.414(f).

without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

Applicants unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, the SMART Office will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

## **7. Applicant Disclosure of High Risk Status**

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

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

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

## **8. Additional Attachments**

Applicants should submit the following information as attachments to their application:

- Project Timeline
- Position descriptions and resumes
- Indirect Cost Rate Agreement (if applicable)
- For tribal applicants:
  - Tribal resolution filed with the SMART Office that documents the tribe's election to carry out the requirements of SORNA.
  - Tribal Authorizing Resolution

Applicants proposing a collaborative effort should provide:

- Letter of cooperation, memorandum of understanding, or interagency agreement that documents the collaborative work of all involved agencies.

Applicants who have not already substantially implemented SORNA should provide:

- SORNA Working Group plan, which should include working group structure, working group members and discussion of jurisdiction’s planned activities.

Jurisdictions that have been previously funded and are proposing to support local units of government or P.L. 280 tribes to develop or enhance their sex offender registration and notification functions should provide:

- Letter of support or cooperation and/or a MOU that indicates that the local jurisdiction or Tribe is in agreement with and supportive of the proposed activities.

**a. Applicant Disclosure of Pending Applications**

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

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

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

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

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

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending

applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**9. Financial Management and System of Internal Controls Questionnaire**

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

**10. Disclosure of Lobbying Activities**

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

**How to Apply**

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

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

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

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

Grants.gov is designed to forward successfully submitted applications to the OJP Grants

Management System (GMS).

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

All applicants are required to complete the following steps

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

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html).
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization’s AOR. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.750, titled “*SMART FY 16 Support for Adam Walsh Implementation Grant Program*,” and the funding opportunity number is SMART-2016-8950.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 7, 2016.

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

#### **Note: Duplicate Applications**

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

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

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

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website

- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, including firewalls

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

## E. Application Review Information

### Selection Criteria

1. Statement of the Problem (10%)
2. Project Design and Implementation (45%)
3. Capabilities and Competencies (20%)
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (10%)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>7</sup> (10%)
6. Other: Project Abstract, Project Timeline, Position descriptions and resumes, Indirect Cost Rate Agreement (if applicable), and Tribal Authorizing Resolutions (if applicable). (5%)

See [Program-Specific Information](#) section for additional information.

### Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

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

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<sup>7</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.



- Applicants will be checked against the General Services Administration’s Excluded Parties List

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

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

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

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

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior the SMART Office and OJP awards, and available funding when making awards.

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

### **Federal Award Notices**

OJP award notification will be sent from GMS. Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

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

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

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

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>8</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

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

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

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 C.F.R. Part 200. Future awards and fund drawdowns may be withheld if reports are delinquent.

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

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<sup>8</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

## G. Federal Awarding Agency Contact(s)

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

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

## H. Other Information

### Provide Feedback to OJP

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

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

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

## Application Checklist

# SMART FY 16 Support for Adam Walsh Act Implementation Grant Program

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

### What an Applicant Should Do:

#### *Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 22)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 22)

#### *To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 22)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 22)

#### *To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 23)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 23)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 23)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm](http://ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm) (see page 10)

#### *After Application Submission, Receive Grants.gov Email Notifications That:*

- \_\_\_\_\_ (1) application has been received,
- \_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 23)

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

- \_\_\_\_\_ contact the SMART Office regarding experiencing technical difficulties (see page 23)

### General Requirements:

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

### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of up to \$400,000.

### Eligibility Requirement:

Eligible applicants are states, the District of Columbia, the principal U.S. territories, and federally recognized Indian tribes that are eligible under SORNA section 127 to carry out the functions of SORNA and have elected to do so. Under this program, jurisdictions that have not previously received funding are strongly encouraged to apply.

Tribal applicants must identify eligibility status by indicating that the tribe is eligible to and has elected to carry out the requirements of SORNA under section 127 and has not delegated its duties since its election. Tribes that have elected to carry out the requirements of SORNA must submit the tribal resolution which documents the tribe's election to do so.

Preference will be given to the following jurisdictions: 1) state and territorial applicants that have already substantially implemented SORNA or have submitted a reallocation request to the SMART Office; and 2) Tribal applicants that have already substantially implemented SORNA or submitted a substantial implementation package to the SMART Office, or submitted a request for additional time to implement SORNA.

**What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 11)
- \_\_\_\_\_ Project Abstract (see page 12)
- \_\_\_\_\_ Program Narrative (see page 12)
- \_\_\_\_\_ Budget Detail Worksheet (see page 17)
- \_\_\_\_\_ Budget Narrative (see page 17)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 18)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 18)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 19)
- \_\_\_\_\_ Additional Attachments (see page 19)
  - Project Timeline
  - Position descriptions and resumes

Applicants proposing a collaborative effort should provide:

- Letter of cooperation, memorandum of understanding, or interagency agreement that documents the collaborative work of all involved agencies.

Applicants who have not already substantially implemented SORNA should provide:

- SORNA Working Group plan, which should include working group structure, working group members and discussion of jurisdiction’s planned activities.

Jurisdictions that have been previously funded and are proposing to support local units of government or P.L. 280 tribes to develop or enhance their sex offender registration and notification functions should provide:

- Letter of support or cooperation and/or a MOU that indicates that the local jurisdiction or Tribe is in agreement with and supportive of the proposed activities.

- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 20)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 21)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 21)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 10)