



**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 2018 COPS Office STOP School Violence: School Violence Prevention Program (SVPP).

## **2018 COPS Office STOP School Violence: School Violence Prevention Program (SVPP) Application Guide**

CFDA 16.710

Funding Opportunity Number: COPS-SCHOOL-VIOLENCE-PREVENTION-PROGRAM-APPLICATION-2018

### **Eligibility**

The FY 2018 COPS Office STOP School Violence: School Violence Prevention Program (SVPP) is a competitive award program designed to provide funding to improve security at schools and on school grounds in the jurisdiction of the grantee through evidence-based school safety programs. All States, units of local government and Indian tribes are eligible to apply.

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 2018 SVPP program begins **June 25, 2018**. All applications must be submitted by **July 30, 2018, at 7:59 p.m. EDT**. Applications submitted after **July 30, 2018**, will not be considered for funding.

Completing an application under this 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 email to the applicant with instructions on completing the second part of the SVPP application through the COPS Office Online Application System (see "Registration" on page 2 and "How to Apply" on page 16). 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 email to [support@Grants.gov](mailto:support@Grants.gov), or consult the Grants.gov Organization Applicant User Guide at <https://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 email to [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov).

U.S. Department of Justice  
Office of Community Oriented Policing Services  
Phil Keith, Director  
[www.cops.usdoj.gov](http://www.cops.usdoj.gov)

## 2018 COPS Office STOP School Violence: School Violence Prevention Program (SVPP) Application Guide

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 Office STOP School Violence: School Violence Prevention Program as well as detailed program-specific information.

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



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

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

June 2018

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# COPS Office STOP School Violence: School Violence Prevention Program (SVPP) (CFDA 16.710) Overview

## SVPP description and federal award information

This program is authorized under the Students, Teachers, and Officers Preventing (STOP) School Violence Act of 2018, which is included in the Consolidated Appropriations Act, 2018, Public Law 115-141, Division S, Title V., as amended (34 U.S.C. § 10551 et seq.)

The COPS Office STOP School Violence: School Violence Prevention Program (SVPP) provides funding directly to states, units of local government, or Indian tribes to improve security at schools and on school grounds in the jurisdiction of the grantee through evidence-based school safety programs. Pursuant to 34 U.S.C. § 10551(b)(5)–(9), SVPP funding is available under the following purpose areas:

- Coordination with local law enforcement.
- Training for local law enforcement officers to prevent student violence against others and self.
- Placement and use of metal detectors, locks, lighting, and other deterrent measures.
- Acquisition and installation of technology for expedited notification of local law enforcement during an emergency.
- Any other measure that, in the determination of the COPS Director, may provide a significant improvement in security.

The COPS Office anticipates making an estimated 60 SVPP awards for a total of approximately \$25 million. Funding requests will be capped at \$500,000 per award. All awards are subject to the availability of funds. FY 2018 funding will cover up to 75 percent of the approved awards, up to \$500,000, for the following purposes and example budget items:

- **Coordination**—Civilian/Nonsworn Personnel (Salaries and Benefits). Please note that personnel hired under SVPP must function in a role directly related to the SVPP project (examples of allowable personnel may include project coordinators, project managers, technology managers, emergency management coordinators, or trainers).
- **Equipment**. Entry control equipment, school site alarm, and protection systems.
- **Technology**. Communication technology, emergency alerts, identification technology, laptops, maps of schools and bus routes, printers, social media monitoring, tracking systems, and video surveillance technology.
- **Supplies**. Manuals, paper, pens, and postage.
- **Travel/Training** for law enforcement officers to prevent and respond to school violence.
- **Contracts/Consultants**.
- **Subawards**.
- **Other costs**. Allowable overtime, other office supplies not already listed, and shipping costs (for Alaska only).

# Registration

All FY 2018 SVPP applicants are required to have a valid ORI number. ORI numbers are assigned by the Federal Bureau of Investigation (FBI) and serve as 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 award 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 42 of this guide for more information regarding DUNS and SAM.

Completing an application under this program is a two-step process. Applicants must first 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 email from the COPS Office within one business day with instructions on completing the second part of the SVPP application process, which is the COPS Office Application Attachment to the SF-424 through the COPS Office Online Application System. If you need assistance with 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, email [support@grants.gov](mailto:support@grants.gov), or consult the Grants.gov Applicant User Guide at [https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get\\_Started%2FGet\\_Started.htm](https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get_Started%2FGet_Started.htm). See "How to Apply/Application Submission" on page 16 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 email to [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov)/ See "How to Apply/Application Submission" on page 16 of this guide for more information.

# Deadline: Application

All completed applications must be submitted by **July 30, 2018, at 7:59 p.m. EDT**. Please see “How to Apply/Application Submission” for more information.

## Late submissions

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

## Experiencing unforeseen COPS Office Online Application System technical issues

If you experience unforeseen COPS Office Online Application System technical issues beyond your control, which prevent you from submitting your application by the deadline, **please immediately contact the COPS Office Response Center at 1-800-421-6770 to create a record of the issue. You will need to provide the following information to the COPS Office Response Center:**

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

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

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

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

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



## Extraordinary natural or manmade disasters

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

Applicants will need to follow the directions below:

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

The email message must be sent by the deadline or as soon as possible given the specific emergency. The COPS Office will respond to each applicant as soon as possible with further instructions.

# Eligibility Requirements

The COPS Office STOP School Violence: School Violence Prevention Program (SVPP) solicitation is open to all states, units of local government, and Indian tribes. Applicants are strongly encouraged to submit an application that demonstrates a comprehensive approach to school safety. Pursuant to 34 U.S.C. §§ 10552(a)(1)–(2), each application shall:

- (1) Include a detailed explanation of –
  - a. the intended uses of funds provided under the SVPP ; and
  - b. how the activities funded under the SVPP will meet the purposes identified under section 34 U.S.C. § 10551(b)(5)–(9):
    - Coordination with local law enforcement;
    - Training for local law enforcement officers to prevent student violence against others and self;
    - Placement and use of metal detectors, locks, lighting, and other deterrent measures;
    - Acquisition and installation of technology for expedited notification of local law enforcement during an emergency; or
    - Any other measure that the director of the COPS Office determines may provide a significant improvement in security.
- (2) Be accompanied by an assurance that the application was prepared after consultation with individuals not limited to law enforcement officers (such as school violence researchers/academics, licensed mental health professionals, social workers, teachers, principals, and other school personnel) to ensure that the improvements to be funded under the grant are –
  - a. consistent with a comprehensive approach to preventing school violence; and
  - b. individualized to the needs of each school at which those improvements are to be made.

**As part of your application, your agency will be required to answer questions directly related to this statutory assurance. Applicants that do not provide this assurance will be deemed ineligible. Your responses regarding the assurance questions and other program eligibility questions will assist our office in determining your agency's eligibility.**

For additional information, please contact your COPS Office Grant Program Specialist by calling the COPS Office Response Center at 800-421-6770.

## Program-Specific Information

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

### Program goal

SVPP is designed to provide funding to improve security at schools and on school grounds in the jurisdiction of the grantee through evidence-based school safety programs. FY 2018 funding may be used for coordination with local law enforcement, training for local law enforcement officers to prevent school violence against others and self, placement and use of metal detectors, locks, lighting, and other deterrent measures, acquisition and installation of technology for expedited notification of local law enforcement during an emergency, and any other measure that, in the determination of the COPS Office Director, may provide a significant improvement in security. Funding is limited and this solicitation is expected to be very competitive.

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

The SVPP award is two years (24 months) in duration and provides a maximum federal share of \$500,000. Applicants are required to contribute a local cash match of a minimum of **25 percent** towards the total cost of the approved project during the award period. Your agency must maintain records which clearly demonstrate the source of local matching funds, the amount of the match, and when the match is contributed.

The COPS Office will review reasonable requests made for no-cost time extensions in the event that all funds awarded have not been expended within the two-year award period. SVPP recipients will be provided an opportunity to extend approximately 90 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 grant period end date.

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

### Federal funding: Allowable and unallowable costs

#### Allowable costs: Fundable requests

All items requested will be considered on a case-by-case basis during the budget review process. Items under the program must be purchased in accordance the requirements set forth by the STOP School Violence Act of 2018, as amended (34 U.S.C. § 10551 et seq.). In addition, each item must programmatically link to the SVPP activities described in your application. To the maximum practicable extent, all equipment and products purchased with these funds must be American-made. All applicants are required to explain their inability to address the need for this award without federal assistance in their application. Applicants may request allowable improvements for which they have a demonstrated financial need that support a comprehensive approach to preventing school violence and are individualized to the needs of each impacted school.”

The allowable uses of SVPP funds include the following:

- Acquisition and installation of technology for expedited notification (to law enforcement) during an emergency
- Coordination with local law enforcement
- Placement and use of metal detectors, locks, lighting, and other deterrent measures
- Training for local law enforcement officers to prevent school violence
- Any other measure that the COPS Office Director determines may provide a significant improvement in security

Budget requests may be made in the categories described in the following sections:

*Coordination—Civilian/Nonsworn personnel (salaries and benefits)*

Civilian staff must be hired on or after the award start date and positions must directly relate to the SVPP project. Examples of allowable personnel and fringe benefits costs include those for project coordinators, project managers, technology managers, emergency management coordinators, or trainers.

The COPS Office will only pay for fringe benefits listed below.

- Health insurance
- Life insurance
- Medicare taxes (disability insurance taxes)—The current tax rate for Medicare is 1.45% for the employers' match portion
- Retirement pension
- Sick leave (if not included in base salary—calculate using 8-hour workday)
- Social Security taxes (old age, survivors, and disability insurance taxes)—The current tax rate is 6.2% for the employers' match portion
- Unemployment Insurance
- Vacation (if not included in base salary—calculate using 8-hour workday)
- Workers' Compensation

Other fringe benefit costs (must be described in the Narrative field of Section B Budget Detail Worksheet):

- 401(k) plan
- Accident insurance
- Accidental death and dismemberment insurance
- Bonding insurance
- Dental insurance
- Disability insurance
- Federal Unemployment Tax Act (FUTA) tax
- Holiday pay (if not included in base salary—calculate using 8-hour workday)
- Liability insurance
- Prescription drugs

- Professional liability insurance
- State funded retirement system
- Vision insurance

**Please note: Allowable overtime costs, if requested, must be included within the “Other costs” budget category.**

### *Equipment/Technology*

Equipment and/or technology items must be clearly linked to the enhancement or implementation of the SVPP project. Examples of such items may include the following:

#### *Equipment*

- Entry Control Equipment
  - Door locking mechanisms/access control doors
  - Peepholes for classroom doors
- School site alarm and protection systems—Motion detectors
- Metal detectors and X-ray machines (including portable)
  - Hand held
  - Walk through
- Lighting (on school grounds, not involving construction)

#### *Technology*

- Communication technology
  - Emergency call boxes
  - Intercom or public address (PA) system
  - Panic and immediate alarm notification systems
  - Two-way radios
- Emergency alerts—Automated text messages or email
- Identification technology—ID scanning devices (and accompanying equipment)
- Laptops (directly related to SVPP)
- Maps of schools/bus routes—GIS Software
- Printers (directly related to SVPP)
- Social media monitoring—Automated scans of online content
- Tracking systems—Smart phone applications
- Video surveillance technology—Surveillance cameras and/or systems (and accompanying equipment)
- Violence prediction technology—Data driven software

### *Supplies*

Generally, supplies include any materials that are expended or consumed during the course of the SVPP project. Such costs may include training manuals, paper, printer ink, pens, postage, etc. All supply items must be directly related to the SVPP project.

## *Travel/Training*

Travel/training costs include grant-related travel costs for the grantee to visit other jurisdictions engaged in similar programs or to attend conferences/trainings directly related to the goals of the project. Expenses for transportation, lodging, meals, and incidental expenses (if travel is more than 50 miles from the program location) will be reviewed in accordance with applicable regulations and guidelines as part of the application process. An example of such training would be school violence prevention training for law enforcement officers.

## *Contracts/Consultants*

Consultant expenses and contracts include goods or services that directly contribute to the implementation or enhancement of the SVPP project. The use of a consultant should be more economical than direct employment. Contract/consultant costs may include costs to provide one-time training to staff for equipment operation/usage and contracting/consulting services that provide such things as needs analysis, installation, and testing. Compensation for individual consultant services procured under a COPS Office award must be reasonable and allocable in accordance with 2 C.F.R. Part 200, Subpart E- Cost Principles, and consistent with that paid for similar services in the marketplace.

Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$650 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 will be made on a case-by-case basis.

## *Other costs*

Other costs may include such items as software and prepaid warranties or maintenance agreements (not to exceed 24 months), overtime costs for civilian or law enforcement personnel engaging in SVPP-related activities (not to exceed 20% of the awarded budget), or other miscellaneous items that have a direct correlation to the overall success of a recipient's project objectives (such as awareness campaigns) and are necessary for the project to reach full implementation.

- Fringe benefits for sworn law enforcement personnel
  - FICA
  - workers comp
  - unemployment comp.
- Shipping costs (state of Alaska only)
- School safety assessments

Applicants must provide sufficient explanation for items requested via the "Budget Narrative" section of this application. Applicants will be notified of any points of clarification the COPS Office may require.

In addition, any training manuals or publication materials developed and/or purchased with award funds must contain the following statement: "This project was supported, in whole or in part, by grant number 2018-XX-XX-XXXX awarded by the U.S. Department of Justice, Office of Community Oriented Policing Services. The opinions contained herein are those of the author(s) or contributor(s) and do not necessarily represent the official position

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

### *Subawards*

In addition, the awarded entity may use funds to contract or make subawards (for the purposes detailed in this section) to the following:

- Local educational agencies
- Nonprofit organizations (excluding schools)
- Units of local government or tribal organizations

### Unallowable costs: Requests will not be funded

The items listed below are generally considered unallowable, and will only be funded under *extremely limited and extenuating circumstances* and at the discretion of the COPS Office. Before including any of these items in your budget and application, please contact your COPS Office Grant Program Specialist at (800) 421-6770.

This is not an exhaustive list and items not listed below will be reviewed on a case-by-case basis. The COPS Office reserves the right to deny funding for items not included on this list. Applicants are expected to request items that show a direct link between the requested item and the applicant’s SVPP project. All requests must contribute directly to the specific purpose of the award project and relate to the parameters stipulated in the STOP School Violence Act of 2018, Consolidated Appropriations Act, 2018, Public Law 115-141, Division S—Other matters, Title V., as amended at 34 U.S.C. § 10551(b)(5)–(9)

*Requests for reimbursement of items purchased or expenses incurred prior to the award start date will not be funded.*

### *Sworn personnel*

- Salaries and benefits of sworn officers

### *Coordination—Civilian/Nonsworn personnel*

- Salaries and benefits of civilian security guards
- Salaries and benefits of staff or other personnel who do not directly contribute to the implementation of the project

**Please note: Restrictions on overtime costs are listed under “Other costs.”**

### *Equipment/Technology*

- Armored vehicles
- Bicycles
- Body wire equipment
- Bulletproof vests and accessories
- Bunker shield(s)
- Cellular or satellite phone airtime

- Communications towers
- Dictation systems
- Fitness equipment
- General police vehicles (including patrol cars and leased vehicles)
- Firearms
- Handcuffs, weapons, and ammunition (including training ammunition)
- Incentives for research and/or participation in program activities
- Office equipment (copiers, fax machines, etc.)
- Pagers (including service time)
- Phone lines and voicemail systems
- Prisoner transport vehicles
- Radar guns/equipment
- Standard issue police vehicle equipment (including light bars, cages, and siren packages)
- Stun guns or electroshock devices
- Televisions /VCRs/DVD players/projectors
- Trinkets and other conference takeaways
- Unmanned aircraft systems (also commonly referred to as unmanned aerial vehicles or “drones”)
- Weaponized aircraft and vessels and weaponized vehicles of any kind
- Equipment/technology not directly linked to the SVPP award

### *Supplies*

- Standard office supplies not directly linked to the SVPP project

### *Travel/Training*

- Firearms training
- Local travel costs (lodging, meals, per diem, or transportation costs) within a 50-mile radius of the program location
- Meals and/or refreshment costs associated with trainings
- Mileage reimbursement, rental cars, parking fees, and/or taxi fare for local travel
- Travel/training not directly related to the SVPP award

### *Contracts/Consultants*

- Any consultant fees in excess of \$650 per day must receive prior written approval from the COPS Office, contingent upon written justification by the recipient, if the consultant or contractor is hired through a noncompetitive bidding process
- Contractual agreements that cannot be directly linked to the SVPP award
- 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)



## *Other*

- Animals
- Construction and renovation costs
- Fencing/gates
- Freight/shipping
- Fringe benefits
- Severance pay
- Hazard pay
- Non-holiday premium pay
- Indirect costs
- Office rental/lease space
- Overtime for personnel not directly involved in the department's project or that which exceeds 20 percent of the total award budget
- Other costs not directly related to the SVPP award
- Standard office furniture
- Standard or dress uniforms/uniform accessories

## Financial Management and System of Internal Controls

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

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that the recipient 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 or the "Internal Control Integrated Framework," issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor the recipient's compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency designates as sensitive or the recipient considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

## Administrative Actions and Legal Remedies Related to Federal Awards

Please be advised that a hold may be placed on any application if it is deemed that the applicant agency is not in good standing on other U.S. Department of Justice awards, has other award compliance issues that would make the applicant agency ineligible to receive COPS Office funding, and/or is not cooperating with an ongoing U.S. Department of Justice award review or audit. 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 COPS Office funds and/or failure to comply with all COPS Office award requirements may result in suspension or termination of award funds, the repayment of award funds, and/or other remedies available by law.

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

## Monitoring, reporting, and evaluation requirements

### Monitoring

Federal law requires that recipients receiving federal funding from the COPS Office be monitored to ensure compliance with their award conditions and other applicable statutory regulations. 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, but not limited to, site visits, enhanced office-based award reviews, alleged noncompliance reviews, financial and programmatic reporting, and audit resolution.

Through these monitoring efforts, the COPS Office may seek information including, but not limited to, your agency's compliance with programmatic and financial requirements of the award and your agency's progress toward achieving your project's strategies. Program and Monitoring Specialists as well as Auditors are particularly interested in confirming that the purchase of items and services is consistent with the applicant's approved award budget as reflected on the Financial Clearance Memorandum and Final Funding Memorandum. All COPS Office recipients will be required to participate in award monitoring activities of the U.S. Department of Justice including, but not limited to, reviews conducted by the COPS Office, the Office of the Inspector General, or any entity designated by the COPS Office.

### Reporting

If awarded, all recipients will be required to electronically submit quarterly Federal Financial Reports using the Standard Form 425 (SF-425) 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 drawdown SVPP award funds. Recipient should be prepared to track and report SVPP award funding separately from other funding sources (including other COPS Office federal awards) to ensure accurate financial and programmatic reporting on a timely basis. Recipients should ensure that they have financial internal controls in place to monitor the use of SVPP funding and ensure that its use is consistent with the award terms and conditions. Good stewardship in this area includes written accounting practices, and use of an accounting system that tracks all award drawdowns and expenditures. *Failure to submit complete reports or submit them in a timely manner may result in the suspension and possible termination of a recipient's COPS Office award funding or other remedial actions.*

In addition, if awarded, all recipients will be required to electronically submit quarterly progress reports and a final progress report. In addition, recipients will be responsible for the timely submission of a final Closeout Report and any other required final reports.

The COPS Office will notify recipients when the progress report is due and provide instructions for submission. By accepting a SVPP award, recipients agree to cooperate with and respond to any requests for information pertaining to their SVPP award.

## Evaluation

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

# Performance Measures

To assist in fulfilling the U.S. Department of Justice's (DOJ) responsibilities under the Government Performance and Results Modernization Act (GPRAMA) of 2010, P.L. 111-352, recipients who receive funding from the Federal Government must measure the results of work that funding supports. GPRAMA 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 SVPP are as follows:

| Objective   | Performance measures  | Data recipient provides   |
|---|---|---|
| Increase the capacity of states, units of local government and Indian tribes to implement strategies that improve security at schools and on school grounds through funding for personnel, technology, equipment, and training. | Extent to which COPS Office award funding (e.g., personnel, equipment, training, etc.) has increased your agency's capacity to implement or enhance school safety?                                      | Periodic progress reports providing an overview of how the SVPP award improved security at schools and on school grounds. |
| Extent to which COPS Office funding has increased your agency's capacity to implement or enhance school safety?   | Recipients will rate the effectiveness of the COPS Office funding in increasing their capacity to improve school safety. Data will be collected on a periodic basis through recipient progress reports. |   |

As part of the programmatic progress report, SVPP recipients will be required to report on their progress toward improving and implementing evidence-based school safety strategies and programs. SVPP recipients will also be required to describe how the personnel, technology, equipment, and/or training requested will assist in this goal.

Based on the data collected from recipients, the COPS Office may make improvements to SVPP to better meet the program's objective and recipients' 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, 2015, 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-SVPP-Application-2018).   | <input type="checkbox"/> |
| Upon receipt of an email 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 an SVPP 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-SVPP-Application-2018. Once the SF-424 has been submitted, applicants will receive an email from the COPS Office with instructions on completing the second part of the SVPP 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 email.
- 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. The Department of Justice 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).

## Register or Update an Account in the COPS Office Account Access

**Estimated timeframe: up to one business day**

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

- Government Executive (GE)

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

## Obtaining a Data Universal Numbering System (DUNS) number

The Federal Government requires that all applicants for 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 an award may be sufficient.
- You should verify that you have a DUNS number or take the steps needed to obtain one as soon as possible, if there is a possibility you will be applying for future federal awards. There is no need to wait until you are submitting a particular application.
- **If you already have a DUNS number.** If you, as the entity applying for a federal award or cooperative 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 award 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. If you are trying to register a new entity at [www.sam.gov](http://www.sam.gov), you must provide a notarized letter stating that you are the authorized entity administrator before your SAM.gov entity registration will be activated. Please note that the notarized letter process is now applicable to both new and existing registrations.

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/ In individual account is required to manage entity registrations in SAM. You will not be able to manage your registration unless you create a system account in SAM. Once you validate that you have access to the email address you provided during the registration process and login, you will see a message on the user dashboard (My SAM) that will ask you, "Would you like to migrate a legacy system account?" Click "Yes" to begin the migration process.



Alternatively, you may click on “Manage My User Roles,” then on “Migrate Legacy Account” link to begin the migration process. The roles you had with the legacy system will be mapped to your SAM account.

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

*Step 1.*

Go to the SAM homepage ([www.sam.gov](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 the appendices 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 <https://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).

## Helpful online resources

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

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

## Audit requirement

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 C.F.R. Part 200, Subpart F – Audit Requirements, available at [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl), establish the requirements for organizational audits that apply to COPS Office award recipients. Recipients must arrange for the required organization-wide (not award-by-award) audit in accordance with the requirements of Subpart F.

## Civil rights

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

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

The DOJ regulation, Partnerships with Faith-Based and Other Neighborhood Organizations, 28 C.F.R. Part 38, prohibits all recipient organizations from using financial assistance from the Department of Justice to fund explicitly religious activities including worship, religious instruction, or proselytization. Recipients and subrecipients may provide services or benefits to faith-based private schools but may not use SVPP funding for explicitly religious activities.

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

Donte Turner  
U.S. Department of Justice, COPS Office  
202-616-9427 or [Donte.Turner@usdoj.gov](mailto: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.

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

All applications submitted to the COPS Office (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request if DOJ determines that the responsive information is protected from disclosure under the Privacy Act or falls within the scope of one or more of the nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to the FOIA not to release some or all portions of an application/award file. In its review of records that are responsive to a FOIA request, the COPS Office will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, the COPS Office will request the views of the applicant/recipient that submitted a responsive document. For example, if the COPS Office receives a request pursuant to the FOIA for an application submitted by a nonprofit organization, for-profit organization, or an institution of higher education, or a request for an application that involves research, the COPS Office typically will contact the applicant/recipient that submitted the application. The COPS Office ask the applicant/recipient to identify -- quite precisely -- any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, the COPS Office makes an independent assessment regarding withholding information.

## Award Terms and Conditions/Funding restrictions/Administrative Requirements

### Terms and Conditions

The following section describes all of the compliance terms and conditions that applicants should be aware of before applying to COPS Office programs. Table 1 further defines which of the requirements are applicable to the program for which you are applying. Please review each section carefully. The signatures of the applicant's Government Executive on section 17: Reviews and Certifications assure the COPS Office that your agency will comply with all legal and administrative requirements that govern the acceptance of the COPS award and use of federal award funds.

**Table 1. Compliance terms and conditions**

Key: Y = Yes; N = No

| <b>FY 2018 Program</b>  | <b>SVPP</b>       |
|---|-------------------|
| I. U.S. Department of Justice Certified Standard Assurances   | Y                 |
| II. U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters and Drug-Free Workplace Requirements | Y                 |
| III. Disclosure of Lobbying Activities  | Y (if applicable) |
| IV. Supplementing, Not Supplanting  | N                 |
| 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                 |

| <b>FY 2018 Program</b>   | <b>SVPP</b> |
|--|-------------|
| 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 Under Federal Awards   | Y           |
| XII. Prior Approval Planning and Reporting of Conference/Meeting/Training Costs                              | Y           |
| XIII. Curriculum Development   | N           |
| XIV. Restriction on Internal Confidentiality Agreements  | Y           |
| XV. Mandatory Disclosure   | Y           |
| XVI. Debarment and Suspension  | Y           |
| XVII. Recipient Integrity and Performance Matters  | Y           |
| XVIII. False Statements  | Y           |
| XIX. Duplicative Funding   | Y           |
| XX. Additional High-Risk Recipient Requirements  | Y           |
| XXI. Modification  | Y           |
| XXII. Evaluations  | N           |
| XXIII. Allowable Costs   | Y           |
| XXIV. Local Match  | Y           |
| XXV. Equal Employment Opportunity Plan   | Y           |
| XXVI. Employment Eligibility   | Y           |
| XXVII. Enhancement of Contractor Protection from Reprisal for Disclosure of Certain Information              | Y           |
| XXVIII. Federal Civil Rights   | Y           |
| XXIX. Conflict of Interest   | Y           |
| XXX. Reports/Performance Goals   | Y           |
| XXXI. Extensions   | Y           |
| XXXII. Computer Network Requirement  | Y           |
| XXXIII. Award Monitoring Activities  | Y           |
| XXXIV. Community Policing  | N           |
| XXXV. Retention  | N           |
| XXXVI. Contracts and/or MOUs with Other Jurisdictions  | Y           |
| XXXVII. Travel Costs   | Y           |
| XXXVIII. State Information Technology Point of Contact   | Y           |
| XXXIX. Public Release Information  | Y           |
| XL. News Media   | Y           |
| XLI. Paperwork Reduction Act Clearance and Privacy Act Review  | Y           |
| XLII. Copyright  | Y           |
| XLIII. Human Subjects Research   | N           |
| XLIV. Compliance with 8 U.S.C. § 1373  | N           |
| XLV. School Safety Assessments   | Y           |
| XLVI. Information Sharing with Law Enforcement   | Y           |

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

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

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

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

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

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

**IV. Nonsupplanting Requirement—Not applicable under SVPP**

**V. Procurement and Sole Source Justification**

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

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

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

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

Requests for sole source procurements of equipment, technology, or services in excess of \$150,000 must be submitted to the COPS Office in writing certifying that the award of the contract through full and open competition is infeasible. The sole source procurement request must be 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. The COPS Office authorizes noncompetitive proposals in response to a written request from the award recipient.
4. 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 budget breakdown for the contract.

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

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

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

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

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

If your agency is receiving COPS Office funding for equipment or technology that will be used to operate an interjurisdictional criminal intelligence system, you must agree to comply with the operating principles found at 28 C.F.R. Part 23. An interjurisdictional criminal intelligence system is generally defined as a system that receives, stores, analyzes, exchanges, or disseminates data regarding ongoing criminal activities (such activities may include loan sharking, drug or stolen property trafficking, gambling, extortion, smuggling, bribery, and public corruption) and shares these data with other law enforcement jurisdictions. 28 C.F.R. Part 23 contains operating principles for these interjurisdictional criminal information systems that protect individual privacy and constitutional rights. If you are simply using the COPS Office funds to operate a single agency database (or other unrelated forms of technology) and will not share criminal intelligence data with other jurisdictions, 28 C.F.R. Part 23 does not apply to this award.

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

## VIII. Community Policing Self-Assessment Tool (CP-SAT) - Not applicable under SVPP

## 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 J.

## 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 the appendices of this guide.

## XI. Contract Provision under Federal Award

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

For the full text of 2 C.F.R. Part 200, Appendix II to Part 200, please refer to the appendices of this guide.

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

Recipients are required to obtain written approval from the COPS Office prior to entering into any contract, agreement, or other obligation for costs related to any conference, meeting, retreat, seminar, symposium, training activity, or similar event funded under this award. For more information on allowable costs, please visit [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm).

## XIII. Curriculum Development - Not applicable under SVPP

## 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 of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information. Consolidated Appropriations Act, 2018, Public Law 115-141, Division E, Title VII, Section 743



## XV. Mandatory Disclosure

Recipients and subrecipients are required to timely disclose in writing to the COPS Office or pass-through entity, as applicable, all federal criminal law violations involving fraud, bribery, or gratuity that may potentially affect the awarded federal funding. Recipients agree to report certain civil, criminal, or administrative proceedings in SAM, if it received an award with the Term and Condition for Recipient Integrity and Performance Matters as outlined in 2 C.F.R. Part 200, Appendix XII to Part 200. Failure to make required disclosures can result in any of the remedies, including suspension and debarment, described in 2 C.F.R. § 200.338.

## XVI. Debarment and Suspension

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

## 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 the appendices of this guide.

## XVIII. False Statements

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

## XIX. Duplicative Funding

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

## XX. Additional High-Risk Funding 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 recipient (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. § 200.207).

## XXI. Modifications

Occasionally, a change in an agency's fiscal situation necessitates a change in its COPS Program award. Award modifications are evaluated on a case-by-case basis in accordance with 2 C.F.R. § 200.308. For federal awards in excess of \$150,000, any modification request involving the reallocation of funding between budget categories that exceed or are expected to exceed 10 percent of the total approved budget requires prior written approval by the COPS Office. Regardless of the federal award amount or budget modification percentage, any reallocation of funding is limited to approved budget categories. In addition, any budget modification that changes the scope of the project requires prior written approval by the COPS Office. In addition, all modification requests involving new

budget items must be approved, in writing, by the COPS Office prior to their implementation. In addition, please be aware that the COPS Office will not approve any modification request that results in an increase of federal funds.

## XXII. Evaluations—Not applicable under SVPP

## XXIII. Allowable Costs

The funding under this award is for the payment of approved costs identified in the Financial Clearance Memorandum (FCM).

## XXIV. Local Match

SVPP award recipients are required to contribute a local match of at least 25 percent towards the total cost of the approved award project, unless waived in writing by the COPS Office. The local match must be a cash match and must be paid during the award period. The local match contribution must be made on an increasing basis during each year of the two-year award period, with the federal share decreasing accordingly. 34 U.S.C. § 10551(f).

## XXV. Equal Employment Opportunity Plan

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

## XXVI. Employment Eligibility

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

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

Recipients agree not to discharge, demote, or otherwise discriminate against an employee as reprisal for the employee disclosing information that he/she reasonably believes is evidence of gross mismanagement of a Federal contract or award, a gross waste of Federal funds, an abuse of authority relating to a Federal contract or award, 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 award. 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 G in this Application Guide for a full text of the statute.

## XXVIII. Federal Civil Rights

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

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

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

## XXIX. Conflict of Interest

Recipients must disclose in writing to the COPS Office or pass-through entity, as applicable, any potential conflict of interest affecting the awarded federal funding in accordance with 2 C.F.R. § 200.112.

## XXX. Reports/Performance Goals

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

## XXXI. Extensions

Recipients may request an extension of the award period to receive additional time to implement their award program. Such extensions do not provide additional funding. Awards may be extended a maximum of 24 months beyond the initial award expiration date. Any request for an extension beyond 24 months will be evaluated on a case-by-case basis. Only recipients that can provide a reasonable justification for delays will be granted no-cost extensions. Reasonable justifications may include technology implementation delays, procurement challenges,

change in administration, staff turnover of key award/award-funded personnel, training delays, hiring and recruitment delays or other circumstances that interrupt the 24-month award funding period. An extension allows recipient to compensate for such delays by providing additional time to complete the full 24 months of funding.

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. Consolidated Appropriations Act, 2018, Public Law 115-141, Division B, Title II, Section 531.

## XXXIII. Award Monitoring Activities

Federal law requires that recipients receiving federal funding from the COPS Office must be monitored to ensure compliance with their award conditions and other applicable statutory regulations. 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. This includes all financial records, such as general accounting ledgers and all supporting documents. All information pertinent to the implementation of the award is subject to agency review throughout the life of the award, during the close-out process and for three-years after submission of the final expenditure report. 2 C.F.R. § 200.328, and 2 C.F.R. §§ 200.333 and 200.336

## XXXIV. Community Policing—Not applicable under SVPP

## XXXV. Retention—Not applicable under SVPP

## XXXVI. Contracts and/or MOUs with Other Jurisdictions

Equipment, technology, training, vehicles, and civilian positions, awarded may only be used for activities or services that exclusively benefit the recipient and the population that it serves.

## XXXVII. Travel Costs

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

## XXXVIII. State Information Technology Point of Contact

Recipients agree to ensure that the appropriate State Information Technology Point of Contact receives written notification regarding any information sharing or technology project funded by a COPS Office award. This is to facilitate communication among local and state governmental entities regarding various information technology

projects being conducted with these award funds. In addition, recipients agree to maintain an administrative file documenting the meeting of this requirement. For a list of State Information Technology Points of Contact, go to <https://it.ojp.gov/default.aspx?area=policyAndPractice&page=1046>.

### XXXIX. Public Release Information

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

This project was supported, in whole or in part, by award number 2018-XX-XX-XXXX awarded by the U.S. Department of Justice, Office of Community Oriented Policing Services. The opinions contained herein are those of the author(s) or contributor(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice. References to specific individuals, agencies, companies, products, or services should not be considered an endorsement by the author(s), the contributor(s), or the U.S. Department of Justice. Rather, the references are illustrations to supplement discussion of the issues.

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

### XXL. 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.

### XXLI. Paperwork Reduction Act Clearance and Privacy Act Review

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

### XXLII. Copyright

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

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

### **XXLIII. Human Subjects Research—Not applicable under SVPP**

### **XXLIV. Compliance with 8 U.S.C. 1373—Not applicable under SVPP**

### **XXLV. Comprehensive School Safety Assessments**

Applicants who are awarded funding through the COPS Office School Violence Prevention Program must conduct comprehensive school safety assessments for all schools involved in the funded project within the 24-month grant implementation period. It is best to complete the assessments as soon as possible as they can be used as strategic evaluation tools to identify school safety issues and potential resolutions. This special condition can be waived for awardees who can demonstrate that comprehensive school safety assessments have already been performed or updated within the previous three years. The COPS Office will be monitoring SVPP grants to ensure recipients comply with this condition. For more information about this special condition, please call the COPS Office Grant Program Specialist via the COPS Office Response Center at 800-421-6770.

### **Information Sharing with Law Enforcement**

Awardees will be required to ensure that schools within their jurisdiction will share school threat information and data with the appropriate local law enforcement agencies. For more information about this special condition, please call the COPS Office Grant Program Specialist via the COPS Office Response Center at 800-421-6770.

### **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 narrative review process.

Peer reviewers will be reviewing the applications submitted under this program that meet eligibility and basic minimum requirements. Applications that meet eligibility and basic minimum requirements will be evaluated and ranked by reviewers. Applications will be evaluated according to financial need, security needs, and the proposed project within the narrative attachment. Project Narratives will be reviewed and evaluated based on the following:

1. School Safety Planning and Assessment efforts
2. Funding Request and Integration
3. Management and Implementation Plan
4. Sustainability Plan

Successful applications will identify and describe the problem in detail using relevant facts, statistics, or other supporting information as well as provide a budget that is complete, allowable, supports the total cost of the project, and directly relates to and supports the activities described in the proposal.

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.

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

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

## 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" tab in the upper right corner to log in, review, and electronically sign the award document (including award terms and conditions) and, if applicable, the special award conditions or high risk conditions within 90 days of the date shown on the award congratulatory letter, unless an extension is requested and granted.

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

For more information, please contact the COPS Office Response Center at [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov) or 800-421-6770.

## *The award document*

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

The award document is preprinted with your agency's government executive's name. 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" tab. If the government official has changed since the time of application, please have the current government executive for your agency create an account through the "Account Access" tab, log in, and electronically 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 means that your agency may be reimbursed for any allowable costs incurred on or after this date. The duration of your SVPP award is 24 months of funding for each award.

Your award number is in the following format: 2018-SVWX-0000 for awards funded in FY 2018. 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, and if applicable, the Award Document Supplement. By accepting this award, you are obtaining federal funds from the COPS Office. As part of that agreement, if awarded, your agency will acknowledge that it will comply with these conditions (and, if applicable, additional special conditions or high risk conditions specific to your agency in the Award Document Supplement).

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

## **Administrative and national policy requirements**

If selected for funding, in addition to implementing the funded project consistent with the approved project proposal and budget, the recipient must comply with the STOP School Violence Act of 2018, as amended 34 U.S.C. § 10551 et seq., the 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.



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 22.

## 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 “Student, Teachers, and Officers Preventing (“STOP”) School Violence Act of 2018, as amended 34 U.S.C. § 10551 et seq., 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 documents and sections for SVPP applications*

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. This financial review will be conducted by the COPS Office staff or in collaboration with the narrative review process.

Reviewers will be reviewing the applications submitted under this program that meet eligibility and/or basic minimum requirements. Each program may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. Applications that meet eligibility and basic minimum requirements will be evaluated and ranked by reviewers.

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

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

- Project Narrative (must be submitted as an attachment in section 13)
- Budget Narrative (must be submitted as an attachment in section 13)
- Budget Detail Worksheets (section 14)

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 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.

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.

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.

Table 2 shows the required documentation that must be completed and submitted for your application to be considered complete. Failure to submit all required documentation at the time of 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.

**Table 2. Required application documents and sections for SVPP**

| <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. Background Information and Need for Improved Security   | Yes (section 6C only)                            | <input type="checkbox"/> |
| Section 7. Need for Federal Assistance   | Yes (section A only)                             | <input type="checkbox"/> |
| Section 8. Continuation of Project after Federal Funding Ends  | Yes (section B only)                             | <input type="checkbox"/> |
| Section 9. School Safety Assessment  | No   | <input type="checkbox"/> |
| Section 10. Project Abstract   | Yes  | <input type="checkbox"/> |
| Section 11. Project Description (Narrative)  | No (submitted under section 13 as an attachment) | <input type="checkbox"/> |
| Section 12. Official Partner(s) Contact Information  | Yes  | <input type="checkbox"/> |
| Section 13. Application Attachments  | Yes  | <input type="checkbox"/> |
| Project narrative (required)   | Yes  | <input type="checkbox"/> |
| Budget narrative (required)  | Yes  | <input type="checkbox"/> |
| Sole source justification (if applicable)  | Possible   | <input type="checkbox"/> |
| Consultant rate justification (if applicable)  | Possible   | <input type="checkbox"/> |
| State or local Government Subrecipient Certification(s) of Compliance with 8 U.S.C. § 1373 (if applicable)   | No   | <input type="checkbox"/> |
| Section 14. Budget Detail Worksheets   | Yes  | <input type="checkbox"/> |
| 14A Part 1. Sworn officer positions  | No   | <input type="checkbox"/> |
| 14A Part 2. Sworn officer salary information   | No   | <input type="checkbox"/> |
| 14A Part 3. Federal/Local share costs (hiring)   | No   | <input type="checkbox"/> |
| 14B. Civilian or Nonsworn personnel  | Possible   | <input type="checkbox"/> |
| 14C. Equipment/Technology  | Possible   | <input type="checkbox"/> |
| 14D. Supplies  | Possible   | <input type="checkbox"/> |
| 14E. Travel/Training/Conferences   | Possible   | <input type="checkbox"/> |
| 14F. Contracts/Consultants   | Possible   | <input type="checkbox"/> |
| 14G. Other costs   | Possible   | <input type="checkbox"/> |
| 14H. Indirect costs  | No   | <input type="checkbox"/> |
| Budget summary   | Yes  | <input type="checkbox"/> |
| 15A. U.S. Department of Justice Certified Standard Assurances  | Yes  | <input type="checkbox"/> |
| 15B. U.S. Department of Justice Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters And Drug-Free Workplace Requirements | Yes  | <input type="checkbox"/> |

| <b>Application documents and sections</b>                     | <b>Required? Yes, No, or Possible</b> | <b>Completed?</b>        |
|---|---------------------------------------|--------------------------|
| Section 16A. Disclosure of Lobbying Activities                | Possible                              | <input type="checkbox"/> |
| Section 16B. Certification of Compliance with 8 U.S.C. § 1373 | No                                    | <input type="checkbox"/> |
| Section 16C. Certification of Illegal Immigration Cooperation | No                                    | <input type="checkbox"/> |
| Section 17. Reviews and Certifications                        | Yes                                   | <input type="checkbox"/> |
| Section 18. Application Data Verification                     | Possible                              | <input type="checkbox"/> |

Please note: When completing this application online, the system will time out after 20 minutes of inactivity. To prevent any loss of information, applicants are advised to save their information frequently. When completing sections where you are required to provide a significant amount of narrative or other information, the COPS Office suggests that you complete your response in a separate document offline and then paste it into the application.

*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 32 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.
    - Increase award
    - Decrease award
    - Increase duration
    - Decrease duration
    - Other (specify)
3. **Date Received.** Leave this field blank. This date will be assigned by the federal agency.
  4. **Applicant Identifier,** Enter the entity identifier assigned by the federal agency, if any, or the applicant’s control number if applicable.
  - 5a. **Federal Entity Identifier.** Enter the number assigned to your organization by the federal agency, if any.
  - 5b. **Federal Award Identifier.** For new applications, leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.
  6. **Date Received by State.** Leave this field blank. This date will be assigned by the state, if applicable.
  7. **State Application Identifier.** Leave this field blank. This identifier will be assigned by the state, if applicable.
  8. **Applicant Information.** Enter the following in accordance with agency instructions:
    - a. *Legal name* (required). Enter the legal name of the applicant who will undertake the assistance activity. This is what the organization has registered with the System for Award Management. Information on registering with SAM may be obtained by visiting the Grants.gov website.
    - b. *Employer/Taxpayer number (EIN/TIN)* (required). Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the United States, enter 44-4444444.
    - c. *Organizational DUNS* (required)/ Enter the organization’s DUNS or 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 email address (required) of the person to contact on matters related to this application.
  9. **Type of Applicant** (required). Select up to three applicant type(s) in accordance with agency instructions.
    - State government
    - County government
    - City or township government Special District government Regional Organization
    - U.S. Territory or possession Independent school district
    - Public/state controlled institution of higher education Indian/Native American Tribal Government (federally recognized)

- Indian/Native American Tribal Government (other than federally recognized) Indian/Native American tribally designated organization
  - Public/Indian housing
  - Nonprofit
  - Private institution of higher education
  - Individual
  - For-profit organization (other than small business)
  - Small business
  - Hispanic-serving institution
  - Historically Black colleges and universities (HBCU)
  - Tribally controlled colleges and universities (TCCU)
  - Alaska Native and Native Hawaiian serving institutions
  - Nondomestic (non U.S.) entity
  - Other (specify)
10. **Name of Federal Agency** (required). Enter the name of the federal agency from which assistance is being requested with this application.
11. **Catalog of Federal Domestic Assistance Number/Title**. Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12. **Funding Opportunity Number/Title** (required). Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13. **Competition Identification Number/Title**. Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
14. **Areas Affected by Project**. List the areas or entities using the categories (e.g., cities, counties, states) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
15. **Descriptive Title of Applicant's Project** (required). Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
16. **Congressional Districts Of** (required).
- 16a. Enter the applicant's congressional district, 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 email address (required) of the person authorized to sign for the applicant. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office (certain federal agencies may require that this authorization be submitted as part of the application)

## Section 1. COPS Office program request

Please ensure that the correct program box is checked. If you plan to apply for other COPS Office programs, a separate application must be completed for each COPS Office program for which you are applying. 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.

Verify that you are seeing “The program you have selected is: COPS Office School Violence Prevention Program.” If you do not see the correct program, please contact the COPS Office Response Center at [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov) or 800-421-6770.

## Section 2. Agency eligibility information

For this section, check the appropriate box, and choose the appropriate entity from the drop-down menu.

In section 2C, you will be asked several questions about eligibility to apply for an SVPP award. You will be asked whether your application was prepared after consultation with individuals not limited to law enforcement to ensure that improvements funded under the grant are consistent with a comprehensive approach to preventing school violence and individualized to the needs of each impacted school.

## 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.

**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 award. ORI numbers assigned to agencies by the COPS Office may end in “ZZ.”

**Applicant Data Universal Numeric System (DUNS) number.** The Federal Government requires that all applicants for federal awards and cooperative agreements, 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 award 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.

**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 award 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, 2018, 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.

**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.

**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.

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

**Law enforcement agency sworn force information.** Not applicable under SVPP

**Civilian staffing.** Not applicable under SVPP

**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 award funding is being requested under this application.

Be advised that COPS Office award 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 list all pending applications and active awards your agency has with any other federal funding source (e.g., direct federal funding or indirect federal funding through state subawarded federal funds) that support the same or similar activities or services as being proposed in this COPS Office 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 funding is awarded, this information will be used for any award notifications.

### Applicant executive/agency executive information

#### A. For government agencies

This is the highest ranking government official within your jurisdiction (e.g., governor, mayor, municipal administrator, tribal chairman, or equivalent). If funding is awarded, the person 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. 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.

**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 name and contact information for the person completing this application.

## Section 5. COPS Office officer request—Not applicable under SVPP

## Section 6. Background Information and Need for Improved Security

In Section 6C, all applicants are required provide background information and information evaluating their need for improved school security and financial assistance. To request a grant under SVPP, the chief executive of a state, unit of local government, or Indian tribe shall submit an application to the COPS Office with the following information:

Applicants who are awarded funding through SVPP must conduct comprehensive school safety assessments for all schools involved in the funded project, within the 24-month grant implementation period. It is best to complete the assessments as soon as possible as they can be used as strategic evaluation tools to identify school safety issues and potential resolutions. This special condition can be waived for awardees who can demonstrate that comprehensive school safety assessments have already been performed or updated within the previous three years.

## Section 7. Need for federal assistance

### Section 7A. Explanation of need for federal assistance

In the narrative box and in the accompanying question set, all applicants are required to respond explaining your agency's inability to implement the strategies of your proposed project without federal funding. Please limit your narrative to 4,000 characters or less. Questions 1-6 will provide information regarding the schools in your jurisdiction as well as your agency's fiscal health.

Unanticipated Catastrophic Event or Incident: If applicable, please check the box and prepare a written narrative addressing the listed items in the application that supports and documents your unanticipated catastrophic event or incident. This narrative must be uploaded into your application in section 13 of the online application. Please create and upload your narrative in Microsoft Word format.

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

### Section 8A—Not applicable to SVPP

### 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 SVPP

## Section 10. Project Abstract

Applicants are required to complete section 10 of the COPS Office Application Attachment to the SF-424 Form. Briefly summarize (in 4,000 characters or less) how your agency intends to use this award, if funded. This information may be used to keep Congress or other executive branch agencies informed about SVPP projects.

## Section 11. Project description (narrative)

This program is designed to provide resources to states, units of local government, or Indian tribes to improve school security through evidence-based school safety programs and interventions for the following purpose areas:

- Coordination with local law enforcement
- Training for local law enforcement officials to prevent school violence
- Placement and use of metal detectors, locks, lighting, and other deterrent measures
- Acquisition and installation of technology for expedited notification of local law enforcement during an emergency
- Other measures that the director of the COPS Office determines may provide improvements in security as outlined in the allowable costs section of this application.

For school safety interventions to be most effective, these measures should be incorporated into broader school safety planning and assessment efforts and be designed to meet the unique individualized needs of each school and challenges of each jurisdiction and each school at which they will be implemented. There is a wide variety of available resources designed to assist local schools in this strategic planning process. Among other things, comprehensive school safety planning should include the following:

- **Site assessments** that examine the overall safety, accessibility, and emergency preparedness of school buildings and grounds; for assistance please see *REMS Site Assess App*  
An application developed by the REMS TA Center to assist agencies in conducting site assessments, which can be found at online app stores. <https://rems.ed.gov/SITEASSESS.aspx>  
*Educational Facilities Vulnerability/Hazard Assessment Checklist*  
[https://rems.ed.gov/Docs/ACEF\\_ED\\_Facilitiesvulnerability-Hazardchecklist.Pdf](https://rems.ed.gov/Docs/ACEF_ED_Facilitiesvulnerability-Hazardchecklist.Pdf)
- Comprehensive **risk assessments** that assist jurisdictions in understanding the likelihood of specific threats or hazards and their potential impact
- Coordinated **emergency operations plans** that are developed in partnership with first responders (law enforcement, fire officials, and emergency medical services personnel), mental health entities, and community partners; for assistance please see *Guide for Developing High-Quality School Emergency Operations Plans* [https://rems.ed.gov/docs/rems\\_k-12\\_guide\\_508.pdf](https://rems.ed.gov/docs/rems_k-12_guide_508.pdf)
- Specific efforts, programs, and policies designed to ensure **positive school climates** including the physical, social, and emotional elements that this entails; for assistance please see *Department of Education School Climate Surveys (EDSCLS)*  
<https://safesupportivelearning.ed.gov/edscls>
- Developing and implementing a specific ongoing **threat assessment processes** and procedures
- **Routine training and drills** to ensure that plans are coordinated and effectively implemented; for assistance please see *FEMA Toolkit Conducting Exercises and Drills*  
<https://training.fema.gov/programs/emischool/el361toolkit/conductingexercisesdrills.htm>
- Maintaining effective **ongoing communication, coordination, and partnerships** with all of those involved in school safety efforts within a jurisdiction
- Regular **updating and review** of planning efforts

In addition, according to a recent National Institute of Justice report funded as part of the Comprehensive School Safety Initiative, jurisdictions should consider the following items before acquiring and deploying school safety technology:

- A positive school climate is paramount for learning; technology should not create a prisonlike atmosphere or generate additional fears.
- Technology cannot compensate for inherent building design weaknesses.
- Without training, technology can prove ineffective.
- Without the appropriate culture, technology can be circumvented.

- Technology may evolve rapidly (and so does the software that may accompany it); consideration must be given to replacement, maintenance, and repair costs.
- Long-term support for the technology is a key factor.
- Technology selection should focus on addressing a specified problem.

**In addition to these recommendations, all school safety equipment and technology implementation should be compliant with all applicable codes, including the building and life safety codes.**

## Project Narrative Instructions

Your application will be evaluated in part based on your ability to demonstrate that the resources you have requested will be effectively integrated into other comprehensive school safety planning efforts taking place in your jurisdiction and that any technology will be acquired and deployed in a strategic manner.

## Formatting

Agencies that seek funding under this program are required to submit a project description (narrative). The project narrative must respond to the solicitation and include the sections outlined here. 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 may eliminate your application from consideration. The project narrative portion of the application must meet the following requirements:

- Double-spaced
- 8.5 x 11-inch page
- One-inch margins
- Type no smaller or larger than 12 point, Times New Roman font
- Page numbers. The COPS Office recommends numbering pages “1 of 20,” “2 of 20,” etc.
- Word documents in the following formats: Microsoft Word (.doc or .docx) or PDF files (.pdf)
- Headings and subheadings that correspond to the sections identified in this section of the solicitation.
- A total of no more than **12** pages and no fewer than **two** pages. Table of contents and cover pages will not count toward the overall page limit. Executive summaries, abstracts, timelines, graphs, and charts (regardless of pagination in front matter) will count toward overall page limit. Appendices are strongly discouraged. In cases where the applicant’s narrative exceeds 12 pages, reviewers will be instructed to consider only the first 12 pages of the narrative in their evaluation score.
- Up to **five** letters of support from partners and other significant stakeholders, including law enforcement agencies (if applicable), may be included and should be separate attachments and do not count towards the narrative page limit.

## Sections

Please format your narrative using the following section headings:

### 1. School Safety Planning Efforts

Please discuss the current state of your comprehensive school safety planning and assessment efforts, including the status of any site assessments, risk assessments, emergency operations plans, school climate improvement efforts and initiatives, threat assessment processes and procedures, training and drills, and local school safety partnerships.

2. Funding Request and Integration

Please discuss how the specific types of evidence-based school safety interventions you are seeking funding for as allowed under this program (see the allowable costs lists and authorized purpose areas) will be integrated into your existing comprehensive school safety planning efforts and will fill specific gaps and needs that you have identified through this process. Please discuss the goals and objectives that you hope to achieve through the implementation of these resources. To the extent possible, please highlight the use of evidence-based strategies and programs. All funding requests items should be linked to the project and support one of our authorized purpose areas under the statute 34 U.S.C. § 10551(b)(5)–(8).

3. Management and Implementation Plan

Please discuss your management and implementation plan for this award. This should include how you will ensure the effective implementation and oversight of the project, methods of procurement of any technology or other resource, a timeline with key activities and milestones, and identification of key partnerships or stakeholders who will play a role in the implementation of this award.

4. Sustainability Plan

Please discuss your plan to sustain these school safety efforts after this award has ended. Include a discussion of specific actual and potential resources that will be used to ensure the continued implementation of efforts made through this award and if applicable how the equipment and technology will be maintained.

5. Applicants are invited to include or describe any additional information or data metrics that may further inform the COPS Office on the need for improved security and federal financial assistance of the jurisdiction(s) to be impacted by this award.

## Additional resources

In addition to the documents referenced earlier, the following documents developed through the Comprehensive School Safety Initiative may be helpful to you in the development of your narrative application and request for funding:

- The Readiness and Emergency Management (REMS) Technical Assistance Center  
Provides excellent interactive tools and other resources to help school planning teams and community partners develop and implement emergency operations plans.  
[www.rems.ed.gov](http://www.rems.ed.gov)
- FEMA Multihazard Emergency Planning for Schools Toolkit  
Provides a wide variety of resources to assist schools in planning and assessments.  
<https://training.fema.gov/programs/emischool/el361toolkit/start.htm>
- The Role of Technology in Improving K–12 School Safety (RAND Corporation)  
Provides a synthesis of expert opinions and a review of the literature regarding school safety technology.  
[https://www.rand.org/content/dam/rand/pubs/research\\_reports/RR1400/RR1488/RAND\\_RR1488.pdf](https://www.rand.org/content/dam/rand/pubs/research_reports/RR1400/RR1488/RAND_RR1488.pdf)
- A Comprehensive Report on School Safety Technology (Johns Hopkins University Applied Physics Laboratory)  
Provides a comprehensive summary of what is currently known regarding the effectiveness of school safety technologies.  
<https://www.ncjrs.gov/pdffiles1/nij/grants/250274.pdf>

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

All applicants should complete a partner form for each school or school district to be impacted with this funding.

## Section 13. Application attachments

### Project Narrative and Budget Narrative

This section should be used to submit the required project narrative described in section 11 (maximum 15 pages, double-spaced, 12 point font) and the budget narrative (see section 14). The total size per attachment must not exceed 20 MB, and .zip files are not acceptable attachments and must not be submitted. All SVPP applicants must attach both a project narrative and a budget narrative.

Your budget narrative attachment must (1) describe each item requested or group of similar items requested; and (2) link 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. See section 14, budget detail worksheets and budget narrative attachment, for additional guidance.

Please use appropriately descriptive file names (e.g., Program Narrative, Budget Detail Worksheet and Budget Narrative, Timelines, Memoranda of Understanding, Resumes, Letters of Support, 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 attachment

### Instructions for completing the budget detail worksheets and budget narrative attachment

Included within this section are instructions and sample information for completing the budget detail worksheets and budget narrative. Please complete each section of the budget detail worksheets as applicable. 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. Budget requests must not exceed the two-year award period. The budget detail worksheets request that you provide a specific description for each item and explain how it supports the project goals and objectives outlined in your application. Applicants will be providing this information as part of the budget narrative attachment and not as part of the budget detail worksheets. Please note: ALL SVPP APPLICANTS MUST ATTACH THE BUDGET NARRATIVE AS PART OF SECTION 13.

In the budget narrative attachment, you must provide a brief description of the item(s) proposed for purchase, their purpose, and how the item(s) relate to the overall project. Sections B, C, D, E, F, and the budget summary of the COPS Office budget detail worksheets are applicable to SVPP. Like items may be grouped together for ease of reporting. Budget requests may be made in the following categories:

- Civilian/Nonsworn personnel and fringe benefits
- Equipment/Technology
- Supplies

- Travel/ Training
- Contracts/Consultants
- Other costs.

Finally, every item included on the budget detail worksheets must be included in the budget narrative attachment. For your convenience, we have included a sample budget narrative and budget detail worksheets. For more information, please see the “Allowable and Unallowable Costs” section.

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.

## Sample budget detail worksheets

The following budget detail worksheets are designed to allow all COPS Office award applicants to use the same budget forms to request funding. Please refer to the “Allowable/Unallowable Costs” section of this application guide, because these costs vary widely among programs.

To assist you, sample budget detail worksheets are included in this application guide as figures 1–10 beginning on page 50.

If you need assistance in completing the budget detail worksheets, please call the COPS Office Response Center at 800-421-6770.

### Civilian positions

Salaries of personnel are costs based on the percentage of time spent (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.

**Figure 1. Sample budget detail worksheets: Base salary and fringe benefits for civilian personnel**

The screenshot displays a web-based form titled "B. BASE SALARY AND FRINGE BENEFITS FOR CIVILIAN/NON-SWORN PERSONNEL". At the top, there is a navigation bar with buttons for "PREVIOUS", "SAVE", "PRINT SECTION", "PRINT", and "NEXT". Below the title, there are instructions and a note about fringe benefits. The form is divided into sections: "B. CIVILIAN POSITIONS" with "Add Position" and "Remove Position" buttons, and "A. Base Salary Information".

The "A. Base Salary Information" section contains a table with two columns for "Year 1 Salary" and "Year 2 Salary". Each column has input fields for "Base salary for this civilian/non-sworn position" (with values of 10000.00 for Year 1 and 15000.00 for Year 2) and "X [ ] % of time on project" (with values of 100.00 for Year 1 and 100.00 for Year 2). Below each column are two dropdown menus for "Does the base salary include Vacation credit?" and "Does the base salary include Sick Leave credit?".

| Year 1 Salary  | Year 2 Salary  |
|--|--|
| Base salary for this civilian/non-sworn position: 10000.00 | Base salary for this civilian/non-sworn position: 15000.00 |
| X [ 100.00 ] % of time on project                          | X [ 100.00 ] % of time on project                          |
| Does the base salary include Vacation credit? Yes          | Does the base salary include Vacation credit? No           |
| Does the base salary include Sick Leave credit? Yes        | Does the base salary include Sick Leave credit? Yes        |

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

**FRINGE BENEFITS:**

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

Medicare expenses cannot exceed 1.45%  Exempt  1.45%  Fixed Rate

Health Insurance

Life Insurance

Vacation Number of Hours Annually:

Sick Leave Number of Hours Annually:

Retirement

Worker's Compensation  Exempt

Unemployment Insurance  Exempt

Other

Other

Other

Benefits Sub-Total Per Year (1 Position)

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

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

| Year 1 Fringe Benefits |                  | Year 2 Fringe Benefits |                  |
|------------------------|------------------|------------------------|------------------|
| COST                   | % OF BASE SALARY | COST                   | % OF BASE SALARY |
| 100.00                 | 0.00             | 100.00                 | 0.00             |
| 115.00                 | 0.15             | 115.00                 | 0.15             |
| 10.00                  | 0.10             | 20.00                  | 0.20             |
| 20.00                  | 0.20             | 30.00                  | 0.30             |
| 0                      | 0.00             | 0                      | 0.00             |
| 0                      | 0.00             | 0                      | 0.00             |
| 0                      | 0.00             | 0                      | 0.00             |
| 0                      | 0.00             | 0                      | 0.00             |
| 0                      | 0.00             | 0                      | 0.00             |
| 0                      | 0.00             | 0                      | 0.00             |
| 120.00                 | 1.20             | 0                      | 0.00             |
| 101.00                 | 1.01             | 106.00                 | 0.70             |
| 0                      | 0.00             | 0                      | 0.00             |
| 1019.00                |                  | 1302.50                |                  |
| 11019.00               |                  | 11682.50               |                  |
| 27321.50               |                  |                        |                  |

×  # of Positions **\$4640.00**

PREVIOUS SAVE PRINT SECTION PRINT NEXT

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

## Fringe benefits

Aside from Social Security, Medicare, health insurance, and life insurance, the following are allowable fringe benefits:

- Retirement
- Worker's Compensation
- Unemployment insurance
- Dental insurance
- Vision insurance
- Prescription drugs
- Holiday pay
- Disability insurance
- Accidental death and disability
- 401(k) plan
- Liability insurance
- Shift differential payments
- Accident insurance
- Bonding insurance
- State funded retirement system
- Professional liability insurance
- Federal Unemployment Tax Act (FUTA) tax.

Other benefits, such as training, equipment (e.g., uniforms, weapons, or vehicles), severance pay, and hazard pay, are not allowed.

## Equipment/Technology

Necessary equipment must be specifically purchased to implement or enhance the proposed project. Equipment is tangible, nonexpendable personal property, including exempt property, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.



**Figure 2. Sample budget detail worksheets: Equipment and technology**

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

**C. EQUIPMENT/TECHNOLOGY**

No Equipment/Technology Requested

Instructions: List non-expendable items that are to be purchased. Provide a specific description for each item in the description boxes below and explain how the item supports the project goals and objectives as outlined in your application. If 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 / COMSULTANTS" category. Please be advised that, to the greatest extent practical, all equipment and products purchased with these funds must be an off-invoice.

For agencies purchasing items related to enhanced communications systems, the COPS Office expects and encourages that, wherever feasible, such voice or data communications equipment should be incorporated into an intra- or inter-jurisdictional strategy for communications interoperability among federal, state, and local law enforcement agencies.

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

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

Add Item

*Supplies*

Supply 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.

**Figure 3. Sample budget detail worksheets: Supplies**

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

**D. SUPPLIES**

No Supplies Requested

Instructions: List items by type (office supplies; postage; training materials; copying paper; books; hand-held tape recorders; computing devices costing less than \$5,000, etc). Provide a specific description for each item in the description boxes below and explain how it supports the project goals and objectives outlined in your application. Generally, supplies include any materials that are expendable or consumed during the course of the project, costing less than \$5,000.

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

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

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 the 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.

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

**Figure 4. Sample budget detail worksheets: Travel and training**

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

PREVIOUS   SAVE   PRINT SECTION   PRINT   NEXT

**E. TRAVEL/TRAINING/CONFERENCES**

No Travel/Training/Conferences Requested

**Instructions:** Travel costs are the expenses for transportation, lodging, subsistence, temporary dependent care, and related items incurred by employees who are in travel status on official business of the nonfederal entity. Official travel can include attendance at an award-related meeting or conferences when travel is further than 50 miles from the program location. The only individuals traveling that should be included in this section are ones listed in Section 14.B. Base Salary and Fringe Benefits for Civilian/Non-Sworn Personnel. All other individuals traveling for this project including participant and consultant travel should be listed under Section 14.F. Contracts/Consultants. Applicants without a written travel policy must follow the established federal rates found at (<https://www.gsa.gov>) for lodging, meals, and per diem. For all applicants (with or without a written travel policy), airfare travel costs must be one of the following: the lowest discount commercial airfare, standard coach airfare, or the Federal Government contract airfare (if authorized and available). Instructions: Itemize award-related travel expenses of recipient personnel (excluding consultants, whose expenses are listed in section F) by event (e.g., mandatory training, staff training, field interviews, advisory group meetings). Identify the location of travel wherever possible, and show the number of staff expected to attend each event. Registration/training fees, transportation (including airfare, rental cars, parking, and/or baggage fees), lodging and per diem rates for individuals should be listed as separate travel items. Recipient travel costs specific to the award project may be based on the applicant's written travel policy, assuming the costs are reasonable.

See <https://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.

| Name | Cost  | # of Staff           | Sub Total                   | Description |  |        |
|------|---|----------------------|-----------------------------|-------------|--|--------|
|      | Registration: <input type="text"/><br>Lodging: <input type="text"/><br>Per Diem: <input type="text"/><br>Transportation: <input type="text"/> | <input type="text"/> | <input type="text"/>        |             |  | Delete |
|      |   |                      | Total: <input type="text"/> |             |  |        |

Add Item

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.

### *Contracts/Consultants*

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

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

All sole-source procurements of goods and services (those not awarded competitively) in excess of \$150,000 require prior approval from the COPS Office. Please see

[https://cops.usdoj.gov/pdf/2018AwardDocs/Sole\\_Source\\_Justification\\_FactSheet.pdf](https://cops.usdoj.gov/pdf/2018AwardDocs/Sole_Source_Justification_FactSheet.pdf) for the Sole Source Justification fact sheet.

**Figure 5. Sample budget detail worksheets: Contracts and consultants**

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

**F. CONTRACTS/CONSULTANTS**

No Contract Costs Requested

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

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

**F.1. Contract Costs**

| Name                                     | Cost   | Qty                                       | Sub Total  | Description |   |        |
|--|--|---|--|-------------|---|--------|
| <input style="width: 95%;" type="text"/> | Base cost: <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/>        |             | <input style="width: 95%; height: 100px;" type="text"/> | Delete |
|  |  |   | Total: <input style="width: 40px;" type="text"/> |             |   |        |

Add Item

**Figure 6. Sample budget detail worksheets: Contract and consultant fees**

No Consultant Fees Requested

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

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

**F.2. Consultant Fees**

| Name                                     | Cost   | Qty                                       | Sub Total  | Description |   |        |
|--|--|---|--|-------------|---|--------|
| <input style="width: 95%;" type="text"/> | Base cost: <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/>        |             | <input style="width: 95%; height: 100px;" type="text"/> | Delete |
|  |  |   | Total: <input style="width: 40px;" type="text"/> |             |   |        |

Add Item

**Figure 7. Sample budget detail worksheets: Contract and consultant travel**

No Consultant Travel Requested

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

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

**F.3. Consultant Travel**

| Name                                     | Cost  | Qty                                       | Sub Total  | Description |   |        |
|--|---|---|--|-------------|---|--------|
| <input style="width: 95%;" type="text"/> | Registration: <input style="width: 40px;" type="text"/><br>Lodging: <input style="width: 40px;" type="text"/><br>Per Diem: <input style="width: 40px;" type="text"/><br>Transportation: <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/>        |             | <input style="width: 95%; height: 100px;" type="text"/> | Delete |
|  |   |   | Total: <input style="width: 40px;" type="text"/> |             |   |        |

Add Item

**Figure 8. Sample budget detail worksheets: Contract and consultant expenses**

No Consultant Expenses Requested

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

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

**F.4. Consultant Expenses**

| Name                                     | Cost   | Qty                                       | Sub Total  | Description |   |        |
|--|--|---|--|-------------|---|--------|
| <input style="width: 95%;" type="text"/> | Base cost: <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/> | <input style="width: 40px;" type="text"/>        |             | <input style="width: 95%; height: 100px;" type="text"/> | Delete |
|  |  |   | Total: <input style="width: 40px;" type="text"/> |             |   |        |

Add Item

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. Similar to supplies and equipment, consultant expenses should be broken out by item rather than one grouping.

*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. Please include all overtime costs in this section.

**Figure 9. Sample budget detail worksheets: Other costs**

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

PREVIOUS SAVE PRINT SECTION PRINT NEXT

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

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

Add Item

**Budget summary**

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

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

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

**Figure 10. Sample budget detail worksheets: Budget summary**

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

PREVIOUS SAVE PRINT SECTION PRINT NEXT

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

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

First Name:

Last Name:

Business:

Title:

Telephone Number:

Fax:

Email Address:

PREVIOUS SAVE PRINT SECTION PRINT NEXT

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

## Section 15. Assurances and Certifications

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

Please read these documents carefully, as signatures on these documents are treated as material representation of fact upon which reliance will be placed when the U.S. Department of Justice determines to award the covered award. See “Award Terms and Conditions. Funding Restrictions/Administrative Requirements” beginning on page 22, appendix B beginning on page 62, and appendix C beginning on page 64 for the full assurances and certifications.

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

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

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

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

1. Review each provision carefully.
  - a. Please note that if the applicant is unable to certify to any of the statements in the DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS and FEDERAL TAXES sections of this certification form, it must attach an explanation in section 13 of this application. If the applicant or any of its principals was convicted, within a three-year period preceding this application, of a felony criminal violation under any Federal law, it must disclose such felony criminal conviction in writing to the COPS Office at AskCopsRC@usdoj.gov, unless such disclosure has already been made. If the applicant is a corporation, it must also provide written notice of any unpaid tax liability (or liabilities) to the COPS Office at AskCopsRC@usdoj.gov.
2. **Signature of Government Executive (required).** Enter the name of the government executive. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
3. **Date (required).** Enter the date of the electronic signature (MM/DD/YYYY format).
4. Click “next” to move to section 16A. If any required fields are not answered, they will be flagged with warning messages.

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

## Section 16A. Disclosure of Lobbying Activities

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

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

Please see appendix D beginning on page 67 of this guide for a blank SF-LLL, Disclosure of Lobbying Activities form.

1. Review each provision carefully.
2. If you do not need to disclose lobbying activities pursuant to 31 U.S.C. § 1352, continue to step 3. If you do need to disclose, skip to step 4.
3. Click the "Not Applicable" box at the bottom of the page if there is no need to disclose lobbying activities. Skip to step 22 to continue.
4. **Type of Federal Action.** Select the appropriate type of federal action.
5. **Status of Federal Action.** Select the appropriate status.
6. **Report Type.** Select the appropriate report.
7. If you selected "material change" in step 6, continue to step 8. If you did not, skip to step 11.
8. **Year.** Enter the year (YYYY).
9. **Quarter.** Enter the quarter.
10. **Date of last report.** Enter the date of the last report (MM-DD-YYYY).
11. **Name and Address of Reporting Entity.** Enter the name and address for the reporting entity.
  - a. *Prime or Subawardee.* Select the appropriate reporting entity.
  - b. *Subawardee Tier, if known.* If *Subawardee* is selected, enter the subawardee tier, if known (no more than 10 characters).
  - c. *Congressional District.* Enter the Congressional District (number) if known (no more than 10 characters).
12. **Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime.** Enter the name and address for the subawardee.
  - a. *Congressional District* Enter the Congressional District (number) if known.
  - b. **Federal Department/Agency.** Enter the Federal Department/Agency (no more than 30 characters).
13. **Federal Program Name/Description.** Enter the federal program name/description (no more than 30 characters). *CFDA Number.* If applicable, enter the CFDA Number.
14. **Federal Action Number, if known.** Enter the federal action number.
15. **Award Amount, if known.** Enter the award amount to the nearest dollar.
16. **Name and Address of Lobbying Registrant.** Enter the name and address of the lobbying registrant. If the registrant is an individual, include the last name, first name, and middle initial (no more than 250 characters).
17. **Individuals Performing Services.** Enter the individuals performing the services. If this is different from Step 16, include the last name, first name, and middle initial (no more than 250 characters).

18. **Signature** (required). Enter the name of the certifying official. It must match exactly with the name in the COPS Office Online Agency Portal and the name displayed in this section.
19. **Title** (required). Enter the title for the signatory (no more than 40 characters).
20. **Telephone Number** (required). Enter the phone number (XXXXXXXXXX).
21. **Date** (required). Enter the date of the electronic signature (MM/DD/YYYY format).
22. Click “next” to move to section 16B. If any required fields are not answered, they will be flagged with warning messages.

## Section 16B. Certification of Compliance with 8 U.S.C. § 1373—Not applicable to SVPP

## Section 16C. Certification of Illegal Immigration Cooperation—Not applicable to SVPP

## Section 17. Reviews and Certifications

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

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

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

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

The signature of the government executive in the application must be the same as identified in section 4 of the application. Applications with missing, incomplete, or inaccurate signatories or responses may not be considered for funding.

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

#### Completing section 17

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

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

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

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

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



## Submitting the application

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

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

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

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

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

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

# Appendices

## Appendix A. Helpful online resources

Data Universal Numbering System (DUNS) Number Information:

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

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

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

Grants.gov: [www.grants.gov](http://www.grants.gov)

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

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

Agency Access: <https://portal.cops.usdoj.gov/>

Agency Portal Grants Management User Manual:

[https://cops.usdoj.gov/pdf/2017AwardDocs/Agency\\_Portal\\_GrantsMgt\\_Manual.pdf](https://cops.usdoj.gov/pdf/2017AwardDocs/Agency_Portal_GrantsMgt_Manual.pdf)

Contact information (including Response Center, FOIA, etc.): <https://cops.usdoj.gov/contact>

Freedom of Information Act (FOIA): <https://cops.usdoj.gov/Default.asp?Item=40>

Training resources: <https://cops.usdoj.gov/training>

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

U.S. Department of Justice (DOJ): [www.justice.gov](http://www.justice.gov)

DOJ Financial Guide: <https://ojp.gov/financialguide/doj/index.htm>

DOJ Office of Inspector General: <https://oig.justice.gov/hotline/index.htm>

Uniform Guidance: [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

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

## Appendix B. U.S. Department of Justice Certified Standard Assurances

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

- (1) I have the authority to make the following representations on behalf of myself and the Applicant. I understand that these representations will be relied upon as material in any Department decision to make an award to the Applicant based on its application.
- (2) I certify that the Applicant has the legal authority to apply for the federal assistance sought by the application, and that it has the institutional, managerial, and financial capability (including funds sufficient to pay any required non-federal share of project costs) to plan, manage, and complete the project described in the application properly.
- (3) I assure that, throughout the period of performance for the award (if any) made by the Department based on the application--
  - a. the Applicant will comply with all award requirements and all federal statutes and regulations applicable to the award;
  - b. the Applicant will require all subrecipients to comply with all applicable award requirements and all applicable federal statutes and regulations; and
  - c. the Applicant will maintain safeguards to address and prevent any organizational conflict of interest, and also to prohibit employees from using their positions in any manner that poses, or appears to pose, a personal or financial conflict of interest.
- (4) The Applicant understands that the federal statutes and regulations applicable to the award (if any) made by the Department based on the application specifically include statutes and regulations pertaining to civil rights and nondiscrimination, and, in addition--
  - a. the Applicant understands that the applicable statutes pertaining to civil rights will include section 601 of the Civil Rights Act of 1964 (42 U.S.C. § 2000d); section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794); section 901 of the Education Amendments of 1972 (20 U.S.C. § 1681); and section 303 of the Age Discrimination Act of 1975 (42 U.S.C. § 6102);
  - b. the Applicant understands that the applicable statutes pertaining to nondiscrimination may include section 809(c) of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (34 U.S.C. § 10228(c)); section 1407(e) of the Victims of Crime Act of 1984 (34 U.S.C. § 20110(e)); section 299A(b) of the Juvenile Justice and Delinquency Prevention Act of 2002 (34 U.S.C. § 11182(b)); and that the grant condition set out at section 40002(b)(13) of the Violence Against Women Act (34 U.S.C. § 12291(b)(13)), which will apply to all awards made by the Office on Violence Against Women, also may apply to an award made otherwise;
  - d. the Applicant understands that it must require any subrecipient to comply with all such applicable statutes (and associated regulations); and
  - e. on behalf of the Applicant, I make the specific assurances set out in 28 C.F.R. §§ 42.105 and 42.204.
- (5) The Applicant also understands that (in addition to any applicable program-specific regulations and to applicable federal regulations that pertain to civil rights and nondiscrimination) the federal regulations applicable to the award (if any) made by the Department based on the application may include, but are not limited to, 2 C.F.R. Part 2800 (the DOJ "Part 200 Uniform Requirements") and 28 C.F.R. Parts 22 (confidentiality - research and statistical information), 23 (criminal intelligence systems), 38 (regarding faith-based or religious organizations participating in federal financial assistance programs), and 46 (human subjects protection).

- (6) I assure that the Applicant will assist the Department as necessary (and will require subrecipients and contractors to assist as necessary) with the Department's compliance with section 106 of the National Historic Preservation Act of 1966 (54 U.S.C. § 306108), the Archeological and Historical Preservation Act of 1974 (54 U.S.C. §§ 312501-312508), and the National Environmental Policy Act of 1969 (42 U.S.C. §§ 4321-4335), and 28 C.F.R. Parts 61 (NEPA) and 63 (floodplains and wetlands).
- (7) I assure that the Applicant will give the Department and the Government Accountability Office, through any authorized representative, access to, and opportunity to examine, all paper or electronic records related to the award (if any) made by the Department based on the application.
- (8) I assure that, if the Applicant is a governmental entity, with respect to the award (if any) made by the Department based on the application--
  - a. it will comply with the requirements of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. §§ 4601-4655), which govern the treatment of persons displaced as a result of federal and federally-assisted programs; and
  - b. it will comply with requirements of 5 U.S.C. §§ 1501-1508 and 7324-7328, which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by federal assistance.
- (9) If the Applicant applies for and receives an award from the Office of Community Oriented Policing Services (COPS Office), I assure that as required by 34 U.S.C. § 10382(c)(11), it will, to the extent practicable and consistent with applicable law—including, but not limited to, the Indian Self- Determination and Education Assistance Act—seek, recruit, and hire qualified members of racial and ethnic minority groups and qualified women in order to further effective law enforcement by increasing their ranks within the sworn positions, as provided under 34 U.S.C. § 10382(c)(11).

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

\_\_\_\_\_  
 Signature of Law Enforcement Executive/Agency Executive  
 (For your electronic signature, please type in your name)

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Signature of Government Executive/Financial Official  
 (For your electronic signature, please type in your name)

\_\_\_\_\_  
 Date

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

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

### 1. LOBBYING

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

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

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

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

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

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

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

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

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

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

5. COORDINATION REQUIRED UNDER PUBLIC SAFETY AND COMMUNITY POLICING PROGRAMS

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

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

\_\_\_\_\_  
Signature of Law Enforcement Executive/Agency Executive

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Signature of Government Executive/Financial Official

\_\_\_\_\_  
Date

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

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

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



# DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB

4040-0013

Review Public Burden Disclosure Statement

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Appendix E. 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 F. Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters

### General Reporting Requirement

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

### Proceedings About Which You Must Report

Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five year period; and
- c. Is one of the following:
  - (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - (3) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000;

or

- (i) Any other criminal, civil, or administrative proceeding if:
- (ii) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

- (iii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
- (iv) 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 G. 41 U.S.C. § 4712 - Enhancement of contractor protection from reprisal for disclosure of certain information

### **(a) Prohibition of reprisals.--**

**(1) In general.--**An employee of a contractor, subcontractor, grantee, or subgrantee or personal services contractor may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing to a person or body described in paragraph (2) information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract or grant, a gross waste of Federal funds, an abuse of authority relating to a Federal contract or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract) or grant.

**(2) Persons and bodies covered.--**The persons and bodies described in this paragraph are the persons and bodies as follows:

**(A)** A Member of Congress or a representative of a committee of Congress.

**(B)** An Inspector General.

**(C)** The Government Accountability Office.

**(D)** A Federal employee responsible for contract or grant oversight or management at the relevant agency.

**(E)** An authorized official of the Department of Justice or other law enforcement agency.

**(F)** A court or grand jury.

**(G)** A management official or other employee of the contractor, subcontractor, or grantee who has the responsibility to investigate, discover, or address misconduct.

**(3) Rules of construction.--**For the purposes of paragraph (1)--

**(A)** an employee who initiates or provides evidence of contractor, subcontractor, or grantee misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract or grant shall be deemed to have made a disclosure covered by such paragraph; and

**(B)** a reprisal described in paragraph (1) is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

### **(b) Investigation of complaints.--**

**(1) Submission of complaint.--**A person who believes that the person has been subjected to a reprisal prohibited by subsection (a) may submit a complaint to the Inspector General of the executive agency involved. Unless the Inspector General determines that the complaint is frivolous, fails to allege a violation of the prohibition in subsection (a), or has previously been addressed in another Federal or State judicial or administrative proceeding



initiated by the complainant, the Inspector General shall investigate the complaint and, upon completion of such investigation, submit a report of the findings of the investigation to the person, the contractor or grantee concerned, and the head of the agency.

**(2) Inspector General action.--**

**(A) Determination or submission of report on findings.--**Except as provided under subparagraph (B), the Inspector General shall make a determination that a complaint is frivolous, fails to allege a violation of the prohibition in subsection (a), or has previously been addressed in another Federal or State judicial or administrative proceeding initiated by the complainant or submit a report under paragraph (1) within 180 days after receiving the complaint.

**(B) Extension of time.--**If the Inspector General is unable to complete an investigation in time to submit a report within the 180-day period specified in subparagraph (A) and the person submitting the complaint agrees to an extension of time, the Inspector General shall submit a report under paragraph (1) within such additional period of time, up to 180 days, as shall be agreed upon between the Inspector General and the person submitting the complaint.

**(3) Prohibition on disclosure.--**The Inspector General may not respond to any inquiry or disclose any information from or about any person alleging the reprisal, except to the extent that such response or disclosure is--

**(A)** made with the consent of the person alleging the reprisal;

**(B)** made in accordance with the provisions of section 552a of title 5 or as required by any other applicable Federal law; or

**(C)** necessary to conduct an investigation of the alleged reprisal.

**(4) Time limitation.--**A complaint may not be brought under this subsection more than three years after the date on which the alleged reprisal took place.

**(c) Remedy and enforcement authority.--**

**(1) In general.--**Not later than 30 days after receiving an Inspector General report pursuant to subsection (b), the head of the executive agency concerned shall determine whether there is sufficient basis to conclude that the contractor or grantee concerned has subjected the complainant to a reprisal prohibited by subsection (a) and shall either issue an order denying relief or shall take one or more of the following actions:

**(A)** Order the contractor or grantee to take affirmative action to abate the reprisal.

**(B)** Order the contractor or grantee to reinstate the person to the position that the person held before the reprisal, together with compensatory damages (including back pay), employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.

**(C)** Order the contractor or grantee to pay the complainant an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the complainant for, or in connection with, bringing the complaint regarding the reprisal, as determined by the head of the executive agency.

**(2) Exhaustion of remedies.--**If the head of an executive agency issues an order denying relief under paragraph (1) or has not issued an order within 210 days after the submission of a complaint under subsection (b), or in the case

of an extension of time under paragraph (b)(2)(B), not later than 30 days after the expiration of the extension of time, and there is no showing that such delay is due to the bad faith of the complainant, the complainant shall be deemed to have exhausted all administrative remedies with respect to the complaint, and the complainant may bring a de novo action at law or equity against the contractor or grantee to seek compensatory damages and other relief available under this section in the appropriate district court of the United States, which shall have jurisdiction over such an action without regard to the amount in controversy. Such an action shall, at the request of either party to the action, be tried by the court with a jury. An action under this paragraph may not be brought more than two years after the date on which remedies are deemed to have been exhausted.

**(3) Admissibility of evidence.**--An Inspector General determination and an agency head order denying relief under paragraph (2) shall be admissible in evidence in any de novo action at law or equity brought pursuant to this subsection.

**(4) Enforcement of orders.**--Whenever a person fails to comply with an order issued under paragraph (1), the head of the executive agency concerned shall file an action for enforcement of such order in the United States district court for a district in which the reprisal was found to have occurred. In any action brought under this paragraph, the court may grant appropriate relief, including injunctive relief, compensatory and exemplary damages, and attorney fees and costs. The person upon whose behalf an order was issued may also file such an action or join in an action filed by the head of the executive agency.

**(5) Judicial review.**--Any person adversely affected or aggrieved by an order issued under paragraph (1) may obtain review of the order's conformance with this subsection, and any regulations issued to carry out this section, in the United States court of appeals for a circuit in which the reprisal is alleged in the order to have occurred. No petition seeking such review may be filed more than 60 days after issuance of the order by the head of the executive agency. Review shall conform to chapter 7 of title 5. Filing such an appeal shall not act to stay the enforcement of the order of the head of an executive agency, unless a stay is specifically entered by the court.

**(6) Burdens of proof.**--The legal burdens of proof specified in **section 1221(e) of title 5** shall be controlling for the purposes of any investigation conducted by an Inspector General, decision by the head of an executive agency, or judicial or administrative proceeding to determine whether discrimination prohibited under this section has occurred.

**(7) Rights and remedies not waivable.**--The rights and remedies provided for in this section may not be waived by any agreement, policy, form, or condition of employment.

**(d) Notification of employees.**--The head of each executive agency shall ensure that contractors, subcontractors, and grantees of the agency inform their employees in writing of the rights and remedies provided under this section, in the predominant native language of the workforce.

**(e) Construction.**--Nothing in this section may be construed to authorize the discharge of, demotion of, or discrimination against an employee for a disclosure other than a disclosure protected by subsection (a) or to modify or derogate from a right or remedy otherwise available to the employee.

**(f) Exceptions.--(1)** This section shall not apply to any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (**50 U.S.C. 401a(4)**).

**(2)** This section shall not apply to any disclosure made by an employee of a contractor, subcontractor, or grantee of an element of the intelligence community if such disclosure--

**(A)** relates to an activity of an element of the intelligence community; or

**(B)** was discovered during contract, subcontract, or grantee services provided to an element of the intelligence community.

**(g) Definitions.**--In this section:

**(1)** The term “abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract or grant of such agency.

**(2)** The term “Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts or grants awarded for or on behalf of, the executive agency concerned.

**(h) Construction.**--Nothing in this section, or the amendments made by this section,<sup>1</sup> shall be construed to provide any rights to disclose classified information not otherwise provided by law.

**[(i) Repealed by Pub.L. 114-261, § 1(a)(3)(A)(ii), Dec. 14, 2016, 130 Stat. 1362]**

## Appendix H. Intergovernmental review process, points of contact by state

Executive Order 12372 requires applicants from state and local units of government or other organizations or individuals providing service within a state to submit a copy of the application to the state single point of contact (SPOC), if one exists and if this program has been selected for review by the state. Before the application due date, you must contact your state SPOC to find out if this program has been selected for review and comply with the state's process under Executive Order 12372. The Catalog of Federal Domestic Assistance reference for this program is number 16.710, "Public Safety and Community Policing Grants."

A current list of state SPOCs is listed at <https://www.archives.gov/federal-register/codification/executive-order/12372.html>. States that are not listed have chosen not to participate in the intergovernmental review process and therefore do not have an SPOC.

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

## Appendix A to Part 170—Award term

### I. Reporting Subawards and Executive Compensation.

#### a. Reporting of first-tier subawards.

1. **Applicability.** Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
2. **Where and when to report.**
  - i. You must report each obligating action described in paragraph a.1. of this award term to <https://www.fsrc.gov>.
  - ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
3. **What to report.** You must report the information about each obligating action that the submission instructions posted at <https://www.fsrc.gov> specify.

#### b. Reporting Total Compensation of Recipient Executives.

1. **Applicability and what to report.** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
  - i. the total Federal funding authorized to date under this award is \$25,000 or more;
  - ii. in the preceding fiscal year, you received—
    - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
    - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
  - iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To

determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <https://www.sec.gov/answers/excomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:
  - i. As part of your registration profile at <https://www.sam.gov>.
  - ii. By the end of the month following the month in which this award is made, and annually thereafter.
- c. Reporting of Total Compensation of Subrecipient Executives.
  1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—
    - i. in the subrecipient's preceding fiscal year, the subrecipient received—
      - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
      - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
    - ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <https://www.sec.gov/answers/excomp.htm>.)
  2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:
    - i. To the recipient.
    - ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards,

and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 C.F.R. Part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. *Subaward*:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. \_\_ .210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. *Subrecipient* means an entity that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 C.F.R. § 229.402(c)(2)):
- i. *Salary and bonus.*
  - ii. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - iii. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - iv. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
  - v. *Above-market earnings on deferred compensation which is not tax-qualified.*
  - vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.



# Appendix J. System for Award Management (SAM) and universal identifier award term

## Appendix A to Part 25—Award Term

### I. System for Award Management and Universal Identifier Requirements

#### A. Requirement for System for Award Management

*Unless you are exempted from this requirement under 2 C.F.R. § 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.*

#### B. Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

1. *Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.*
2. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

#### C. Definitions

For purposes of this award term:

1. *System for Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <https://www.sam.gov>).
2. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
3. *Entity*, as it is used in this award term, means all of the following, as defined at 2 C.F.R. Part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. *Subaward*:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.330).
  - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. *Subrecipient* means an entity that:
  - a. Receives a subaward from you under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.

# Appendix K. General instructions for two-part application submission process

## FY 2018 COPS Office online application procedures

Note: If your agency has previously applied for awards using Grants.gov, and you already have an account set up with your username and password, please skip step 1 and proceed to step 2. For additional instructions on how to register with Grants.gov please visit <https://www.grants.gov/web/grants/applicants/organization-registration.html>.

### *Step 1*

Please click this link for details on how to register with Grants.gov:

[https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get\\_Started%2FGet\\_Started.htm](https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get_Started%2FGet_Started.htm).

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

1. Log in to [www.grants.gov](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-SVPP-Application-2018. Then click on “Download Package.”
5. Click the “Download” link at the bottom right of the page under the “Instructions & Application” heading.
6. To view the SF-424 instructions, click the “Download Application Instructions” link.
7. To start the application, click “Download Application Package,” which is the second link.
8. Enter an application filing name of your choice (e.g., agency legal name and program type for which you are applying) into the “Application File Name” text box, which is highlighted yellow with a red border.
9. In the “Mandatory Documents” field, do the following:
  - a. Select the “Application for Federal Assistance (SF-424)” document then click on the “Move Form to Complete” button so that the form appears under the “Mandatory Documents for Submission” field.
  - b. Select “COPS Office Short Application Attachment to SF-424,” then click the “Move Form to Complete” button so that the form appears under the “Mandatory Documents for Submission” field.
10. Select “Application for Federal Assistance” and click on the “Open Form” button. Be sure to fill in all required fields on the displayed documents, which are highlighted yellow with red borders. Last, select the program to which you are applying and enter or re-enter a correct ORI.
11. Click the “Save” button at the very top of the document.
12. In the “Save As” dialogue box, do the following:
  - a. Select a location that is easy to find within your computer (e.g., Desktop or My Documents).
  - b. Select the “Save” button to save the file to your selected location on your computer.

\*\* Note: You will be required to save this document twice. You may either save it in the same location, which will overwrite the first one, or save it in a different location for redundancy.

13. Click on the “Save & Submit” button at the top of the document.
14. In the “Save As” dialogue box, do the following:
  - a. Select a location that is easy to find within your computer (e.g., Desktop or My Documents).
  - b. Select the “Save As” button to save the file to your selected location on your computer.
15. Enter your username and password for the authorized organizational representative (AOR). This is set up while registering with Grants.gov.
16. Wait until “Confirmation Page” appears to close the document. Take note of the grant ID number provided by Grants.gov for your file.
17. After the SF-424 has been successfully submitted, you will receive three emails from Grants.gov:
  - a. One email thanking the applicant for submission
  - b. A second email confirming Grants.gov validation
  - c. A third email stating the application was received by the agency
18. Within one business day, you will receive one of two emails from the COPS Office:
  - a. An email stating your application passed the COPS Office validation and providing a link to the COPS Office Application Program System.or
  - b. An email stating that the COPS Office validation failed and that the issues must be corrected and resubmitted.

### Correcting COPS Office validation errors

1. Open the application that was saved in step 12.
2. Edit fields that had errors.
3. Select the “Save & Submit” button.
4. In the “Save As” dialogue box, do the following:
  - a. Select a location that is easy to find within your computer (e.g., Desktop or My Documents).
  - b. Select the “Save” button to save the file to your selected location on your computer. Overwrite the existing application or save as a different file name on your computer.
5. Enter your username and password for the AOR account.
6. Wait until “Confirmation Page” appears to close the document. Take note of the new grant ID number provided by Grants.gov for your file.
7. After the SF-424 has been successfully submitted, you will receive three emails from Grants.gov.
  - a. One email thanking the applicant for submission.
  - b. A second email confirming Grants.gov validation.
  - c. A third email stating the application was received by the agency.
8. Within one business day, you will receive one of two emails from the COPS Office:
  - a. An email stating your application passed the COPS Office validation and providing a link to the COPS Office Application Program System.or
  - b. An email stating that the COPS Office validation failed and that the issues must be corrected and resubmitted.

# Glossary of Terms

The following information is provided to assist you with the completion of your COPS Office award program application forms. The list includes some of the most common terms that are used in the application forms. For additional assistance or clarification regarding any part of the application, please contact the COPS Office Response Center at 800-421-6770 or [AskCopsRC@usdoj.gov](mailto:AskCopsRC@usdoj.gov).

**allowable costs.** Allowable costs are costs that will be paid for by this award program.

**authorized officials.** The authorized officials are the individuals in your organization who have final authority and responsibility for all programmatic and financial decisions regarding your application and, if funded, your award. For law enforcement agencies, the listed law enforcement executive (usually chief of police, sheriff, etc.) and the government executive (usually mayor, board president, etc.) are your agency's authorized officials.

**authorized organizational representative (AOR).** A person authorized by your e-business POC to submit applications to Grants.gov. This privilege should be provided only to those individuals who currently have signature authority for submitting award applications. The name of the individual designated as an AOR will be populated by the Grants.gov system in award application package forms, which require signatures. An organization can assign as many AORs to use Grants.gov as necessary.

**award end date.** This is the date until which your agency is authorized to purchase items or hire positions that were approved by the COPS Office. If funded, the award end date is found on your award document. Recipients may not make any purchases or hire any positions after this date without written approval from the COPS Office.

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

**award start date.** This is the date on or after which your agency is authorized to purchase items or hire positions that were approved by the COPS Office. If funded, the award start date is found on your award document. Recipients may not make any purchases or hire any positions prior to this date without written approval from the COPS Office.

**Catalog of Federal Domestic Assistance (CFDA).** The CFDA is an annual government-wide publication that contains a description and index of all forms of federal assistance. Each program is assigned a CFDA number, which is used by auditors to track award revenues under the Single Audit Act. It is also used in participating states by state single points of contact in conducting the required intergovernmental reviews under Executive Order 12372. The CFDA number for all COPS Office programs is 16.710.

**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).

**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.

**COPS Office.** The Office of Community Oriented Policing Services (COPS Office) is the office within the U.S. Department of Justice that, if awarded, is your grantor or awarding agency for your COPS Office award. The COPS Office is responsible for administering your award for the entire award period. You can reach the COPS Office at 800-421-6770.

**COPS Office finance staff.** Members of the COPS Office finance staff handle your agency’s financial and budgetary needs related to your application. A financial analyst is assigned to your state, and is available to answer any questions that you may have concerning the financial aspects of your award, if funded. To identify your state assigned financial analyst, please call the COPS Office Response Center at 800-421-6770, or visit the COPS Office web site at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).

**disallowed costs.** Disallowed costs means those charges that are determined to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the federal award.

**DUNS number.** DUNS stands for “data universal numbering system.” DUNS numbers are issued by Dun and Bradstreet (D&B) and consist of nine or thirteen digits. If your institution does not have one, call 866-705-5711 to receive one free of charge. You can also request your DUNS number online at [www.dnb.com/us](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.

**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.

**evidence-based.** A program, practice, technology, or equipment that—

- (A) demonstrates a statistically significant effect on relevant outcomes based on—
  - (i) strong evidence from not less than 1 well-designed and well-implemented experimental study;
  - (ii) moderate evidence from not less than 1 well-designed and well-implemented quasi-experimental study; or
  - (iii) promising evidence from not less than 1 well-designed and well-implemented correlational study with statistical controls for selection bias;
- (B) demonstrates a rationale based on high-quality research findings or positive evaluation that such program, practice, technology, or equipment is likely to improve relevant outcomes, and includes ongoing efforts to examine the effects of the program, practice, technology, or equipment; or
- (C) in the case of technology or equipment, demonstrates that use of the technology or equipment is—
  - (i) consistent with best practices for school security, including—
    - (I) applicable standards for school security established by a Federal or State government agency; and
    - (II) findings and recommendations of public commissions and task forces established to make recommendations or set standards for school security; and
  - (ii) compliant with all applicable codes, including building and life safety codes.

**federally recognized tribe.** Tribal entities that are recognized and eligible for funding and services from the Bureau of Indian Affairs by virtue of their status as Indian tribes. They are acknowledged to have the immunities and privileges available to other federally acknowledged Indian tribes by virtue of their government-to-government relationship with the United States as well as the responsibilities, power, limitation, and obligations of such tribes. Only federally recognized tribes are eligible to apply for COPS Office tribal award funds. For further information, contact: Bureau of Indian Affairs, Division of Tribal Government Services, MS-4631-MIB, 1849 C Street NW, Washington, DC 20240, 202-208-2475.

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

**grant.** A legal instrument of financial assistance between a federal awarding agency and a non-federal entity to carry out a public purpose authorized by a law of the United States that, consistent with 31 U.S.C. § 6302-6305, does not provide for substantial involvement between the federal awarding agency and the non-Federal entity in carrying out the activity contemplated by the federal award.

**Indian tribe.** For purposes of COPS Office awards, Indian tribe means a tribe, band, pueblo, nation, or other organized group or community of Indians, including an Alaska Native village (as defined in or established under the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. See 34 U.S.C. § 10389(3).

**indirect costs.** Indirect (facilities & administrative (F&A)) costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.

**institutions of higher education (IHE).** Institution of higher education is defined at 20 U.S.C. 1001.

**Local Area Unemployment Statistics (LAUS).** The Bureau of Labor Statistics' LAUS program provides monthly estimates of unemployment for communities. For more information and detailed instructions for looking up your local area's unemployment rate, please visit [www.bls.gov/lau/data.htm](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.

**nonfederal entity.** Nonfederal entity means a state, local government, Indian tribe, institution of higher education, or nonprofit organization that carries out a federal award as a recipient or subrecipient.

**nonprofit organization.** Nonprofit organization means any corporation, trust, association, cooperative, or other organization, not including institutions of higher education, that is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operations of the organization.

**obligation of funds.** If this application is awarded, the COPS Office obligates federal funds when the award document is signed by the director or his or her designated official. For the recipient, award funds are obligated when monies are spent directly on purchasing items approved under the award. The term encumbrance is often used at the local and state levels to describe this type of transaction. Liquidated obligations are considered cash outlays or monies actually spent. Unliquidated obligations are obligations incurred and recorded but not yet paid (accrual basis of accounting) or not yet recorded and not yet paid (cash basis of accounting).

**OJP vendor number/EIN number.** This is your agency's nine-digit federal tax identification number assigned to you by the IRS. Your accounting/bookkeeping department should have this number. If your EIN previously has been assigned to another agency within your jurisdiction, the Office of the Comptroller will assign a new OJP vendor number to you. The new assigned number is to be used for administrative purposes only, in connection with this award program, and should not be used for IRS purposes.

**ORI (Originating Agency Identifier) number.** This number is assigned by the FBI and is your agency's originating agency identifier. The first two letters are your state abbreviation, the next three numbers are your county's code, and the final two numbers identify your jurisdiction within your county. When you contact the COPS Office with a question, you can use the ORI number, and we will be able to assist you. If you are a previous COPS Office award recipient, you may have been assigned an ORI number through the COPS Office if the FBI had not previously assigned your agency this identifier number.

**program income.** Program income means gross income earned by the nonfederal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance.

**recipient.** The Uniform Guidance defines it as "Recipient means a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term recipient does not include subrecipients. See also § 200.69 Non-Federal entity." 2 C.F.R. § 200.86.

**school.** An elementary or secondary school, including a Bureau-funded school (as defined in section 2021 of title 25).

**simplified acquisition threshold.** Simplified acquisition threshold means the dollar amount below which a non-Federal entity may purchase property or services using small purchase methods. Non-Federal entities adopt small purchase procedures in order to expedite the purchase of items costing less than the simplified acquisition threshold. The simplified acquisition threshold is set by the Federal Acquisition Regulation at 48 C.F.R. Subpart 2.1 (Definitions) and in accordance with 41 U.S.C. § 1908. Currently, the simplified acquisition threshold is \$150,000.

**subaward.** Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

**subrecipient.** Subrecipient means a nonfederal entity that receives a subaward from a pass-through entity to carry out part of a federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.

**supplies.** Supplies means all tangible personal property other than those described under equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the nonfederal entity for financial statement purposes or \$5,000, regardless of the length of its useful life.

**System for Award Management (SAM).** Institutions applying for any type of award from the Federal Government must register with SAM. The SAM database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Applicants must update or renew their SAM at least once per year to maintain an active status. Information about registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

**tribal organization.** Has the same meaning given the term in section 4(1) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 5304(1)).

**unit of local government.** County, municipality, town, township, village, parish, borough, or other unit of general government below the state level.



## Paperwork Reduction Act Notice

The public reporting burden for this collection of information is estimated to be up to 11.3 hours per response, depending upon the COPS Office program being applied for, which includes time for reviewing instructions. Send comments regarding this burden estimate or any other aspects of the collection of this information, including suggestions for reducing this burden, to the Office of Community Oriented Policing Services, U.S. Department of Justice, 145 N Street NE, Washington, DC 20530; and to the Public Use Reports Project, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

You are not required to respond to this collection of information unless it displays a valid OMB control number. The OMB control number for this application is 1103-0098, and the expiration date is 05/31/2020.

# About the COPS Office

The **Office of Community Oriented Policing Services (COPS Office)** is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources.

Community policing begins with a commitment to building trust and mutual respect between police and communities. It supports public safety by encouraging all stakeholders to work together to address our nation's crime challenges. When police and communities collaborate, they more effectively address underlying issues, change negative behavioral patterns, and allocate resources.

Rather than simply responding to crime, community policing focuses on preventing it through strategic problem-solving approaches based on collaboration. The COPS Office awards grants to hire community policing officers and support the development and testing of innovative policing strategies. COPS Office funding also provides training and technical assistance to community members and local government leaders, as well as all levels of law enforcement.

Since 1994, the COPS Office has invested more than \$14 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing. Other achievements include the following:

- To date, the COPS Office has funded the hiring of approximately 130,000 additional officers by more than 13,000 of the nation's 18,000 law enforcement agencies in both small and large jurisdictions.
- Nearly 700,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.
- To date, the COPS Office has distributed more than eight million topic-specific publications, training curricula, white papers, and resource CDs and flash drives.
- The COPS Office also sponsors conferences, roundtables, and other forums focused on issues critical to law enforcement.

COPS Office information resources, covering a wide range of community policing topics such as school and campus safety, violent crime, and officer safety and wellness, can be downloaded via the COPS Office's home page, [www.cops.usdoj.gov](http://www.cops.usdoj.gov). This website is also the grant application portal, providing access to online application forms.



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

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

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

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