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The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering and Tracking (SMART) is pleased to announce that it is seeking applications for funding under the SMART Office FY 2012 Support for Adam Walsh Act Implementation Grant Program. This program furthers the Department's mission by assisting states, the District of Columbia, territories and certain federally recognized Indian tribes with implementation of requirements under the Adam Walsh Child Protection and Safety Act of 2006, specifically Subtitle A of Title I, the Sex Offender Registration and Notification Act (SORNA).

## **SMART FY 2012 Support for Adam Walsh Act Implementation Grant Program**

### **Eligibility**

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

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

### **Deadline**

Applicants must register with Grants.gov prior to submitting an application. (See "How to Apply," page 7.) All applications are due by 11.59 p.m. Eastern time on April 3, 2012. (See "Deadlines: Registration and Application," page 3.)

### **Contact Information**

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035 or via e-mail to support@grants.gov.

**Note:** The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except Federal holidays.

For assistance with any other requirement of this solicitation, contact Victoria Jolicoeur, Grant Program Specialist, at (202) 514-4696 or by e-mail to Victoria.Jolicoeur@usdoj.gov, or

Jacqueline O'Reilly, Program Specialist, at (202) 514-5024, or by email at [Jacqueline.O'Reilly@usdoj.gov](mailto:Jacqueline.O'Reilly@usdoj.gov).

Grants.gov number assigned to announcement: SMART-2012-3186

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# **SMART FY 2012 Support for Adam Walsh Act Implementation Grant Program CFDA # 16.750**

## **Overview**

The Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking (SMART) Support for Adam Walsh Implementation Grant Program assists jurisdictions with developing and/or enhancing programs designed to implement the Sex Offender Registration and Notification Act (SORNA) of the Adam Walsh Act (42 U.S.C. § 16901, et seq.). This Act is designed to protect children and adults from sexual exploitation and violent crime, prevent child abuse and child pornography, promote Internet safety, and honor the memory of Adam Walsh and other crime victims. SORNA was enacted to protect the public from convicted sex offenders by establishing a comprehensive national system for the registration and notification of those offenders.

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

## **Deadlines: Registration and Application**

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 pm eastern time on April 3, 2012. See the "How to Apply" section, page 7 for details.

## **Eligibility**

Refer to the title page for eligibility under this program.

## **Adam Walsh Act Implementation Grant Program-Specific Information**

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

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## **Goals, Objectives & Deliverables**

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

Applicants must explain how the proposed project will bring the jurisdiction closer to implementation. For those jurisdictions that have already implemented, the application must explain how the proposed project will support continuing compliance with SORNA or enhance their registration/notification program. In developing and/or enhancing efforts or programs designed to implement or maintain compliance with SORNA, applicants may propose specific strategies and projects including, but not limited to:

### **Examples of strategies and projects pertinent to all applicants:**

- Developing or enhancing jurisdiction-wide SORNA implementation programs or functions.
- Enhancing infrastructure to assist implementation of SORNA, such as for the collection, storage, submission or analysis of sex offender biometric data (finger and palm prints) and DNA.
- Developing or enhancing law enforcement and other criminal justice agency information sharing at the jurisdiction level as well as between jurisdiction level agencies and local level agencies as it relates to SORNA implementation.
- Implementing records management projects, such as converting documents to digital format as required by SORNA.
- Providing support for coordinated interagency efforts to enhance implementation of SORNA requirements.
- Supporting efforts of local or state units of government (including P.L. 280 tribes) to develop or enhance their sex offender registration and notification functions with tribal nations as delegated to the state for the purpose of substantial implementation of SORNA.
- Developing and implementing training for law enforcement and other criminal justice agency personnel responsible for sex offender registration, notification, and monitoring as it relates to SORNA implementation in the jurisdiction.

### **Examples of strategies and projects specifically pertinent to Tribal applicants:**

- Tribes that have elected to carry out the requirements of SORNA may apply for funding to support SORNA implementation activity carried out by a consortium of tribes that have elected to implement SORNA. For example, several tribes may chose to form a consortium to share resources such as hardware digital fingerprint equipment or kiosks; or jointly staff or share registry offices, share a public website, collaborate on enforcement activities or other facilities used for registration. An application to fund such a collaborative approach or project must include supporting documentation, such as an interagency agreement, a memorandum of understanding, or a letter of cooperation, which demonstrates the collaborative endeavor from each member jurisdiction of the consortia.

## **Examples of strategies and projects pertinent to States, Territories and the District of Columbia:**

- According to the SORNA national guidelines, jurisdictions may carry out sex offender registration and notification functions through their political subdivisions, to include units of local government. Previous state recipients of AWA Implementation grants that have delegated sex offender registration and notification functions to political subdivisions are encouraged to include support for local units of government in their project activities.
- State jurisdictions that include P.L. 280 tribes are encouraged to design projects that address SORNA implementation as it relates to these tribes.

Discussion of a jurisdiction's planned activities should include information regarding the jurisdiction's SORNA implementation working group. The working group plan should include a list of the working group members and their responsibility regarding SORNA implementation. It is expected that successful grantees will report on their jurisdiction's working group meetings in their quarterly progress reports. This requirement does not apply to jurisdictions that have already been found to be substantially implementing SORNA.

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

### **Amount and Length of Awards**

Individual grant awards will be up to \$400,000, depending on funding availability, for a period of up to 24 months. Thirty percent of the total amount awarded under this solicitation will be set aside for tribal jurisdictions. It is anticipated that any award that may be made under this solicitation should be awarded not later than September 30, 2012.

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

### **Budget Information**

Applicant proposals may include the purchase of equipment for items such as digital fingerprint and palm print technology, scanners to transfer existing records and documents into a digital format, computer hardware and DNA collection.<sup>1</sup>

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<sup>1</sup> Tribes that propose to utilize grant funds to support the collection, storage, and submission of DNA must document that costs are necessary and verifiable. Examples of verified and validated costs include fees that a state or its political subdivision charges the tribe for collection, storage, or submission of DNA. Please note that contracting with a private lab does not facilitate submission of DNA to the Combined DNA Index System (CODIS), and thus does not meet SORNA requirements. As a result, private lab fees are considered unallowable costs. The FBI Laboratory permits SORNA tribes to receive free DNA collection kits and analyzes the kits and enters the data into CODIS for free. Please contact the SMART Office for additional information about utilizing this service.

Applicants should be aware that the SMART Office has developed information technology resources that have been made available to all SORNA jurisdictions for the purpose of meeting requirements of participation in the Dru Sjodin National Sex Offender Public Website. These resources include software such as: mapping technology, geographic radius and email address search applications, and community notification and email notification applications. Additionally, the SMART Office provides the Tribe and Territory Sex Offender Registry System (TTSORS) free of charge to tribes and territories. It is therefore recommended that applicants avoid proposals that include similar software expenditures.

Allowable software purchases include: software needed by the jurisdiction to support kiosks or facilitate information sharing between a jurisdiction's sex offender registry and other law enforcement-operated electronic systems or databases and sex offender tracking systems within the jurisdiction (including local law enforcement); software that facilitates sex offender tracking and management throughout the jurisdiction; and software or technical assistance necessary to facilitate use of SMART-provided software resources.

**Limitation on Use of Award Funds for Employee Compensation; Waiver:** With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp).) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General (AAG) for the Office of Justice Programs. An applicant requesting a waiver should include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request that the applicant adjust and resubmit its budget.

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

#### **Minimization of Conference Costs**

No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be obtained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

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Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP website at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

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

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

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" Web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

**Match Requirement:**

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

**Performance Measures**

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

Objective	Catalog ID <i>[for internal use only, delete before posting]</i>	Performance Measure(s)	Data Grantee Provides
Improve public sex offender registry systems to support SORNA compliance	388	Number of SORNA requirements implemented during the reporting period	Number of policies/procedures and/or programs established/amended to comply with SORNA during the reporting period
			Number of SORNA requirements implemented during the reporting period
			Number of jurisdiction personnel trained on SORNA compliance during the reporting period



	347	Percentage of records/data made electronically accessible for inclusion in SORNA jurisdiction sex offender registries	Number of records/data (including sex offender case files; sex offender registration information; finger/palm print cards, DNA) captured and/or automated during the reporting period
			Number of updated sex offender registration records electronically transmitted (intra and inter-jurisdictionally) during each month of the reporting period through the SORNA Exchange Portal
Enhance jurisdiction efforts to address victim and public safety	350	Percentage of registered sex offenders in compliance with jurisdiction registry requirements	Total number of sex offenders who are registered in the jurisdiction each month during the project period
			Total number of sex offenders who are in compliance with jurisdiction registry requirements each month during the project period
			Total number of sex offenders identified as non-compliant with jurisdiction registry requirements during each month of the project period
			Number of sex offenders identified in the jurisdiction during the reporting period (tribal jurisdictions only)

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page 12 for additional information.

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

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

## Notice of New Post-Award FFATA Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (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. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

## How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, call the Grants.gov Customer Support Hotline at **800-518-4726 or 606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is required for [Grants.gov](http://Grants.gov) registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities

receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.750, titled "Support for Adam Walsh Act Implementation Grant Program," and the funding opportunity number is SMART-2012-3186.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

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**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

**Note: Duplicate Applications**

If an applicant submits multiple versions of an application, the SMART Office will review the most recent version submitted.

**Experiencing Unforeseen Grants.gov Technical Issues**

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must email the *[insert bureau/program office]* contact identified in the Contact Information section on *[insert page number]* **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) the applicant has received. **Note: Requests are not automatically approved by the SMART Office.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page, [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

**What an Application Should Include**

Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by the SMART Office to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, the SMART Office has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative, and a requested funding amount that does not exceed the maximum amount allowable. The Budget Narrative and the Budget Detail Worksheet may be combined in one document. However, if only one document is submitted, it must contain **both** narrative and detail information.

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

For examples of successful FY 2011 applications, go to: [www.ojp.usdoj.gov/smart/funding.htm](http://www.ojp.usdoj.gov/smart/funding.htm).

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

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

**2. Program Narrative**

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

The program narrative should address the Selection Criteria addressed on page 17.

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

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

**a. Statement of the Problem**

Applicants should describe the challenges the jurisdiction faces in implementing or maintaining ongoing compliance with the Sex Offender Registration and Notification Act (SORNA) and how the challenges will be addressed by the strategy that will be funded by the grant. Applicants should describe steps taken to assess and analyze their current sex offender registration and notification systems in relation to SORNA implementation or ongoing compliance. This section should also detail ongoing jurisdiction efforts to address implementation or maintain compliance. Applicants should discuss the jurisdiction's strategy to implement SORNA and identify deficits or problems encountered as well as needs identified in order to substantially implement or maintain compliance.

**b. Project Design and Implementation**

Project Goals and Objectives: Applicants should describe the goals of the proposed project and identify its objectives and outcomes. Goals: Applicants should provide a broad statement, written in general terms, that conveys the project's intent to change, reduce, or eliminate the problem described.

Objectives: Applicants should explain how the program will accomplish its goals.

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The objectives should be quantifiable and describe the steps necessary to accomplish project goals. When formulating the project's goals and objectives, applicants should be cognizant of the performance measures that will be required of successful applicants.

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

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

#### **c. Capabilities and Competencies**

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

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

#### **d. Plan for Collecting the Data Required for this Solicitation's Performance Measures**

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

Submission of performance measures data is not required for the application.

Performance measures are included as an alert that successful applicants will be required to submit specific data to the SMART Office as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

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

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

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

#### **b. Budget Narrative**

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

### **4. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

### **5. Tribal Authorizing Resolution (if applicable)**

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or

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other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

## 6. Additional Attachments *[if applicable]*

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

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

Applicants proposing a collaborative effort should provide:

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

Applicants who have not already implemented SORNA should provide:

- SORNA Working Group plan, which should include working group structure and working group members.

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

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

## 7. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

- a. Standard Assurances  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements  
Applicants must read, certify and submit in GMS prior to the receipt of any award funds.



- c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and submitted)

## Selection Criteria

The section entitled “What an Application Should Include”, detailed above, provides the required information that will serve as the selection criteria of this project. Applications will be rated on *the weighted percentages below*.

1. *Statement of the Problem (15%)*
2. *Project Goals and Objectives and /Program Design and Implementation (40%)*
3. *Capabilities/Competencies (20%)*
4. *Budget (15%)*
5. *Impact/Outcomes and Evaluation/Plan for Collecting Data for Performance Measures (10%)*

## Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. The SMART Office may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with the SMART Office, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General (AAG), who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

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## **Provide Feedback to OJP on This Solicitation**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, application submission process, and/or the application review/peer review process. Feedback can be provided to

[OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

## **Application Checklist**

### **SMART FY 11 Support For Adam Walsh Act Implementation Grant Program**

The application checklist has been created to aid you in developing your application

#### **Eligibility Requirement:**

- Federally Recognized Tribe eligible under SORNA section 127 to carry out the functions of SORNA and has elected to do so OR State, District of Columbia or Territory
- The Federal Amount Requested is within the Allowable Limit of \$300,000

#### **What an Application Should Include:**

- Application for Federal Assistance (SF-424) (see page 13)
- Program Narrative (see page 13)
- Budget Detail Worksheet (see page 15)
- Budget Narrative (see page 15)
- Disclosure of Lobbying Activities (SF-LLL) (see page 11)
- Indirect Cost Rate Agreement (if applicable) (see page 15)
- Tribal Authorizing Resolution (see page 15)
- Letter of cooperation, memorandum of understanding, or interagency agreement that documents the collaborative work of all involved agencies (for tribal applications proposing a collaborative effort) (see page 16)
- Other Standard Forms as applicable (see page 16), including:
- Accounting System and Financial Capability Questionnaire (if applicable)

#### **Program Narrative/Abstract Format:**

- Double-spaced
- 12-point standard font
- 1" standard margins
- Narrative is 25 pages or less

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