

# ARIZONA CRIMINAL JUSTICE COMMISSION



## FY 2012 COMPETITIVE GRANT ANNOUNCEMENT

### Gerald Hardt Memorial Criminal Justice Records Improvement Program

#### **Eligibility**

State, county, local and tribal agencies that meet the qualifications are eligible to apply.

#### **Deadline**

All applications are due by 3:00 p.m. on June 10, 2011.

#### **Assistance**

If you have questions about this grant solicitation or the grant management system, contact Janice Simpson, Grant Coordinator, at (602) 364-1186, Pat Nelson, Program Manager, at (602) 364-1152 or e-mail ACJC at [cjadmin@azcjc.gov](mailto:cjadmin@azcjc.gov).

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## **ABOUT THE GERALD HARDT MEMORIAL CRIMINAL JUSTICE RECORDS IMPROVEMENT PROGRAM (CJRIP)**

Funding for this program originated in 1992, when Congress initiated a requirement that each state allocate at least five percent of its total Edward Byrne Memorial State and Local Law Enforcement Assistance Formula grant funds for the improvement of criminal justice records. No longer a mandatory set-aside, the Commission continues to approve five percent of the Byrne/JAG funding for the Gerald Hardt Memorial Criminal Justice Records Improvement Grant Program to support the priorities of the [Arizona Records Improvement and Information Sharing Plan \(AZ RIISP\)](#) and follow-up recommendations from the [Arizona Records Improvement and Information Sharing Strategic Planning Session 2011](#). The Arizona Criminal Justice Commission has approved the use of Byrne/JAG funding to projects pursuant to the Department of Justice Reauthorization Act of 2005, 42 U.S.C. 3750 et seq., Section 500.

## **INTRODUCTION AND PROGRAM PRIORITIES**

The Arizona Criminal Justice Commission (ACJC) is publishing this notice to announce the Gerald Hardt Memorial Criminal Justice Records Improvement Program for FY2012. This program is designed to support records improvement efforts identified by the AZ RIISP, which has been developed and submitted to the United States Department of Justice, Bureau of Justice Assistance, and the Arizona Records Improvement and Information Sharing Strategic Planning Session 2011.

***The goal of the AZ RIISP is to improve the timeliness, completeness, accuracy, and accessibility of the state's criminal justice information systems, with an emphasis on criminal history information.*** High priority is given to addressing disposition backlogs, encouraging automation, and establishing uniform, automated procedures for reporting arrests and/or disposition information to the criminal history records Central State Repository. Criminal justice agencies are strongly encouraged to share criminal justice records data with other criminal justice agencies to increase efficiency and improve the quality of criminal justice information.

Arizona state law requires the use of criminal history record information in decisions concerning bail, offense upgrade, sentence enhancement, criminal status, probation, pre-sentence reporting, correctional classification and firearms possession. Complete criminal history records are vital to all components of the criminal justice system, as well as the many non-criminal justice users that utilize the information for employment and licensing decisions.

The ability to routinely exchange timely information across the justice flow remains a priority for Arizona. Arizona's criminal justice community is committed to preserving the integrity of criminal history record and criminal justice information by improving information systems and processes.

## **PROGRAM STRATEGY**

To achieve the goals of this program, grants will be made to state, county, local and tribal criminal justice agencies for improving the reporting, maintenance and use of criminal justice record information. Agencies should consider data management systems that enhance automated criminal history information reporting, provide information sharing across jurisdictional boundaries, reduce data entry duplication, provide courts and the Central State Repository with final disposition information of criminal charges, or promote connectivity to existing systems that align with the AZ RIISP.

**Preference will be given to projects that address disposition reporting backlogs to include processing of rejected disposition reports.** Program goals encourage procedures and systems that ensure arrest and/or disposition information is submitted to and accessible through the database of criminal history records Central State Repository at the Arizona Department of Public Safety. Priority

will be given to clearing existing backlogs of disposition report records. Applicants should include an explanation of how they are addressing the initial cause of the backlog.

## **FUNDING**

The Commission is presently making these funds available for multiple grants to be allocated directly to criminal justice agencies for projects that will achieve the goals of the Arizona Records Improvement and Information Sharing Plan in accordance with the Byrne/JAG Program. The Commission has approved the use of Byrne/JAG and CJRIP funding to projects pursuant to the Department of Justice Reauthorization Act of 2005, 42 U.S.C. 3750 et seq., Section 500. The funding level for the FY12 CJRIP grant program is set at \$334,195.

Grants may be made to any criminal justice agency, including law enforcement, prosecution, probation, courts, jails, or corrections. All projects funded under this program will be for twelve (12) consecutive months starting October 1, 2011 and ending September 30, 2012.

**Matching funds up to 25 percent may be required. All applicants must certify that required matching funds are available at time of application. The Commission will determine the necessity of matching funds based on program need at the Commission meeting scheduled on July 21, 2011. Applicants selected for an award will be notified as to the level of match funding by July 25, 2011.**

## **ALLOWABLE COSTS**

Funding may not be available in future years. Therefore, when requests are made to fund personnel or other ongoing activities or costs, applicants are strongly encouraged to identify future potential funding sources in the Project Summary section of the application. In addition, applicants should have a sustainability plan to ensure the program is ongoing beyond the available funding.

Eligible expenses include personnel, employee related expenses (ERE), overtime, software development or purchase, travel, equipment, costs related to contractual or consulting services, and operating costs.

## **FUNDING RESTRICTIONS**

Indirect costs, including expenses such as accounting, payroll, data processing, purchasing, and building use, may not be requested through this grant program.

In addition, the following items are prohibited:

- Vehicles, vessels, or aircraft;
- Luxury items;
- Real estate; and
- Construction projects.

### *Non-Supplanting:*

Federal funds must be used to supplement existing state and local funds for program activities and **must not replace** those funds that have been appropriated for the same purpose. See the [OJP Financial Guide](#) (Part II, Chapter 3). Additional information may be found in the [ACJC Grant Management Resource Manual](#).

## SPECIAL REQUIREMENTS

### Uniform Administrative Requirements and Cost Principles:

Applicants must comply with the applicable Uniform Administrative Requirements and Cost Principles as indicated in the table below.

Administrative Requirements	
OMB Circular A-102	"Grants and Cooperative Agreements With State and Local Governments."
2 CFR Part 215	"Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Non-Profit Organizations" (codified at 28 Code of Federal Regulations (CFR) Part 70) <b>(formerly known as OMB Circular A-110)</b>
Cost Principles	
2 CFR Part 220	"Cost Principles for Educational Institutions"(codified at 28 CFR Part 66, by reference) <b>(formerly known as OMB Circular A-21)</b>
2 CFR Part 225	"Cost Principles for State, Local, and Indian Tribal Governments" (codified at 28 CFR Part 66, by reference) <b>(formerly known as OMB Circular A-87)</b>
2 CFR Part 230	"Cost Principles for Non-Profit Organizations" <b>(formerly known as OMB Circular A-122)</b>
Audit Requirements	
OMB Circular A-133	"Audits of States, Local Governments, and Non-Profit Organizations" (codified at 28 CFR Parts 66 and 70).

<http://www.ojp.gov/financialguide/part1/part1chap2.htm>

### A-133 Audit or Single Audit:

To meet federal audit requirements, one copy of the most recently completed financial audit must be attached (uploaded) at the time of the application. If your agency does not have a current audit completed for the period ending June 30, 2010, the written correspondence requesting an extension to the federal cognizant oversight agency must be attached (uploaded) with the application. The correspondence must indicate the timeframe for completion and/or requested extension date.

## ADDITIONAL REQUIREMENTS

Applicants selected for awards must comply with additional legal requirements upon acceptance of an award. We strongly encourage applicants to review the information pertaining to these additional requirements prior to submitting an application.

- [Civil Rights Compliance](#)
- Faith-Based and Other Community Organizations
- Confidentiality and Human Subjects Protection (if applicable)
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA) (if applicable)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Nonsupplanting 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.

Additional information for each may be found at <http://www.ojp.usdoj.gov/funding/funding.htm>.

### **Equal Employment Opportunity Plan (EEOP)**

Declaration Claiming Exemption from the EEOP Submission Requirement and Certifying that an EEOP is on file for review: An EEOP must be developed by each DOJ grant recipient with 50 or more employees that receives an award of \$25,000 or more either directly from the Office of Justice Programs (OJP) or as a sub-grant from a state planning agency such as the Commission.

Declaration Claiming Complete Exemption: Regardless of the amount of funding or number of employees, if the recipient agency is an educational institution, non-profit organization, Indian tribe or medical institution, the agency is eligible to file a form claiming complete exemption from the EEOP requirement.

Submissions of the EEOP vary depending on the entity type, number of employees and funding level of a grantee agency.

An acceptable Equal Employment Opportunity Plan must be submitted to the Office of Justice Programs (OJP), U.S. Department of Justice, Office for Civil Rights, 810 7<sup>th</sup> Street N.W., Washington D.C. 20531, if the grantee is required to submit one pursuant to 28 CFR 42.302. An EEOP is a comprehensive document that analyzes a recipient's relevant labor market data, as well as the recipient's employment practices, to identify possible barriers to the participation of women and minorities in all levels of a recipient's workforce. Its purpose is to ensure the opportunity for full and equal participation of men and women in the workplace, regardless of race, color or national origin. The Department of Justice (DOJ) comprehensive guidelines for developing an Equal Employment Opportunity Plan can be found at 28 CFR § 42.301 et seq.

The following guidelines should be used to determine what information, if any, must be submitted to Office for Civil Rights (OCR):

An agency **does not** need to return an EEOP to ACJC if it is a non-profit organization, educational institution, Indian tribe or medical institution or is not receiving a signed grant or sub-grant award of at least \$25,000. A certification form must be completed and filed with ACJC who will then file it with OCR.

An agency **must submit** a Certification to OCR if it is receiving a single award for at least \$25,000, but has less than 50 employees or has 50 or more employees and is receiving a single award for at least \$25,000, but less than \$500,000.

An agency **must submit** a copy of its EEOP or EEOP Short Form to OCR if it is receiving a single grant award of \$500,000 or more or an aggregate of grant awards for \$1,000,000 or more during an 18-month period and has 50 or more employees.

**All grantees must forward to OCR a copy of any finding for discrimination made against their agency after a due process hearing (within the past five years) within 30 days of such finding.** For more information consult the Office for Civil Rights (OCR) web site at [www.ojp.usdoj.gov/ocr](http://www.ojp.usdoj.gov/ocr).

## **CERTIFICATIONS**

### **Civil Rights**

All recipients of federal funds, regardless of the type of entity or the amount of money awarded, must provide assurance that they will not discriminate against any person on the grounds of race, color, religion, sex, national origin, age or disability, in any program or activity funded in whole or in part by federal financial assistance. The recipient must certify that it will comply with all applicable non-discrimination laws and regulations, and must submit this assurance with the online application as a condition of receiving federal funds (See 28 CFR 42.204).

Specifically, the statute that governs OJP funded programs or activities (Section 809 C), Omnibus Crime Control & Safe Streets Act of 1968, as amended 42 U.S.C. 3789d, (the OJP program statute), prohibits such discrimination, as follows:

No person in any State shall on the ground of race, color, religion, national origin, sex (or disability)\* be excluded from participation in, be denied the benefits of, or be subjected to discrimination under or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title.

\*Section 504 of the Rehabilitation Act of 1973 prohibits identical discrimination on the basis of disability.

The Assistant Attorney General of OJP has delegated the enforcement of civil rights compliance of all OJP grantees to the Director, Office for Civil Rights (OCR). The director has civil rights enforcement responsibilities and determines through established policies and procedures whether any person is being excluded from participating in, denied the benefits of, subjected to discrimination under, or denied employment in connection with the program or activity receiving OJP fund on these grounds. Where such discriminatory actions are found through compliance reviews or complaint processing the recipient agency may be determined to be in noncompliance for violation of the law and of its signed assurances. If attempts to secure voluntary compliance through negotiations are not successful, the sanction of suspension or termination of funding is required by statute. Some specific forms of discrimination that are prohibited are set out in the OJP program statute's implementing regulations 28 CFR 42.203 and 28 CFR 42.403 section 504. For more information consult the Office for Civil Rights (OCR) web site at [www.ojp.usdoj.gov/ocr](http://www.ojp.usdoj.gov/ocr).

## **REPORTING REQUIREMENTS**

**Quarterly financial reports:** Grantees are required to submit quarterly financial reports for expenditure reimbursement.

**Quarterly activity reports:** Grantees are required to measure project performance and report on progress towards the goals and objectives identified in their grant application.

## **PERFORMANCE MEASURES**

Applicants should provide information in the application to explain their data collection methods and how data collected will measure the results of their work. Performance measures should be tied to activities that improve criminal history information or criminal justice information systems or processing.

Assistance with creating performance measures is available by permission through the SEARCH organization. See slides 15, 22, 28, 34, and 38. This is a large PowerPoint document that may require a few minutes to download:

<http://www.search.org/files/ppt/presentations/jacksonville/PerformanceMgmtRoberts-Prisoc.ppt>.

Performance measures used by BJA are also available:

[http://www.ojp.usdoj.gov/BJA/grant/JAG\\_Measures.pdf](http://www.ojp.usdoj.gov/BJA/grant/JAG_Measures.pdf).

## **SELECTION CRITERIA AND ALLOCATION PROCESS**

Applications will be evaluated by a review team comprised of commission staff and at least one outside reviewer. Commission staff will prepare a proposed allocation plan for review by the Information and Technology Committee of the Commission. Award recommendation and proposed allocation of funds will be based on the amount requested and the following factors:

- (a) The extent to which the proposed activities align with the goals of the Criminal Justice Records Improvement Program,
- (b) The extent to which the proposed activities address disposition reporting backlogs,
- (c) The extent to which the proposed activities further the automation of disposition reporting,
- (d) The extent to which the proposed activities impact the accuracy, completeness, timeliness, and/or automation of criminal justice information, including arrest and/or disposition information,
- (e) The technical feasibility of the proposal and extent to which the proposal appears reasonable in light of the agency's current level of system development,
- (f) The reasonableness of the budget,
- (g) The extent to which the application reflects a constructive interface between relevant components of the local and state criminal justice systems.

This proposed allocation plan will be submitted to the Information and Technology Committee of the Commission for review. The Committee will formulate a recommendation regarding the allocation plan, which will be forwarded to the Criminal Justice Commission for review and final action. The proposed allocation plan will be made available to all applicants in the meeting agendas. Funds will then be disbursed to agencies in accordance with the Commission's final approved allocation plan. Funds will be disbursed to agencies on a reimbursement basis upon submission of a report showing allowable expenditure.

*Scoring*

- **Statement of the Problem** (10 percent)  
Identify the precise problem to be addressed by the project. Information should be clearly stated and supported with statistics. Information should be provided that identifies problem causes.
- **Project Design and Implementation** (30 percent)  
Describe project plan in accordance with program priorities. Project should address problems identified in the Problem Statement and should include objective(s) that link to meaningful and measurable outcomes. Application should demonstrate project sustainability. Discuss the significance of project activities to improve criminal history records, criminal justice information systems, or processing within the criminal justice system.
- **Goals, Objectives and Timeline** (20 percent)  
Describe how project will reach the goals and objectives outlined in the application. Tie program activities to goals, objectives and performance measures applicable to the project. Include a timeline that identifies milestones and deliverables.
- **Budget** (20 percent)  
Provide a detailed budget and a budget narrative that are complete, include allowable costs, and justify based on the proposed project.
- **Impact, Evaluation and Sustainability** (20 percent)  
Demonstrate project's impact to improve the functioning of the criminal justice system. Discuss how project will be measured, evaluated, and sustained.

## **GRANT FUNDED RECORDS INTEGRATION PROJECT REQUIREMENTS**

Due to the limited federal budget for criminal justice records integration, grant applications are becoming more restrictive and a strong emphasis is being placed on collaboration and multi-agency representation. To insure continued cooperation and success of projects, the following requirements are to be included in the Arizona Criminal Justice Commission grant funded records integration projects:

1. A project team must be established that includes a representative of each agency that is involved in the project.
2. A project business justification plan that includes the following:
  - A. Project scope
  - B. Funding requirement
  - C. Governance of project
  - D. List of agencies involved
  - E. Project goals and objectives
  - F. Critical success factors
  - G. Assumptions
  - H. Anticipated return on investment
  - I. High level milestone plan that includes the following:
    - Estimate for system requirements completion (time required or by completion date)
    - Evaluation and performance measures defined for improvements to the timeliness, accuracy and completeness of criminal history records (time required or by completion date )
    - Estimate for project security requirements completed (time required or by completion date)
    - Final system testing completed (time required or by completion date)
    - Expected roll-out (date)
    - Transition of maintenance and support of system from grant funding to full operation (time required or by completion date).
3. Project monitoring will be required and include the following sign-off documents:
  - A. Project plan finalized (date & signatures of project team members)
  - B. Final system testing completed (date & signatures of project team members)
  - C. End-user acceptance sign-off (date & signatures of project team members and agency heads)
  - D. Production "go-live" sign-off (date & signatures of project team members).
4. Projects involving multi-agency cooperation and requiring long-term commitments for ongoing maintenance and support after the initial project completion shall have a signed Memorandum of Understanding (MOU) at start of project to address continued maintenance and support of the project.

## **APPLICATION SUBMISSION PROCESS**

The grant application for FY2012 must be completed and submitted using the ACJC Grant Management System (GMS). This allows you to create, submit and monitor your application and grant through a private, secure web page at <http://www.azcjc.gov/GMS2/LogIn.aspx>. The application must be completed via this online system and submitted electronically. Detailed application instructions including information on how to access the GMS, will be available at <http://www.azcjc.gov/ACJC.Web/Grants/> in the Systems Improvement section of the web page.

***Paper or emailed applications will not be accepted. All applications and attachments must be submitted through the ACJC Grant Management System (GMS):***

***<http://www.azcjc.gov/GMS2/LogIn.aspx>.***

***The application must be successfully submitted to the GMS no later than 3:00 p.m., Friday, June 10, 2011. Late applications will not be accepted by the GMS or considered by ACJC.***

Funding recommendations will be presented for the Commission's approval at the meeting scheduled for Thursday July 21, 2011.

## **APPEAL PROCESS**

Applicants are entitled to a two-step appeal process if their application is denied. The evaluation of applications by the review team results in a funding proposal presented to the appropriate Committee of the Arizona Criminal Justice Commission. If your application is not included in the initial proposal, you have the right to verbally appeal to the Committee. At that point, the Committee will either continue as proposed by staff and recommend the proposal to the Commission or make changes and recommend the revised proposal to the Commission. If your application is not recommended by the Committee, you have the right to verbally appeal to the Commission. The Commission can then either approve the recommendation of the Committee, or make changes to the Committee proposal. The vote of the Commission is the final step of the process and no further appeals will be granted.

**Gerald Hardt Memorial Criminal Justice Records Improvement Program (CJRIP)  
FY2012 Scorecard**

Applicant \_\_\_\_\_

Reviewer \_\_\_\_\_

Selection Criteria	Description	Points Possible	Points given
<p><b><u>Statement of the Problem</u></b> Precise problem to be addressed</p>	<ul style="list-style-type: none"> <li>▪ Problems are clearly stated</li> <li>▪ Problem causes are identified</li> <li>▪ Supporting information supplied for problems identified</li> <li>▪ Problem can be addressed with program purpose</li> </ul>	<b>10 pts</b>	
<p><b><u>Project Design and Implementation</u></b> Under CJRIP priorities, project activities improve the functioning of the CJ system</p>	<ul style="list-style-type: none"> <li>▪ Project supports CJRIP priorities</li> <li>▪ Project improves information processing/systems integration</li> <li>▪ Project design, activities are clearly described</li> <li>▪ Project addresses the problems stated</li> <li>▪ Solution is achievable</li> <li>▪ Project is technically feasible, including compliance with NIEM</li> <li>▪ Project activities are logically connected to solution</li> </ul>	<b>30 pts</b>	
<p><b><u>Goals, Objectives, Timeline</u></b> Activities tied to goals, objectives and applicable performance measures. Include a timeline that identifies milestones and deliverables</p>	<ul style="list-style-type: none"> <li>▪ Goals and objectives link to CJRIP program priorities</li> <li>▪ Goals and objectives relate to the problems identified</li> <li>▪ Objectives are measurable and appropriate for determining project success</li> <li>▪ Objectives link to project goals and activities</li> <li>▪ A timeline for project deliverables is identified with specific milestones</li> </ul>	<b>20 pts</b>	
<p><b><u>Budget</u></b> Comprehensive budget and budget narrative that are complete, allowable, and justified based on the proposed project</p>	<ul style="list-style-type: none"> <li>▪ Budget costs are reasonable and allowable</li> <li>▪ Matching funds are identified (if applicable)</li> <li>▪ Budget aligns with project activities</li> </ul>	<b>20 pts</b>	
<p><b><u>Impact, Evaluation and Sustainability</u></b> Project's impact to improve the functioning of the CJ system. Project measures, evaluation, and sustainability are addressed</p>	<ul style="list-style-type: none"> <li>▪ Project demonstrates impact to improving the CJ system – emphasis on disposition reporting including clearing backlogged disposition records</li> <li>▪ Performance measures are identified</li> <li>▪ Performance measures are appropriate and collectible</li> <li>▪ Sustainability beyond grant period is addressed</li> </ul>	<b>20 pts</b>	
		<b>100 pts possible</b>	