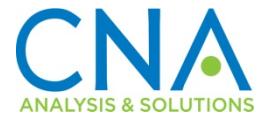


# Strategies for Policing Innovation

## 2018 New Site Orientation Webinar



January 15, 2019  
2:30—4:00 p.m. Eastern



# Agenda



- Welcome and Introductions
- Strategies for Policing Innovation (SPI) Overview
- Brief History
- Goals, Principles, and Key Concepts
- Outcomes, and Lessons Learned
- SPI Training and Technical Assistance (TTA) Overview
- Grant Management
- Next Steps



# Welcome and Introductions



# Bureau of Justice Assistance SPI Team



**Catherine  
"Kate"  
McNamee**  
SPI Senior Policy  
Advisor



**Alyse  
Altenburg**  
SPI Policy  
Advisor



**Geislia  
Barnes**  
State Policy  
Advisor



**Heather  
Wiley**  
State Policy  
Advisor



# CNA TTA Management Team



Chip Coldren,  
Project Director

---

Primarily responsible for the strategic direction and planning of SPI to ensure the success of local SPIs across the country



Chris Sun,  
Project Manager

---

Oversees the management and coordination for SPI activities and TTA delivery; supports strategic planning of the initiative

# CNA TTA Team



**Charles Stephenson,**  
Senior Subject Expert, Technology  
and Webinar Coordinator

Supports assistance to SPI  
sites in law enforcement  
operations specific to  
technology



**Scott Decker,**  
Senior Subject Expert  
Evaluation

Supports SPI evaluation  
activities, including SPI  
Spotlight Reports and  
Action Plan review



**Hildy Saizow,**  
Senior Subject Expert  
Outreach

Supports the coordination  
of subject expert activities  
and police-community  
collaboration TTA



**Michael White,**  
Senior Subject Expert  
Research

Supports research  
activities, including SPI  
Spotlight Reports and  
Research Assessments



**Tom Woodmansee,**  
Senior Subject Expert-  
Operations

Supports assistance to SPI  
sites in law enforcement  
operations and focused  
deterrence

# CNA TTA Team



**Emma Wohl**  
**Outreach Coordinator**

Responsible for all SPI outreach and marketing, including the SPI website, newsletter, and social media



**Brittany Cunningham**  
**CNA Analyst**

Provides analytic and technical support in data collection and TTA delivery; serves as a site-assigned Analyst



**Lily Robin**  
**CNA Analyst**

Provides analytic and technical support in data collection and TTA delivery; serves as a site-assigned Analyst



**Keri Richardson**  
**CNA Analyst**

Provides analytic and technical support in data collection and TTA delivery; serves as a site-assigned Analyst



**Mia Hicks**  
**CNA Analyst**

Provides analytic and technical support in data collection and TTA delivery; serves as a site-assigned Analyst

# Introduction – Subject Experts and Analysts



Site	Subject Experts		CNA Analyst
<b>Kansas City, KS</b>	Tom Woodmansee	Scott Decker	Chris Sun
<b>Los Angeles, CA</b>	John Skinner	Laura Kunard	Brittany Cunningham
<b>Pasco County, FL</b>	Tom Woodmansee	Gary Cordner	Emma Wohl
<b>Reno, NV</b>	Hildy Saizow	Julie Wartell	Emma Wohl
<b>St. Louis, MO</b>	Terry Gainer	Charles Stephenson	Keri Richardson





# SPI Overview



# SPI Beginnings



- Launched by the Bureau of Justice Assistance (BJA) in 2009
- Focus:
  - Impact of policing strategies and tactics
  - Prevention orientation
  - Economic downturn
  - Methodological rigor in studies of policing effectiveness



# SPI Goals



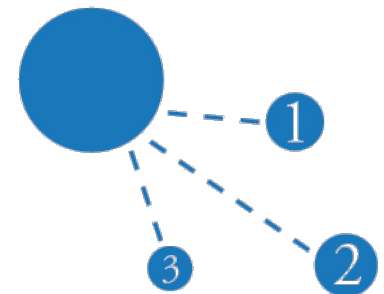
Establish and/or expand evidence-based programming in police agencies to increase their ability to **effectively and sustainably prevent and respond to crime.**



# SPI Goals



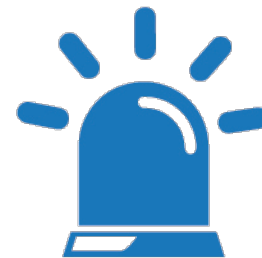
Use **technology, intelligence, and data in innovative ways** that enable police agencies to focus resources on the people and places associated with high concentrations of criminal behavior and crime.



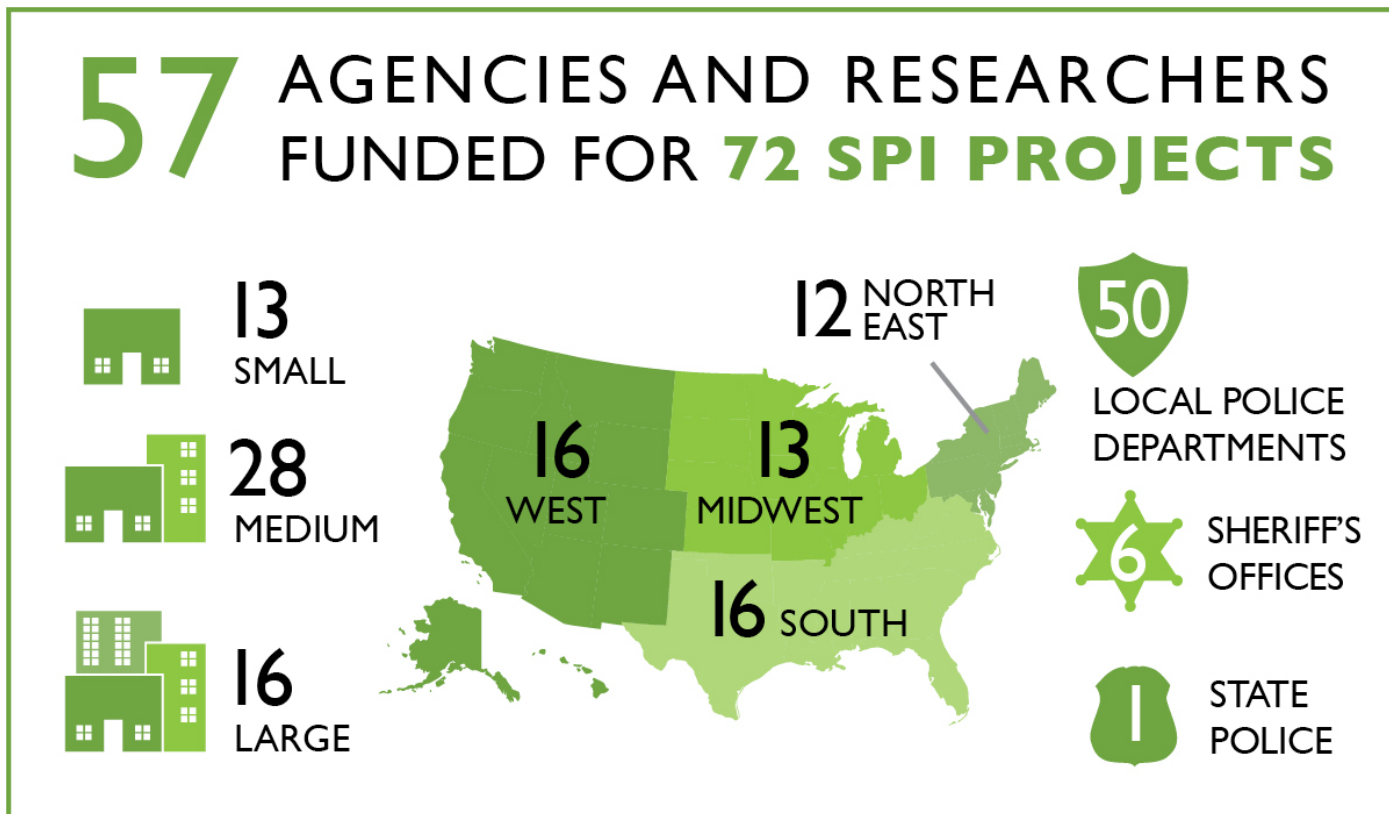
# SPI Goals



**Advance the state of  
policing practice and  
science** for the benefit of  
the entire field.



# What Has Happened?





# What Has Happened?



- Increased rigor of evaluation designs
- Improved policing and community outcomes
- Addressed targeted problems, including organizational change targets
- Learning from the field

# How Rigorous is SPI Research?



- From 2009 to 2011, just **under 50% of sites' research designs** scored a 3 or above on the Maryland Scientific Scale

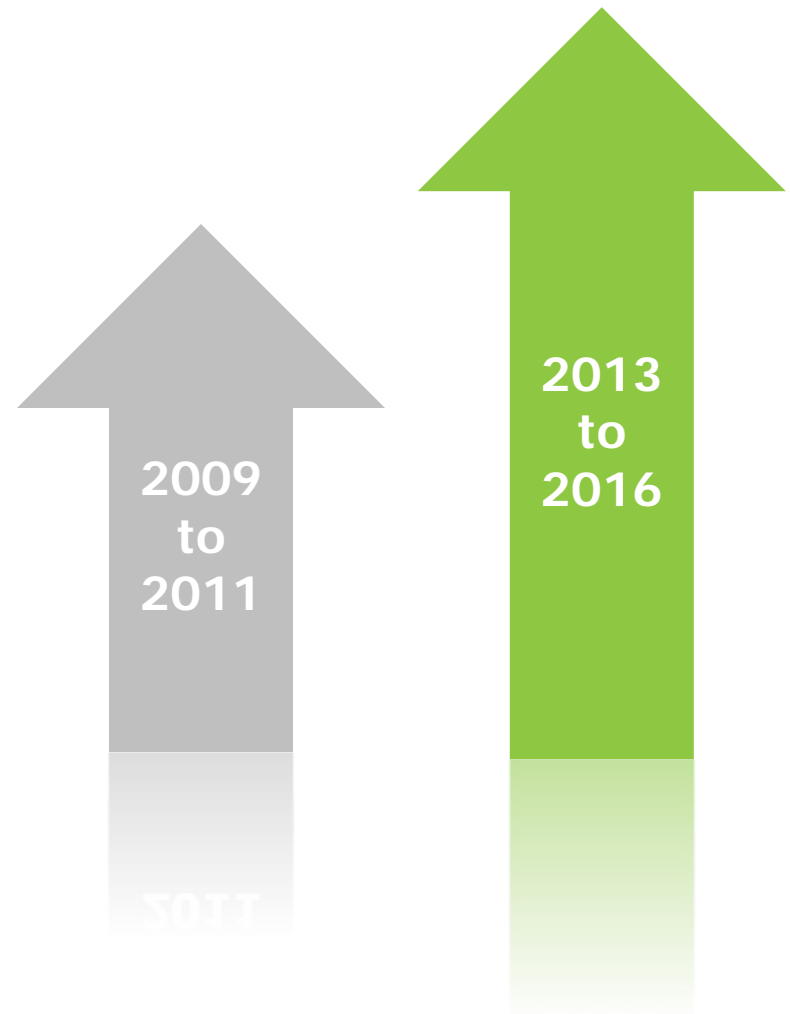




# How Rigorous is SPI Research?



- From 2013 to 2017, **over 75% of sites** scored a 3 or above on the Maryland Scientific Scale



# Research Findings



- **Statistically significant reductions** in violent crime, other crimes, disorder problems in most SPI sites
- **Sound methodologies with little or no effects detected** in other sites



# SPI: Assessment Findings, 2012-2017

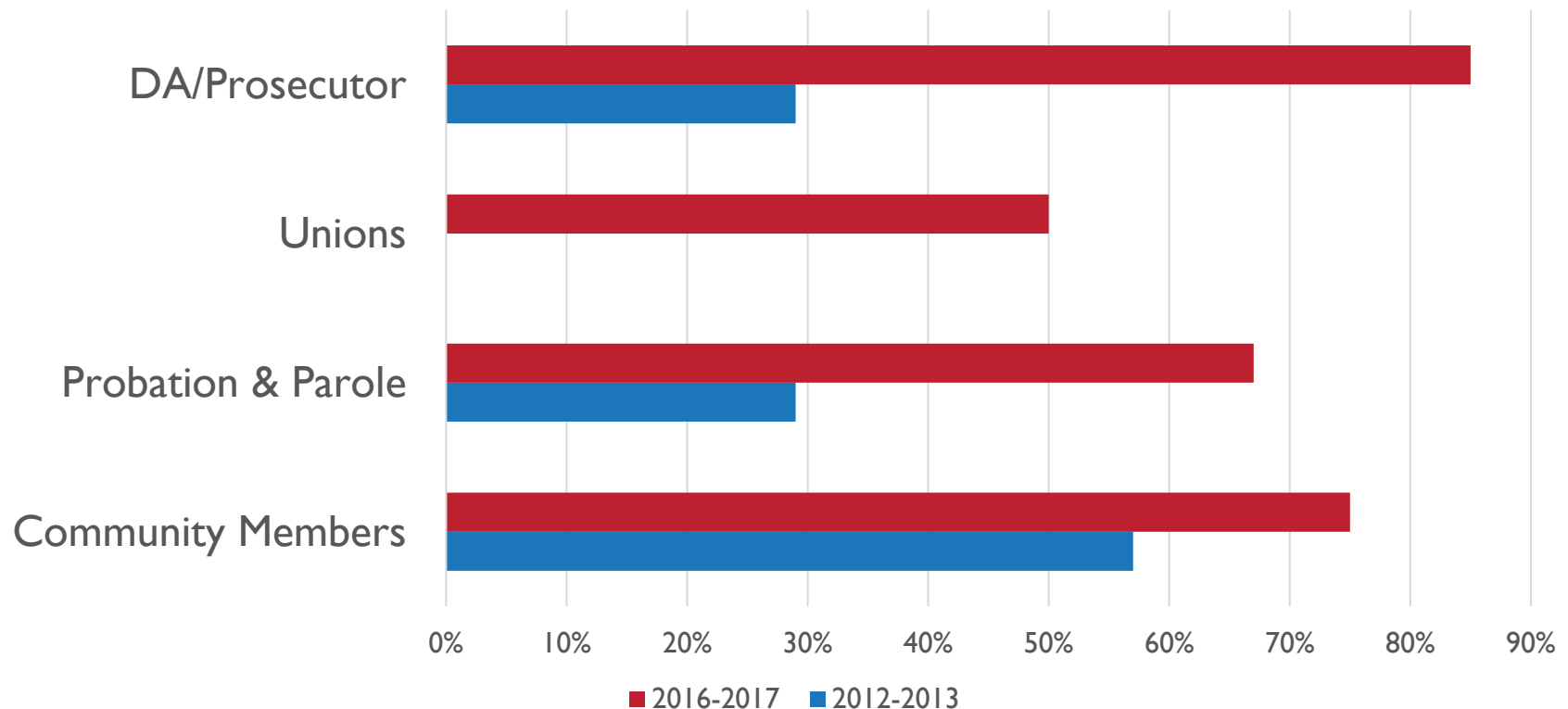


- All or most sites employ Problem-Oriented Policing
- All or most sites employ “Hot Spots” policing
- More sites tending to employ focused deterrence approaches
- All sites use Field Intelligence data collection forms
- Fewer sites include crime analysts in their regular SPI meetings

# SPI: Assessment Findings



How often does the law enforcement agency communicate with...?  
(% indicating weekly, daily, or monthly)



# Following the Evidence Leads to Interesting Innovations



Los Angeles, CA

Problem-Oriented Policing (POP) + creative use of analytics and intel

# Following the Evidence Leads to Interesting Innovations



Los Angeles, CA

Problem-Oriented Policing (POP) + creative use of analytics and intel

Rochester, NY

Dispute risk assessment tool

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Partnership with local businesses to reduce violent crime and build technology infrastructure

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Boston, MA

Violence reduction → focus on homicide clearance rates



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Boston, MA

Violence reduction → focus on homicide clearance rates

Portland, OR

Community outreach officer activity via mobile app

# What Are We Learning?



- Measuring “dosage”
- Measuring what officers actually do
- Rapid movement from field intelligence to actionable analytic findings; building and harnessing analytic capacity

# What Are We Learning?



- In-reach and Outreach → Sustainability
- Collaboration is a vital component of success
- Planning for integration and sustainability
- Interplay between crime analysis and research partnerships
- Evidence-based approaches can result in very interesting innovations



# Stop and Talk





# SPI Training and Technical Assistance (TTA)



# SPI Phases



1

## Action Planning

During the initial 180 days of the SPI award, sites must complete an SPI Action Plan.

2

## Implementation

Upon SPI Action Plan approval, sites execute their SPI Action Plan (operation and evaluation).

3

## Close Out

Sites complete and submit to BJA a final research report 90 days after the award end date.

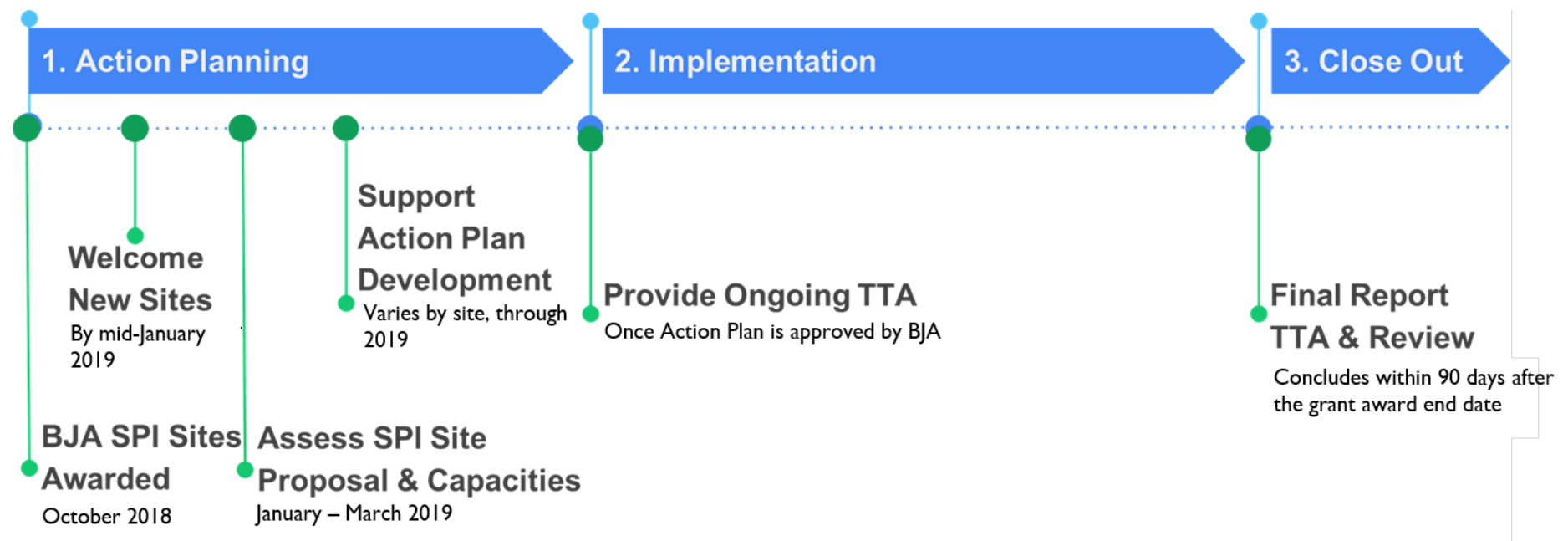
# TTA Approach



- Our approach to TTA is:
  - Relationship Based
  - Non-Directive
  - Success and Outcome-Oriented

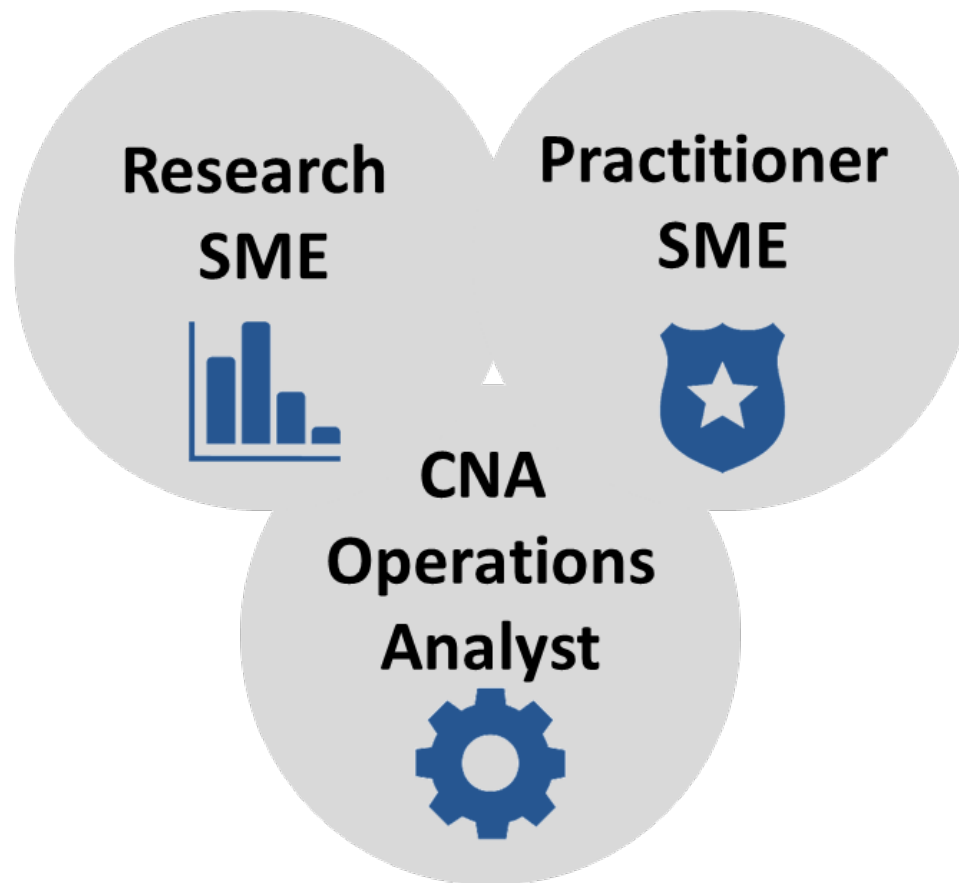


# SPI TTA Process





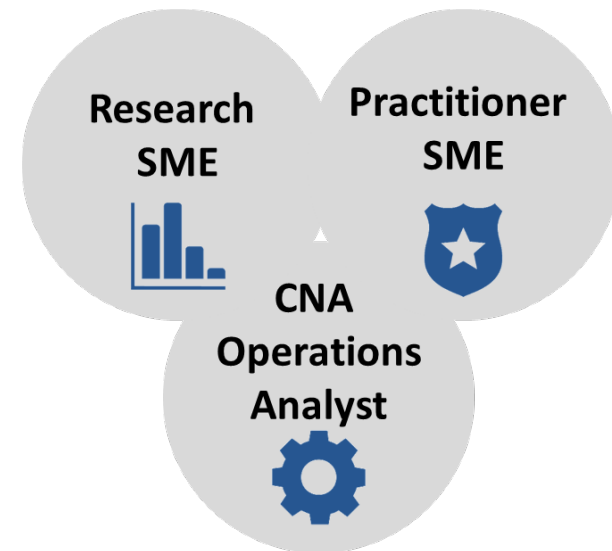
# Your TTA Team



# What Do They Do?



- Your TTA Team:
  - Gains a detailed knowledge of your site
  - Supports development and review of your Action Plan
  - Identifies challenges, issues, and TTA needs as they emerge
  - Recommends and supports the delivery of TTA
  - Provides guidance, support, and information
  - Identifies success stories



# Targeted Technical Assistance



- Improving crime analysis capacity
- Conducting focused deterrence
- Securing buy-in with stakeholders
- Developing sound evaluations
- Administering research surveys
- Integrating evidence-based policing into policies and practices



# Peer Exchanges



- Increasing collaboration and coordination
- Overcoming internal barriers
- Learning evidence-based strategies
- Examples
  - Kansas City-Portland (place-based strategies)
  - Toledo-Los Angeles (offender-based strategies)
  - Atlanta-San Francisco (hospital-based violence intervention program)



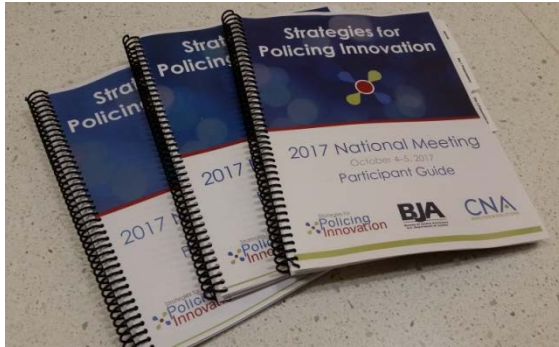
# Webinars



All webinars are posted on the SPI Website  
[www.strategiesforpolicinginnovation.com](http://www.strategiesforpolicinginnovation.com)

- Problem-Oriented Policing
- Crime Analysis in SPI
- Criminology 101 and 102
- Collaborating with Communities of Color
- Community Responses to People in Crisis
- Basics of Evaluation for Practitioners
- Less Lethal Technologies in Law Enforcement
- Collective Efficacy

# Meetings and Workshops



**Innovations Suite Practitioner-Researcher  
Fellow Academy**

- Learning SPI best practices and lessons learned
- Sustainability Strategies for Policing Innovation principles
- Collaborating and learning from your peers
- Problem-solving on your project
- Discussing emerging evidence-based policing issues

# Publications



- Learning proven and tested strategies
- Evaluating your SPI
- Learning about SPI from the perspectives of researchers and police
- Keep updated on recent SPI activities and emerging findings



# SPI Website



- Sharing your project on your site page
- Learning SPI findings
- Hearing stories from other SPI sites through podcasts
- Enhancing your knowledge through our library of resources
- Engaging and interacting with the SPI community



# Tailored TTA



- CNA can tailor and develop additional TA in response to requests that are not described above and are specific to an SPI grantee needs.
- Examples
  - Brooklyn Park: collective efficacy
  - Kansas City, Cambridge, Columbia: focused deterrence
  - New Haven, Miami: Project re-scope/re-focus
  - Columbia, East Palo Alto, Atlanta: police leadership turnover
  - Multiple: crime analysis, data integration

# Requesting TTA



- **Requesting TTA**
  - Complete the **TTA Request Form** and submit it to your TTA Team. Accessible here:  
[www.strategiesforpolicinginnovation.com/tta/spi-site-tta](http://www.strategiesforpolicinginnovation.com/tta/spi-site-tta)
  - Your TTA Team then submits the request to the CNA TTA Management Team.
- **How BJA/CNA Responds to TTA Requests**
  - BJA and CNA determine the course of action—for example, a TTA-focused site visit, or additional subject expert support.
  - CNA then contacts your site directly regarding fulfilling your TTA request.



# Stop and Talk





# Grant Management



# DOJ Grants Financial Guide



- The Point of Contacts and all Financial Point of Contacts must complete the DOJ Grants Financial Management Online Training:  
<https://ojp.gov/training/fmts.htm>
- The training is largely based on the information provided in the DOJ Grants Financial Guide:  
<https://ojp.gov/financialguide/doj/index.htm>

# Access to Grant Funds



- Please read the General and Special Conditions of your grant.
- Budget Clearance and Special Conditions must be addressed to access grant funds.
- The recipient is authorized to incur obligations, expend, and draw down funds in an amount not to exceed \$150,000 to develop an SPI Action Plan.

# Grant Adjustment Notice (GAN)



- A GAN is used to request project changes and/or corrections. Contact your Grant Manager prior to submitting a GAN.
- GANs are submitted and approved through GMS. GAN types include:
  - Budget Modifications
  - Change of Scope
  - Project Period
  - Point of Contact Information
  - Removal of Special Conditions
  - Sole Source
  - Costs Requiring Prior Approval
- GANs will not be approved if the grantee is delinquent on financial or programmatic reporting.

# Reporting Reminders



Report type:	System:	Reporting period:	Due by:	Help Desk:
Financial Financial Reports (SF-425)	GMS <a href="https://grants.ojp.usdoj.gov/">https://grants.ojp.usdoj.gov/</a>	<ul style="list-style-type: none"> <li>• Jan 1 - Mar 31</li> <li>• Apr 1 - Jun 30</li> <li>• Jul 1 - Sep 30</li> <li>• Oct 1 - Dec 31</li> </ul>	<ul style="list-style-type: none"> <li>• 30 April</li> <li>• 30 July</li> <li>• 30 October</li> <li>• 30 January</li> </ul>	OCFO Customer Service 800-458-0786 <a href="mailto:ask.ocfo@usdoj.gov">ask.ocfo@usdoj.gov</a>
Semi-annual (Narrative) Progress Report <a href="https://ojp.gov/trainin/g/gmstraining.htm">https://ojp.gov/trainin/g/gmstraining.htm</a>	GMS <a href="https://grants.ojp.usdoj.gov/">https://grants.ojp.usdoj.gov/</a> * Attach PMT Report	<ul style="list-style-type: none"> <li>• Jan 1 – Jun 30</li> <li>• Jul 1 – Dec 31</li> </ul>	<ul style="list-style-type: none"> <li>• 30 July</li> <li>• 30 January</li> </ul>	GMS Help Desk 888-549-9901 <a href="mailto:GMS.HelpDesk@usdoj.gov">GMS.HelpDesk@usdoj.gov</a>
BJA Quarterly Performance Measures <a href="https://ojp.gov/performance/">https://ojp.gov/performance/</a>	PMT <a href="https://bjapmt.ojp.gov">https://bjapmt.ojp.gov</a>	<ul style="list-style-type: none"> <li>• Jan 1 - Mar 31</li> <li>• Apr 1 - Jun 30</li> <li>• Jul 1 - Sep 30</li> <li>• Oct 1 - Dec 31</li> </ul>	<ul style="list-style-type: none"> <li>• 30 April</li> <li>• 30 July</li> <li>• 30 October</li> <li>• 30 January</li> </ul>	PMT Help Desk 888-252-6867 <a href="mailto:bjapmt@usdoj.gov">bjapmt@usdoj.gov</a>



# Prior Approval of Certain Costs



- Written prior approval must be obtained for some costs by submitting a GAN, contact your Grant Manager:
  - Compensation for consultant services in excess of the maximum daily rate for an 8-hour day of \$650 or hourly rate of \$81.25 per hour.
  - Publication plans
  - Costs incurred prior to the date of the subaward period
  - Foreign travel

# Common Areas of Noncompliance



- FFATA Reporting
  - Prime recipients of awards \$25,000 or more, must report on any first-tier subawards and subcontracts of \$25,000 within one month following subaward.
  - To help navigate the submission process, user guides, FAQs, and online demos are available at [www.fsrs.gov/resources](http://www.fsrs.gov/resources).
- Subrecipient Monitoring
  - Grantees are responsible for policies and procedures in place to ensure compliance with federal regulations regarding subaward monitoring.

# Common Areas of Noncompliance (cont.)



- Late Reporting
  - Must submit all reports even if no activity occurred during the reporting period.
  - PMT report can be marked “Not Operational”, but provide an explanation as to why no activities occurred.
  - The “GMS report” created in the PMT must be attached to the GMS progress report in order to be complete.
  - Narrative questions at the end of the PMT report should cover the entire **6 month** reporting period.

# Subawards and Procurement Contracts under OJP Awards



- Grantees must determine if passthrough funds are considered subawards or procurement contracts.
- OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts: <https://ojp.gov/training/subawards-procurement.htm>
- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist](#)

# Subawards Management and Monitoring Overview



- Maintain written policies and procedures for subrecipient award process per 2C.F.R. § 200.303 and 200.331. These policies and procedures should have specific sections around pre-award and post-award responsibilities.
- Pre-award procedures must include
  - Ensurance that the proposed subrecipient is not suspended or debarred by the federal government;
  - Process to ensure that the subrecipient agreement includes the required data elements;
  - Process to ensure that applicable federal special conditions pass down to the subrecipient award.
- Post-award procedures must contain a risk-based approach for selecting subrecipients to monitor; a process for on-site monitoring; a monitoring checklist that satisfies administrative, financial, and programmatic elements; process for documenting findings in a report; and procedures for follow-up on issues for resolution.
- The grantee's subrecipient policies and procedures should include a process for closing out subawards.

# Procurement Overview



- All procurement transactions must be conducted in a manner to provide the maximum extent practical, open and free competition.
- Grantees should follow their local/state guidelines for procurement:
  - When deciding the specific processes for bids, timelines, and how the scope of those documents you should use your local/state guidelines as long as these do not contradict Federal regulations on procurement
- There are certain circumstances that may call for other than full and open competition. These circumstances may result in “sole sourcing” contracting.
  - To request advance approval from OJP to use a noncompetitive approach for a procurement contract that would exceed the simplified acquisition threshold (\$150,000), the recipient must submit a justification for use of a noncompetitive approach
  - Sole source contracting that does not exceed the \$150,000 threshold for approval should still follow the OJP financial guide requirements

# Grant Closeout



- Standard Closeout:
  - Submitted within 90 calendar days after the grant end date.
  - All administrative, programmatic, and financial requirements have been met.
  - All expenses must be obligated by the last day of the project period.
  - GMS will begin notifying the grantee 60 days prior to the grant end date.
- Administrative Closeout:
  - On the 91st day after the grant end date, GMS will automatically freeze funds, initiate an administrative closeout and notify the grantee.
  - The grantee is unwilling/non-compliant or unable to complete closeout requirements

# Additional Grant Management Resources



- **OCFO** Customer Service Center: 1-800-458-0786 [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov)
- Grant Payment Request System (GPRS) User Guide: <http://www.ojp.gov/about/pdfs/gprsuserguide.pdf>
- Grants Management System (GMS): <https://grants.ojp.usdoj.gov/>
- GMS Training Resources: <http://ojp.gov/training/gmstraining.htm>
- GMS Training Tool: <http://www.ojp.gov/gmscbt/>
- GMS Help Desk: 202-514-2024 (option 3)
- DOJ Grants Financial Guide: <http://ojp.gov/financialguide/DOJ/index.htm>
- DOJ Grants Financial Management Training Site: <http://gfm.webfirst.com/>
- BJA Performance Measurement Tool (PMT): <https://bjapmt.ojp.gov> ,
- BJA PMT help desk [bjapmt@usdoj.gov](mailto:bjapmt@usdoj.gov) or 1-888-252-6867



# BJA Grant Contact Information



- **For programmatic questions:**

Kate McNamee

(202) 598-5248

[Catherine.McNamee@ojp.usdoj.gov](mailto:Catherine.McNamee@ojp.usdoj.gov)

- **For grant-related questions:**

Heather Wiley

(202) 598-3969

[Heather.Wiley@usdoj.gov](mailto:Heather.Wiley@usdoj.gov)

Geislia Barnes

(202) 514-8516

(202) 598-7368 - Mobile

[Geislia.Barnes@usdoj.gov](mailto:Geislia.Barnes@usdoj.gov)



# Next Steps and Activities



# Begin Working with Your TTA Team



- Monthly update calls
- SPI Capacity Assessment
- Research Design Assessment
- TTA Recommendations
- SPI Action Plan
- Site Visit (early 2019)
- SPI National Meeting (fall 2019)

# SPI Capacity Assessment



1. SPI Scope
2. Evidence-Based Policing
3. Data and Information Analysis
4. Research Capacity and Partnerships
5. Outreach and Collaboration
6. Sustainability and Organizational Change

The screenshot shows a web-based assessment form titled "SPI Scope" under the heading "Strategies for Policing Innovation". The form includes the following sections:

- Page 3**
- SPI Scope**
- Briefly, what is the target problem for your SPI?** (Text input field)
- Briefly, what is the research strategy/model for your SPI?** (Text input field)
- Which of the following describe the goal(s) of your SPI? (Check all that apply)**
  - ☐ Aim to prevent or reduce crime, delinquency, or related problem behaviors (such as aggression, gang involvement, drug abuse, or school attachment)
  - ☐ Aim to prevent, intervene, or respond to victimization
  - ☐ Aim to improve justice systems or processes
  - ☐ Focus on a specific places or locations (e.g., hotspots, micro places, buildings/apartment complexes, retail establishments, schools)
  - ☐ Focus on a specific population (e.g., juveniles, adults, immigrants, etc.)

# SPI National Meeting (Fall 2019)



- Training on Core Principles (e.g., collaboration, sustainability, research)
- Keynote Speaker(s)
- Topically-based Panels (presentations from sites)
- Peer Networking and Breakout Sessions
- Individual Site Team Meetings



# Questions?



## Thank you!

- SPI TTA Team -

[www.strategiesforpolicinginnovation.com](http://www.strategiesforpolicinginnovation.com)

[spi@cna.org](mailto:spi@cna.org)