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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP) [Bureau of Justice Assistance](#) (BJA) is pleased to announce that it is seeking applications for funding under the Improving Criminal Courts Program. This program furthers the Department's mission by improving criminal court systems, including problem-solving courts, and judicial training.

## Improving Criminal Courts FY 2011 Competitive Grant Announcement

### Eligibility

Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, and institutions of higher learning that support national initiatives to improve the functioning of the criminal justice system. For-profit organizations must agree to waive any profit or fees for services. Applicants are strongly encouraged to partner with other organizations to submit joint applications for the required services and deliverables.

### Deadline

Registration with [Grants.gov](#) is required prior to application submission. (See "How to Apply," page 14.) All registrations and applications are due by 11:59 p.m. eastern time on July 8, 2011. (See "Deadlines: Registration and Application," page 3.)

### Contact Information

For technical assistance with submitting the application, contact Grants.gov Customer Support Hotline at 1-800-518-4726 or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, seven days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com), or by [live web chat](#). The BJA Justice Information Center hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to announcement: BJA-2011-3063

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# Improving Criminal Courts Program CFDA #s 16.751, 16.738, and 16.585

## Overview

This FY 2011 grant announcement focuses on national, state, local, and tribal initiatives to improve the functioning of the criminal justice system, in particular to provide training and technical assistance to problem-solving courts; assist criminal courts at the state and local levels to improve the capacity, efficiency, and quality of the judicial system's ability to respond to increases in volume and/or complexity of criminal caseloads; assess state and local court security; develop consensus on local criminal justice responses to drug-involved offenders; and provide national judicial training. This program is funded under the Edward Byrne Memorial Competitive Grant Program (Byrne Competitive Program), the Edward Byrne Memorial Justice Assistance Grant (JAG) Program, and the Adult Drug Court Discretionary Grant Program. Authorized by Pub. L. No. 112-10, div. B, secs. 1101-1104 and (Pub. L. No. 111-117, 123 Stat. 3034, 3134, the Byrne Competitive Program helps communities improve the functioning and capacity of state and local criminal justice systems and provides for national support efforts including training and technical assistance programs strategically targeted to address local needs. Funds may not be used for the acquisition of land, construction projects, or security enhancements or equipment to non-governmental entities not engaged in law enforcement, law enforcement support, criminal or juvenile justice, or delinquency prevention. The JAG Program (42 U.S.C. 3751(a), *et seq.*) is the primary provider of federal criminal justice funding to state and local jurisdictions, and JAG funds support all components of the criminal justice system. The JAG Program also authorizes a 3 percent set-aside for training and technical assistance. The Adult Drug Court Discretionary Grant Program (42 U.S.C. 3797u *et seq.*) is to provide financial and technical assistance to states, state courts, local courts, units of local government, and Indian tribal governments to develop and implement drug courts that effectively integrate evidenced-based substance abuse treatment, mandatory drug testing, sanctions and incentives, and transitional services in a judicially supervised court setting with jurisdiction over substance-abusing offenders.

## Deadlines: Registration and Application

Registration for this funding opportunity is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on July 8, 2011. Please see the "How to Apply" section, page 14, for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on July 8, 2011, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see "Contact Information" on the title page for more information about BJA's Justice Information Center).

## Eligibility

Please refer to the cover page of this solicitation for eligibility under this program.

## Improving Criminal Courts Program—Specific Information

The National Initiatives: Improving Criminal Courts Program, administered by BJA, helps improve criminal justice systems. This program supports funding for national, state, local, and tribal programs/efforts, such as training and technical assistance, to address the needs of state and local justice systems and communities. The FY 2011 program will focus on funding efforts in five major categories.

Although match is not required under this program, use of other sources of funds and partnerships, private and public, is encouraged.

Applicants must substantiate the need for all equipment budgeted.

### Goals, Objectives, and Deliverables

Under this solicitation, BJA seeks to improve and elevate the functioning of the criminal justice system (with specific emphasis relating to the adjudication process) by assisting state, local and tribal governments to ensure procedural fairness in the criminal justice system. This is achieved by focusing on improving the operation and functioning of the courts.

### Award Categories, Amounts, and Length

Applicants, in their abstract, must clearly indicate which category under which they are applying. Applicants should discuss the national and/or local significance of their proposed project under program design and implementation.

Applicants are strongly encouraged to partner with other organizations to submit joint applications for the required services and deliverables.

Applicants are encouraged to consider partnering with a local research organization that can assist with data collection, performance measurement, and local evaluations. One such resource, available at no expense to applicants, is the e-Consortium for University Centers and Researchers for Partnership with Justice Practitioners. The purpose of this e-Consortium is to provide a resource to local, state, federal, and other groups who seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial to the criminal justice community. The e-Consortium can be found online at [www.gmuconsortium.org/](http://www.gmuconsortium.org/). BJA is providing this resource for informational purposes only; applicants are free to work with any consultant of their choosing.

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

**Note: Applications that do not respond to the identified categories will not be peer reviewed or considered for funding under this solicitation.**

**CATEGORY 1: CRIMINAL COURTS NATIONAL TRAINING AND TECHNICAL ASSISTANCE INITIATIVE. COMPETITION ID: BJA-2011-3064.**

BJA expects to make one award under Category 1 for up to \$350,000. The project period is 12 months, and the project start date should be on or after October 1, 2011.

The goal of this initiative is to assist criminal courts and related agencies at the state and local levels to improve the efficiency and quality of the judicial system's capacity to respond to increases in the volume and/or complexity of criminal caseloads, particularly those dealing with violent crime and gang activity. This initiative will support the efforts of criminal courts to constructively address the limited fiscal resources that impact the court as well as the justice and other agencies upon which the court depends. In addition, the project will promote adoption of effective and promising operational practices by criminal courts and justice agencies, as they relate to due process, efficiency, modern concepts of court and case management, interagency relations, and the image of the judicial system in the community it serves.

Applicants are solicited to produce **all** of the following deliverables:

1. Conduct at least 20 training and technical assistance interventions directly related to the goal of this initiative stated above..
2. Conduct two focus groups in conjunction with BJA staff.
3. Facilitate peer networking among judicial system leaders and administrative staff.
4. Produce and disseminate two resource publications on adjudication process critical issues identified with BJA approval.

**CATEGORY 2: NATIONAL PROBLEM-SOLVING COURT INITIATIVE. COMPETITION ID: BJA-2011-3065.**

BJA expects to make one award under Category 2 for up to \$1 million. The project period is 24 months, and the project start date should be on or after October 1, 2011.

The goal of the Problem-Solving Court Initiative is to help innovators around the country to plan, implement, sustain, and evaluate problem-solving court initiatives that link addicted offenders to drug treatment and coordinate sanctions and services through continued judicial supervision while improving outcomes for communities. Currently, BJA has three court mentor sites located in Seattle, Dallas, and Hartford. Through the mentor sites, this initiative will provide local and regional technical assistance.

Applicants are solicited to produce **all** of the following deliverables:

1. Provide training and related activities that include hosting a national training workshop on community courts and how they link offenders to treatment; promoting wider awareness of structured site visits and peer-to-peer educational opportunities by hosting 250 visitors at a community court (such as Red Hook Community Justice Center, the South Dallas Community Court, the Seattle Community Court, and the Hartford Community Court); and presenting 25 training workshops on linking addicted offenders to treatment through the court system and other community-based public-safety strategies.
2. Support peer-to-peer exchanges by moderating two peer-to-peer listservs, one creating a national network for problem-solving justice and another for community justice practitioners; Providing technical assistance that includes developing capacity of the regional mentor community courts and providing ongoing direct assistance to criminal justice professionals interested in how courts can better serve substance abusing offenders and produce better outcomes for the communities they serve..

3. Develop and disseminate two practitioner monographs and creating six articles and features (including podcasts).

**CATEGORY 3: NATIONAL ASSESSMENT OF STATE AND LOCAL COURT SECURITY.**

**COMPETITION ID: BJA-2011-3066.**

BJA expects to make one award under Category 3 for up to \$150,000. The project period is 12 months, and the project start date should be on or after October 1, 2011.

State, tribal, and local courts provide public forums for the fair administration of justice, resolution of disputes, house and maintain vital records and serve other critical public functions. As a hub of public activity, they must provide a safe and secure environment in which all those involved are free from fear and intimidation. Judicial and court employees and the public need to feel safe if they are to conduct themselves in a fair and impartial manner. The goal of this initiative is to assess the current state of affairs regarding courthouse and courtroom security, identify needs to improve security, and match available resources to the identified gaps and needs.

The successful applicant will conduct an assessment of what state and national planning and research has been completed to date and what public and private assistance (i.e., funding, training, specialized assistance) is available (nationally and locally) to comprehensively address court security. The assessment must include a high-level review of current physical and staff security approaches, policies and procedures to promote court security and identify the most critical needs that exist in this area based on the assessment and the literature. Once existing resources and policies and procedures are identified, the applicants must document current available resources so the field can use what is available to address the most critical issues or threats. Lastly, the applicant must identify strategic gaps in available assistance that may be later addressed through other funding sources.

**CATEGORY 4: DEVELOPING CONSENSUS ON LOCAL CRIMINAL JUSTICE RESPONSES TO DRUG-INVOLVED OFFENDERS. COMPETITION ID: BJA-2011-3067.**

BJA expects to make one award under Category 4 for up to \$250,000. The project period is 12 months, and the project start date should be on or after October 1, 2011.

Based on a previous successful effort to develop field consensus around probation and parole, BJA seeks to facilitate and develop field consensus on a research-driven continuum of responses to drug-involved offenders, including alternatives to incarceration that are effective and efficient in these cases, controlling criminal justice costs while maintaining public safety.

The goal of this initiative is to develop a comprehensive vision and strategy that will encourage a continuum of local justice system responses for drug-involved offenders, including problem-solving strategies. As such, successful applicants will provide support for a series of meetings of criminal justice experts to identify the range of evidence-based intervention and response options and alternatives from arrest to sentencing, principles for developing research-driven responses, and approaches to local monitoring of system intake for improving effectiveness and efficiency. The successful applicant will scan the literature to identify existing models and will collaborate with federal and national entities which address the drugs and crime nexus. Additionally, the successful applicant will produce a final report that describes the consensus principles or points and describes the continuum itself. Applications are solicited to produce **all** of the following deliverables:

1. Hold at least two meetings with national experts to identify communication and assistance strategies to help policymakers and practitioner leaders improve public safety and make the best use of taxpayer dollars. The continuum must reflect emerging consensus of leading researchers and practitioners in the field.
2. Write a monograph, detailing the continuum that emerges from the national meetings, and at least one other product that provides practical implementation guidance for local policymakers and practitioners.

**CATEGORY 5: NATIONAL JUDICIAL TRAINING. COMPETITION ID: BJA-2011-3068.**

BJA expects to make one award under Category 5 for up to \$500,000. The project period is from 12 to 24 months and the project start date should be on or after October 1, 2011.

As state budgets continue to shrink, state judicial training opportunities have been severely restricted, limiting existing in-state training programs in scope. As a result, many states do not have adequate opportunities for judges to learn about the most up-to-date information on best practices or national innovation such as innovation in high-volume drug courts, domestic violence, mental health issues relating to criminal justice matters, substance abuse, evaluating forensic or scientific evidence, or a wide range of evidence-based sentencing alternatives. The goal of this initiative is to provide national, in-state, and online educational opportunities for judges, including the development of faculty, curricula, and the provision of technical assistance to states on judicial training matters.

Applicants are solicited to produce **all** of the following deliverables:

1. Develop a curriculum and/or adapt existing material to address judicial knowledge, skills, and attitudes whether through national, regional, in state or synchronous and asynchronous distance learning presentations in a wide array of content areas that judges need (e.g., decision making, judicial writing, logic, basic or advanced evidence, scientific and forensic evidence, case management, capital case, the interrelationship between criminal and immigration laws, human trafficking, competency, substance abuse-mental health-co occurring, etc.).
2. Facilitate judicial faculty development by developing both in-person and distance learning training.
3. Work with states to identify judges who would benefit from participating in educational offerings including providing assistance in identifying available resources and providing financial assistance (total financial assistance is not to exceed 20 percent of award amount).
4. Coordinate with BJA in exploring and identifying emerging issues that need to be addressed with judicial training.

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

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence (generally obtained through one or more outcome evaluations). Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based.

## Budget Information

**Limitation on Use of Award Funds for Employee Compensation; Waiver:** With respect to any award of more than \$250,000 made under this solicitation, 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 percent 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 2011 salary table for SES employees is available at [www.opm.gov/oca/11tables/indexSES.asp](http://www.opm.gov/oca/11tables/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 OJP. An applicant that wishes to request a waiver must 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 the applicant to 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.

**Match Requirement:** This solicitation does not require a match.

## Performance Measures

To assist in fulfilling the Department’s responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. 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	Performance Measures	Data Grantee Provides
<p><b>Categories 1,2,4, and 5:</b></p> <p>Increase the knowledge of criminal justice practitioners through in-person training.</p>	<p>Percentage of participants who successfully completed the training.</p> <p>Percentage of participants who rated the training as satisfactory or better.</p>	<p>Number of individuals who completed the training.</p> <p>Number of individuals who started the training.</p> <p>Number of trainees who completed the training who rated the training as satisfactory or better.</p> <p>Number of individuals who completed an evaluation at the conclusion of the training.</p> <p>Number of individuals who completed the training whose post-test indicated an improved</p>



	Percentage of participants trained and subsequently demonstrated performance improvement.	score over their pre-test. Number of individuals who completed a pre and post-test.
Increase the knowledge of criminal justice practitioners through web-based learning.	Percentage of participants who successfully completed the program.  Percentage of participants who rated the training as satisfactory or better.  Percentage of participants trained and subsequently demonstrated performance improvement.	Number of individuals who started the training. Number of individuals who completed the training. Number of trainees who completed the training who rated the training as satisfactory or better. Number of individuals who completed an evaluation at the conclusion of the training. Number of individuals who completed the training whose post-test indicated an improved score over their pre-test. Number of individuals who completed a pre- and post-test.
Increase the knowledge of criminal justice practitioners through distance learning using CD/DVDs.	Percentage of organizations that completed a training who rated that training as satisfactory or better.	Number of organizations who rated the distance learning through CD/DVD as satisfactory or better. Number of organizations who responded to the survey. Number of organizations who received CD/DVDs who were surveyed. Number of organizations receiving CD/DVDs.
Increase a criminal justice agency's ability to solve problems and/or modify policies or practices as a result of training and technical assistance interventions.	Percentage of agencies that rated services as satisfactory or better.  Percentage of agencies that implemented one or more recommendations.  Percentage of agencies that rated the services provided as satisfactory or better.	Number of other onsite services provided. Number of requesting agencies who completed an evaluation of other onsite services. Number of requesting agencies who rated services as satisfactory or better in terms of timeliness and quality following completion of an onsite visit. Number of requesting agencies that were planning to implement at least some of the report recommendations six months after the onsite visit. Number of onsite visits completed. Number of requesting agencies who completed an evaluation of services. Number of requesting agencies of other onsite services who rated the services provided as satisfactory or better.
Increase information provided to the criminal justice community.	Percentage of advisory/focus groups evaluated as satisfactory or better.	Number of working groups held. Number of working groups evaluated as satisfactory or better.

	<p>Number of publications developed.</p> <p>Number of publications disseminated.</p> <p>Number of web sites developed and maintained.</p> <p>Number of visits to web sites.</p> <p>Number of publications developed.</p> <p>Number of publications disseminated.</p>	<p>Number of documents produced as a result of working group groups.</p> <p>Number of documents disseminated to the field as a result of working group.</p> <p>Number of web sites developed.</p> <p>Number of web sites maintained.</p> <p>Number of visits to web sites.</p> <p>Number of publications developed.</p> <p>Number of publications disseminated.</p>
Increase the knowledge of criminal justice practitioners through the development and/or revision of training curricula.	<p>Number of training curricula developed.</p> <p>Percentage of curricula that were pilot tested.</p> <p>Percentage of curricula that were revised after pilot testing.</p>	<p>Number of training curricula developed.</p> <p>Number of training curricula pilot tested.</p> <p>Number of training curricula revised after being pilot tested.</p>
<b>Category 3:</b>  Assess the current state of affairs regarding court security, as well as identify the most critical needs and apply the resources necessary to fill these gaps.	Provide a comprehensive and up-to-date assessment.	Provide an assessment of the current landscape of court security approaches, policies and procedures, as well as identify the most critical needs and apply the resources necessary to fill these gaps.

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. Please refer to the section “What an Application Should Include” (below) 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 protection. 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

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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 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.fsr.gov/](http://www.fsr.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, please call the Grants.gov Customer Support Hotline at **1-800-518-4726**, 24 hours a day, seven 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.** A DUNS number is required for [Grants.gov](http://www.grants.gov) registration. The Office of Management and Budget requires that all businesses and non-profit applicants 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 1-866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). Individuals are exempt from this requirement.
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 Central Contractor Registration (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. Please note, however, that applicants must update or renew their CCR registration **at least once per year** 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) numbers for this solicitation are 16.751, titled "Edward Byrne Memorial Competitive Grant Program," 16.738, titled "Edward Byrne Memorial Justice Assistance Grant Program," and 16.585, titled "Drug Court Discretionary Grant Program," and the funding opportunity number is BJA-2011-3063.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
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.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** The 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."

## 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 contact BJA staff **within 24 hours after the deadline** and request approval to submit its application. At

that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must 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) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues the applicant reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues the applicant reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, 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.

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

This section describes what an application should include and sets out a number of elements. 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 not responsive to the scope of the solicitation<sup>1</sup>, or do not include a program narrative and a budget detail worksheet including a budget narrative, will not proceed to peer review and will not receive further consideration.

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.

### 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 Abstract

Applicants should provide a one-page abstract that clearly identifies the following:

- The category to which the applicant is applying.
- Amount of federal funds requested and proposed project period.
- Goals and objectives for the project.

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<sup>1</sup> The definition of innovative and how BJA will assess whether the application is responsive to scope are discussed in the Overview on page 3.

The abstract should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 1 page.

### **3. Program Narrative**

The program narrative must respond to the solicitation and the Selection Criteria (1-4) in the order given. Applicants must meet the requirements of the category under which they are applying as described in the Improving Criminal Courts—Specific Information section.

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 15 pages. Please number pages “1 of 15,” “2 of 15,” etc.

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 (see Selection Criteria (page 16) for further information):

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures  
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 BJA 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.

### **4. 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, please 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.

**5. Additional Attachments: Project Time and Task Plan, Memoranda/Letters of Support, Job Descriptions, and Resumes**

Attach a Project Time and Task Plan with each project goal, related objective, activity, expected completion date, and responsible person or organization; Memoranda of Understanding or Letters of Support, if applicable; Job Descriptions that outline the roles, responsibilities, and qualifications for all key positions; and Resumes for staff identified for these positions, if known.

**6. 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/financialguide/part3/part3chap17.htm](http://www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm).

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

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at minimum, the applicant should submit an unsigned, draft tribal resolution as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the signed tribal resolution.

**8. 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. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#) (required to be submitted in GMS prior to the receipt of any award funds).

- b. [Disclosure of Lobbying Activities](#) (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded).
- 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 then uploaded).
- d. [Standard Assurances](#) (required to be submitted in GMS prior to the receipt of any award funds).

## Selection Criteria

### 1. Statement of the Problem (15 percent of 100)

Identify the problem to be addressed by the project. Provide specific data where available.

### 2. Project Design and Implementation (35 percent of 100)

Describe how the project will address the category-specific description listed on pages 5-7. Provide its design and proposed implementation that will result in the category-specific deliverables. Tie project activities/deliverables to goals and objectives in the program design. In addition, the required timeline should identify each project activity (all category-specific deliverables must be included), expected completion date, and responsible person or organization.

### 3. Capabilities and Competencies (25 percent of 100)

Fully describe the applicant's capabilities to implement the project and the competencies of the staff assigned to the project.

Category 1 applicants should demonstrate experience with and knowledge of assisting criminal courts with complex issues including promising operational practices by criminal courts as they relate to fiscal responsibility and management, due process, efficiency, modern concepts of court and case management, interagency relations, and the image of the judicial system in the community it serves.

Category 2 applicants should demonstrate extensive knowledge of and experience with problem-solving courts, practices, and strategies.

Category 3 applicants should have experience conducting court assessments, including court policies and procedures, especially as they pertain to court security.

Category 4 applicants should have experience with and knowledge of offender risks and needs, particularly those with substance abuse problems, as well appropriate responses that span the offender's involvement in the criminal justice system.

Category 5 applicants should have demonstrated knowledge on developing curricula based on adult learning theories and demonstrated experience delivering training to judges at the state and national level, both in person and online on a wide array of topics including but not limited to decision making, judicial writing, logic, basic or advanced evidence, scientific and forensic evidence, case management, capital cases, immigration, human trafficking, competency, substance abuse and mental health.



#### **4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (10 percent of 100)**

Explain how the program's effectiveness will be demonstrated. For each performance measure selected, describe: 1) what data will be collected and how, 2) how it will be assessed/analyzed, and 3) the process for reporting the findings and outcomes.

#### **5. Budget (15 percent of 100)**

Provide a proposed budget that is reasonable, complete, allowable, and cost effective in relation to the proposed activities. The budget must support the strategies and approaches outlined in the project design, and include a narrative to describe the expenditures under each cost area and how it will contribute to the overall program goals.

### **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. BJA 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. BJA 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 field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications 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 BJA, 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

## Application Checklist FY 2011 Improving Criminal Courts Program

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

### Eligibility Requirement:

- For-profit (commercial) organization
- Non-profit organization
- Faith-based or community organization
- Institution of higher learning
- Federally recognized tribal government
- Unit of local or state government

### The federal amount requested is within the allowable limit:

- Category 1:** Up to \$350,000
- Category 2:** Up to \$1,000,000
- Category 3:** Up to \$150,000
- Category 4:** Up to \$250,000
- Category 5:** Up to \$500,000

### The application contains:

- Abstract (see page 13)
- Program Narrative\* (see page 13)
- Budget Detail Worksheet\* (see page 13 and Selection Criteria page 17)
- Budget Narrative\* (see page 13 and Selection Criteria page 17)
- Project Time and Task Plan (see page 15)
- Memoranda/Letters of Support (see page 15)
- Job Descriptions (see page 15)
- Resumes (see page 15)
- Indirect Cost Rate Agreement (if applicable) (see page 15)
- Tribal Authorizing Resolution (if applicable) (see page 15)
- Other Standard Forms as applicable (see page 15), including:
  - Disclosure of Lobbying Activities (if applicable)
  - Accounting System and Financial Capability Questionnaire (if applicable)

\*These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.