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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 for the Prison Rape Elimination Act: Demonstration Projects to Establish "Zero Tolerance" Cultures for Sexual Assault Program. This program furthers the Department's mission by providing resources to states, local governments, and federally recognized tribes to implement comprehensive approaches to address the detection, prevention, and response to sexual abuse within confinement environments.

## **Prison Rape Elimination Act: Demonstration Projects to Establish "Zero Tolerance" Cultures for Sexual Assault Program FY 2011 Competitive Grant Announcement**

### **Eligibility**

Applicants are limited to units of state and local governments and federally recognized Indian tribes (as determined by the Secretary of the Interior).

**Special Notice:** BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the score of the application as determined through the competitive peer review process and the availability of appropriations in future years. This may result in some solicitations being posted every other year as opposed to every year.

### **Good Faith Commitment**

Applicants must support the adoption of the national standards to be promulgated by the Attorney General under the authority of the Prison Rape Elimination Act (PREA). Because the final PREA standards will not be published as a final rule until after the close of this solicitation, applicants should describe how the objectives of their proposed demonstration project will further the intent of the PREA to establish a "zero tolerance" culture with respect to sexual assault.

### **Deadline**

Registration with [Grants.gov](#) is required prior to application submission. (See "How to Apply," page 12). All applications are due by 11:59 p.m. eastern time on July 7, 2011. (See "Deadlines: Registration and Application," page 5.)

## Contact Information

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

**Note:** The [Grants.gov](http://Grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact 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-2011-3069

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# Prison Rape Elimination Act: Demonstration Projects to Establish “Zero Tolerance” Cultures for Sexual Assault Program (CFDA #16.735 )

## Overview

Based on the Department of Justice’s (DOJ) analysis of data compiled by the Bureau of Justice Statistics (BJS), approximately 200,000 adult prisoners and jail inmates suffered some form of sexual abuse while incarcerated during 2008<sup>1</sup> (see BJS, *Sexual Victimization in Prisons and Jails Reported by Inmates, 2008–09* (August 2010)). This suggests 4.4 percent of the prison population and 3.1 percent of the jail population within the United States suffered sexual abuse during that year.<sup>2</sup> In some prisons, nearly 9 percent of the population reported abuse within that time; in some jails the corresponding rate approached 8 percent.<sup>3</sup> In juvenile facilities, the numbers are similarly troubling. At least 17,100 adjudicated or committed youth (amounting to some 12 percent of the total population in juvenile detention facilities) reported having suffered sexual abuse within 12 months of arriving at their facility, with rates as high as 36 percent in specific facilities<sup>4</sup> (see BJS, *Sexual Victimization in Juvenile Facilities Reported by Youth, 2008–09* (January 2010), pages 1, 4).

The [Prison Rape Elimination Act of 2003](#) (PREA) (P.L. 108-79) requires the Attorney General to promulgate regulations that adopt national standards for the detection, prevention, reduction, and punishment of prison rape. PREA established the National Prison Rape Elimination Commission (Commission) to carry out a comprehensive legal and factual study of the penological, physical, mental, medical, social, and economic impacts of prison rape in the United States, and to recommend national standards to the Attorney General and to the Secretary of Health and Human Services. The Commission recommended four sets of national standards for eliminating prison rape and other forms of sexual abuse in a report available at [www.ncjrs.gov/pdffiles1/226680.pdf](http://www.ncjrs.gov/pdffiles1/226680.pdf). Each set is applicable to one of the following four confinement settings: (1) adult prisons and jails; (2) juvenile facilities; (3) community corrections facilities; and (4) lockups (i.e., temporary holding facilities). The Commission recommended that its standards apply to federal, state, and local correctional and detention facilities (excluding facilities operated by the Department of Defense and the Bureau of Indian Affairs).

Based on the Commission’s recommendations, DOJ published a proposed rule earlier this year, and based on public comments, will make revisions as warranted and the standards will be published. DOJ’s proposed rule can be found online at: [www.ojp.usdoj.gov/programs/pdfs/prea\\_nprm.pdf](http://www.ojp.usdoj.gov/programs/pdfs/prea_nprm.pdf). DOJ expects the final rule will be published

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<sup>1</sup> This total includes the cross-sectional number covered in BJS surveys plus the number of estimated victims released in the twelve months prior to the survey. For methodology, see Initial Regulatory Impact Analysis (IRIA), page 9, available at [www.ojp.usdoj.gov/programs/pdfs/prea\\_nprm\\_iria.pdf](http://www.ojp.usdoj.gov/programs/pdfs/prea_nprm_iria.pdf).

<sup>2</sup> See id., page 6.

<sup>3</sup> See id., page 8.

<sup>4</sup> This total includes the cross-sectional number covered in BJS surveys plus the number of estimated victims released in the 12 months prior to the survey. It includes adjudicated/committed youth only. For methodology, see IRIA, page 9.

by the end of the year. The standards seek to prevent sexual abuse and to reduce the harm that it causes when it occurs and consist of 11 categories: prevention planning; responsive planning; training and education; screening for risk of sexual victimization and abusiveness; reporting; official response following an inmate report; investigations; discipline; medical and mental care; data collection and review; and audits.

The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Pub. L. 112-10), authorized BJA to provide continued funding for prison rape prevention and prosecution as authorized by PREA. Demonstration projects funded through this solicitation will support comprehensive approaches within correctional facilities to prevent, detect, and respond to incidences of sexual victimization.

## **Deadlines: Registration and Application**

Registration 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 7, 2011. Please see the “How to Apply” section, page 12 for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on July 7, 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.

## **PREA Program—Specific Information**

The PREA Program provides funding to state and local governments and federally recognized tribes for demonstration projects within confinement settings including, adult prisons and jails, juvenile facilities; community corrections facilities; law enforcement lockups and other temporary holding facilities, and tribal detention facilities. Applicants must successfully communicate a comprehensive approach to the prevention, detection, and response to the incidence of sexual abuse and clearly prioritize gaps which are as of yet unaddressed, either programmatically or through changes in policy and procedures, as it relates to implementation of the PREA standards.

## **Collaboration with Other Federal Agencies**

BJA, the Office of Juvenile Justice and Delinquency Prevention (OJJDP), the Office for Victims of Crime (OVC), and the National Institute of Corrections (NIC) will collaborate to ensure that adult and juvenile PREA efforts are supported and that victim services are incorporated into comprehensive responses. Interested applicants should take note of the [FY 2011 OVC National Field-Generated Training, Technical Assistance, and Demonstration Projects solicitation](#), which includes a category to fund a victim-responsive PREA demonstration project.

## **Evidence-Based Programs or Practices (EBP)**

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.

## **Training and Technical Assistance—Resource Center for the Elimination of Prison Rape**

In FY 2010, BJA funded the National Council on Crime and Delinquency, in collaboration with many partner organizations representing the justice field, to develop and operate the Resource Center for the Elimination of Prison Rape (Center). The Center represents a unique collaboration of stakeholder organizations representing the federal, state, local and tribal corrections field, advocacy groups, and a wide range of subject matter experts to respond to the technical assistance and training needs of jurisdictions in complying with the yet to be announced final PREA standards. Once it becomes fully operational, the Center will be available to assist the field with PREA-related activities, and will provide training and technical assistance to applicants funded through this solicitation. While the Resource Center provides a centralized source for training and technical assistance, BJA partners such as the National Institute of Corrections may continue to provide relevant support to the field. BJA and the Resource Center will coordinate these efforts to avoid unnecessary duplication and to encourage close coordination.

## **Purpose, Goals, and Objectives**

The purpose of this program is to provide federal assistance to units of state and local governments and federally recognized Indian tribes to implement comprehensive demonstration projects to meet the PREA requirements of the standards to be promulgated. The goal of this program is to assist priority facilities in implementing prevention, identification, and response mechanisms that will reduce the incidence of sexual abuse in confinement environments. Priority facilities are those facilities or systems that have reflected a higher than average number of reported sexual assaults on the annual administrative records review submitted to the Bureau of Justice Statistics.

Comprehensive demonstration projects should include design elements to reduce sexual abuse and reach the goal of a “zero tolerance” environment. Design elements of a comprehensive response may include the following: policy and practice review and revision; preventative infrastructure and technology enhancements; offender education; victim support services; leadership and cultural examination, data collection; staffing support; and evaluation. Comprehensive demonstration projects, when feasible, should focus on systemic changes as opposed to discrete changes in single facilities or operational practices.

Program objectives include the following:

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- Increase awareness of the problem of sexual assault in adult prisons and jails, lockups, juvenile facilities, community corrections facilities, and tribal confinement facilities.
- Provide resources to develop comprehensive programs, strategies, and policies that will enhance state, local, or tribal government's abilities to achieve compliance with the PREA standards and eliminate sexual abuse.
- Identify causes and contributing factors leading to sexual victimization supported by data.
- Track performance indicators to ensure the effective application of policy and implementation of program strategies which achieve compliance with the PREA standards and create a "zero tolerance" within confinement environments.

## **Allowable Uses of Funds**

Demonstration projects may include, but are not limited to, the following allowable uses of award funds:

### Policy and Practice Review, Revision, and Implementation

- Review and revise current policies, procedures, contracts, and written materials that are provided to staff and detainees/inmates to ensure compliance with PREA standards and best practices. Considerations should be made for policies/protocols on cross-gender viewing and searching, hiring, and promotion decisions, accommodations for inmates with special needs, contents of contracts with private entities, evidence and forensic medical examination protocols, investigation protocols and assurances, employee/volunteer/contractor training, inmate education, and reporting protocols, protective custody protocols, staff and inmate disciplinary sanctions, medical and mental health screenings and treatment availability, and data collection and auditing protocols.
- Review current staffing levels and patterns with regard to the make-up of the inmate/detainee population and the physical layout of the facility.
- Conduct sexual abuse vulnerability assessments to identify and isolate circumstances and physical plant artifacts that can contribute to increased incidences of sexual assault.

### Preventative Infrastructure and Technology Enhancements

- Utilize technology resources to improve prevention and security, for example, using incident mapping technologies that may help identify places where inmates and staff are vulnerable with the perspective that physical modifications backed up with electronic monitoring will help mitigate risks.
- Develop or modify Offender Management Systems or other data bases that will track aggressors and victims.
- Integrate different data systems used by internal departments. For example, combining security information around sexual abuse with medical and mental health information.
- Purchase "limited" equipment and supplies (i.e., purchase of rape kits, etc).

### Offender Education

- Develop and institute offender education programming to promote sexual abuse awareness, sexual abuse reporting mechanisms, victim services, and relevant facility policies and procedures. (Offender education programming should be responsive to gender/sexual orientation differences.)

### Victim Support Services

- Develop first response strategy protocols that detail how to work with victims to address their needs while at the same time managing the investigation;
- Leverage community-based resources and develop relationships with Rape Crisis Centers and the creation of Sexual Assault Response Teams (SART).
- Contract with outside community-based organizations or services providers for counseling activities and assistance to facilities with addressing sexual victimization issues.
- Provide support services to protect vulnerable populations and victims. Currently, most vulnerable populations, including many victims, are kept in long-term segregation. Some systems may have alternatives that could be replicated, or funding could be used to test policies/programs that aim to protect this population without relying on long-term segregation.
- Provide support to victim advocates who are either specially trained staff or are from community-based sexual assault service providers.
- Initiate partnerships that can make the work of all involved agencies more effective in bringing cases forward for successful prosecution of abusers.
- Provide reimbursement of treatment and medical expenses (to allow for elimination of inmate co-pays/fees).
- Establish facility hotlines to report sexual victimization incidents.

### Leadership, Organizational Culture and Performance-

- Examine extent that the organizational culture, including leadership and staff/inmate communications are responsible for high incidence of sexual abuse.
- Plan and implement strategies to improve leadership, organizational culture and performance through policy development, accreditation enhancement activities, training and other strategies (applicants are strongly encouraged to examine the extensive and cutting edge resources of the National Institute of Corrections in this area).

### Data Collection and Performance Measurement

PREA activities and the standards implementation will require the continued accumulation and reporting of data reflecting levels of sexual assault in various settings. As a result, funds can be used for the following data collection activities:

- Develop and utilize more effective and efficient strategies and efforts to improve the capacity to collect these data, analyze, and report them.
- Build or enhance data systems, data collection, storage, and publication of data results to further promote best practices.
- Participate in system-wide performance data collection efforts such as the Association of State Correctional Administrators (ASCA)'s Performance Based Measures System ([www.asca.net/projects/1](http://www.asca.net/projects/1)).

### Planning, Analysis, and Staffing Support

- Develop sustainability protocols to maintain staff after federal funding may no longer be available. Staffing support examples could include hiring these types of individuals: PREA Coordination Officer; additional officers (supervision staff); Investigators; and medical and mental health practitioners.



Staff or hire positions to conduct statistical analysis of alleged sexual assaults monitor each reported incident to guarantee staff compliance with policies, facilitate staff training and awareness programs for offenders, and identify issues for further policy development.

### Evaluation

- Conduct an independent evaluation of the effectiveness of the policies, programs, and strategies proposed within the funded project related to reducing sexual abuse in confinement environments.

### **Award Amounts and Length**

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. Available funding amounts are based on the type of eligible applicant and include the following:

- **State Governments:** Eligible for an award amount of \$600,000, for a project period of up to 36 months.
- **Local Governments:** Eligible for an award amount of \$300,000, for a project period of up to 36 months.
- **Federally Recognized Tribes:** Eligible for an award amount of \$300,000, for a project period of up to 36 months.

### **Priority Considerations**

- Applications proposing to address specific confinement facilities which demonstrate high incidence of sexual abuse based on data reported annually to BJS
- Applications proposing to address specific confinement facilities that demonstrate significant progress in PREA-related policy and protocol review and which propose to use project funds to implement clearly prioritized and demonstrated need(s) and agree to provide a report on the improvement efforts so that others may learn from the experience.
- Applications which propose to address specific findings of the BJS reports *Sexual Victimization in Prisons and Jails Reported by Inmates, 2008–09* and *Sexual Victimization in Juvenile Facilities Reported by Youth, 2008–09* including specific variations in victimization rates and the circumstances of victimization.
- Applications that propose to rigorously evaluate their efforts toward the elimination of sexual abuse in confinement environments, share results with the field through BJA and the Resource Center, and have identified a research partner.

### **Budget Information**

**Limitation on Use of Award Funds for Employee Compensation; Waiver:** No portion of any award of more than \$250,000 made under this solicitation may 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 the Office of Justice Programs. 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 that the applicant adjust and resubmit their 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:**

Federal funds awarded under this program may not cover more than 75 percent of the total costs of the project being funded. The applicant must identify the source of the 25 percent non-federal portion of the budget and how match funds will be used. Applicants may satisfy this match requirement with either cash or in-kind services. The formula for calculating the match is:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

$$\text{Required Recipient's Share Percentage} \times \text{Adjusted Project Cost} = \text{Required Match}$$

**Example:** For a federal award amount of \$350,000, match would be calculated as follows:

$$\frac{\$350,000}{75 \text{ percent}} = \$466,667 \text{ (Total Project Cost)}$$

$$25 \text{ percent} \times \$466,667 = \$116,667 \text{ match}$$

## **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 program are being finalized. Below, BJA has listed the program objectives and sample performance measures. BJA will determine whether additional or different measures will be required prior to awarding grants.**

Objective	Performance Measure(s)	Data Grantee Provides
To increase awareness of the problem of sexual assault in adult prisons and jails, lockups, juvenile facilities, community corrections facilities, and tribal confinement facilities by identifying rates of occurrence of staff-on-inmate and inmate-on-inmate rape.	<p>Percentage of substantiated staff-on-inmate rape within the facility.</p> <p>Percentage of incidents of substantiated inmate-on-inmate rape within the facility.</p>	<p>The number of incidents of staff-on-inmate rape reported.</p> <p>The number of incidents staff-on-inmate rape reported that were substantiated.</p> <p>The number of incidents of inmate-on-inmate rape reported.</p> <p>The number of incidents inmate-on-inmate rape reported that were substantiated.</p>
To reduce incidents of prison rape through rape prevention training.	<p>Percentage of custodial staff trained in prison rape prevention.</p> <p>Percentage of inmates trained in prevention.</p>	<p>Total number of custodial staff who received training to prevent prison rape.</p> <p>Total number of custodial staff.</p> <p>Total number of inmates who received training to prevent prison rape.</p> <p>Total number of inmates.</p>
To enhance the investigation and prosecution of prison rape.	<p>Total number of staff-on-inmate rapes prosecuted.</p> <p>Total number of inmate-on-inmate rapes prosecuted.</p> <p>Percentage of staff-on-inmate rape prosecutions that result in convictions.</p> <p>Percentage of inmate-on-inmate rape prosecutions that result in convictions.</p>	<p>Total number of staff-on-inmate rapes prosecuted.</p> <p>Total number of inmate-on-inmate rapes prosecuted.</p> <p>Total number of convictions for staff-on-inmate rapes.</p> <p>Total number of convictions for inmate-on-inmate rapes.</p>
To provide appropriate services and treatment for both victims and perpetrators of prison rape within inmate populations.	<p>Total number of inmate victims who received physical treatment as a result of a rape.</p> <p>Total number of inmate perpetrators who received physical treatment as a result of a rape.</p> <p>Total number of inmate victims who received psychological counseling as a result of a rape.</p> <p>Total number of inmate perpetrators who received psychological counseling as a result of a rape.</p>	<p>Total number of inmate victims who received physical treatment as a result of a rape.</p> <p>Total number of inmate perpetrators who received physical treatment as a result of a rape.</p> <p>Total number of inmate victims who received psychological counseling as a result of a rape.</p> <p>Total number of inmate perpetrators who received psychological counseling as a result of a rape.</p>
To assist states in developing and implementing strategies for victims and perpetrators of prison rape who are reentering the community—	<p>Percentage of released inmates who received risk and needs assessments.</p>	<p>Total number of released inmates who were assessed for risk and needs.</p> <p>Total number of released inmates.</p>

without compromising public safety.	Percentage of inmates who were released to community supervision.	Total number of inmates who were released to community supervision.
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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 Subjects” section of the OJP web site ([www.ojp.gov/funding/other\\_requirements.htm](http://www.ojp.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 sub-awards 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 sub-recipients. 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 sub-awards will be made through the FFATA Sub-award Reporting System (FSRS), found at [www.fsrs.gov/](http://www.fsrs.gov/).

Please note also that applicants should anticipate that no sub-award of an award made under this solicitation may be made to a sub-recipient (other than an individual) unless the potential sub-recipient 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

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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 **800-518-4726**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

1. **Acquire a DUNS number.** A DUNS number is required for [Grants.gov](http://Grants.gov) registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and sub-recipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the 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 sub-recipients. 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 annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.735, titled "Protecting Inmates and Safeguarding Communities Discretionary Grant Program," and the funding opportunity number is BJA-2011-3069.

6. **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.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

## **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 **within 24 hours after the deadline** and request approval to submit its application. At that time, Bureau of Justice Assistance 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 reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

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 some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative and a budget detail worksheet including a budget narrative, will neither proceed to peer review nor 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).

Please see [www07.grants.gov/assets/SF424Instructions.pdf](http://www07.grants.gov/assets/SF424Instructions.pdf) for instructions on how to complete your SF-424.

### **2. Program Abstract**

The program abstract should be no more than two double-spaced pages and should:

- Identify the type of applicant (i.e., State Government, Local Government, or Federally Recognized Tribe)
- Identify the facility(ies) in which the demonstration project would be targeted.
- Describe clearly the data available on the incidence and nature of sexual abuse within the facility(ies) for which funding is being requested.
- Describe clearly the extent that the applicant has already completed a comprehensive review of the facility's(ies') policies and protocols as they relate to PREA.
- Provide a brief description of the proposed activities to be conducted with grant funds.

### **3. Program Narrative**

The program narrative must respond to the solicitation and the Selection Criteria in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with not less than 1-inch margins, and should not exceed 20 pages. Please number pages "1 of 20," "2 of 20," 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:

- Statement of the Problem
  - Project Design and Implementation
  - Capabilities and Competencies
  - Plan for Collecting Data 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 the Bureau of Justice Assistance 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**

Applicants must submit a budget detail worksheet and budget narrative outlining how grant funds will be used to support and implement the program.

##### **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). Applicants should clearly demonstrate a full breakdown of all costs, and show calculations and computations for each budget category. 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.gov/financialguide/index.htm](http://www.ojp.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. 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).

#### **6. 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

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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.

## **7. Additional Attachments: Project Timeline and Position Descriptions, and Letters of Support**

Attach a *Project Timeline* that includes each project goal, related objective, activity, expected completion date, responsible person, or organization; *Position Descriptions* for key positions; and *Letters of Support* from all key partners, detailing the commitment to work with partners to promote the mission of the project.

## **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 (20 percent of 100)**

Identify and describe the challenges faced with addressing sexual victimization within the facility(ies). Provide data to show the nature and scope of the problem of high incidence or rates of sexual abuse in confinement environments, and explain previous or current efforts to address the problem.

### **2. Project Design and Implementation (40 percent of 100)**

Outline the specific goals and objectives of the project and how they will address the problem. Describe the strategies that substantiate the project as a comprehensive demonstration project. Describe how the project will address the allowable uses of funds and priority considerations outlined on pages 7-9. Describe the selected allowable uses of award funds and how they will be utilized in addressing a reduction in sexual victimization and enhancement of PREA activities.

**3. Capabilities and Competencies (20 percent of 100)**

Describe the experience and capability of the applicant, stakeholders, and contractors. Identify the agency that will serve as the grantee and fiscal agency responsible for the grant's administration, and the staff team supporting the project including the name, title, and affiliation of each member. Provide documentation of any collaboration that has or is previously occurring on the initiative. Describe any potential barriers to implementing the project and strategies to overcome them.

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

Applicants should identify who will collect performance data, who will be responsible for performance measures, and how the information will be used to guide the program.

**5. Budget (10 percent of 100)**

Provide a proposed budget that is complete, allowable, cost effective, and tied to the proposed planning activities.

## **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 DOJ employee. An internal reviewer is a current DOJ 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 Prison Rape Elimination Act: Demonstration Projects to Establish “Zero Tolerance” Cultures for Sexual Assault Program

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

### Eligibility Requirements:

- Applicant agency meets eligibility requirements (see title page)
- State Governments: The proposed budget is within the allowable limit (\$600,000)
- Local Governments: The proposed budget is within the allowable limit (\$300,000)
- Federally Recognized Tribes: The proposed budget is within the allowable limit (\$300,000)

### What an Application Must Include:

- SF-424 Form (see page 15)
- Program Abstract (see page 15)
- Program Narrative\* (see page 15)
  - Statement of the Problem/Program
  - Project/Program Design and Implementation
  - Capabilities and Competencies
  - Plan for Collecting Data for this Solicitation’s Performance Measures
- Budget Detail Worksheet and Budget Narrative\* (see page 16)
- Indirect Cost Rate Agreement (if applicable, see page 16)
- Tribal Authorizing Resolution (if applicable, see page 16)
- Additional Attachments (see page 17)
  - Project Timeline
  - Position Descriptions
  - Letters of Support
- Other Standard Forms including (as applicable, see page 17):
  - Disclosure of Lobbying Activities
  - Accounting System and Financial Capability Questionnaire

\*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.