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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 of Smart Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities. This program furthers the Department's mission by providing resources to states, units of local government, and federally recognized Indian tribes (as determined by the Secretary of the Interior) to develop more effective and evidenced-based probation practices that effectively address offenders' needs and reduce recidivism.

## Smart Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities FY 2012 Competitive Grant Announcement

### Eligibility

Applicants are limited to states, units of local government, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

### Deadline

Registration with [Grants.gov](#) is required prior to application submission. (See "How To Apply," page 11). All applications are due by 11:59 p.m. eastern time on May 21, 2012. (See "Deadlines: Registration and Application," page 3.)

### Contact Information

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

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

For assistance with any other requirement of this solicitation, contact 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-2012-3254

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# Smart Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities (CFDA #16.812)

## Overview

At yearend 2010, there were an estimated 4,887,900 adults under supervision in the community either on probation or parole—the equivalent of about 1 out of every 48 adults. Many people on supervision do not successfully complete their community supervision.<sup>1</sup> According to the Bureau of Justice Statistics (BJS), 16 percent of probationers were incarcerated as the result of a new sentence or revocation of their current probation. These failure rates are a key reason prison populations continue to swell nationally. State-level data from BJA's Justice Reinvestment Initiative indicate that in some states probation and parole revocations account for up to 65 percent of prison and jail admissions annually.

The purpose of this program is to improve probation success rates, which would in turn improve public safety, reduce returns to prisons and jails, and save taxpayer dollars. Funds can be used to implement evidence-based supervision strategies to improve outcomes for probationers.

FY 2012 appropriations under the Second Chance Act made funding available for Smart Probation projects, in addition to providing federal awards to state and local governments and federally recognized Indian tribes for demonstration reentry projects.

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register with Grants.gov several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on May 21, 2012. See the "How To Apply" section on page 11 for more details. Note that while the deadline for submission is 11:59 p.m. eastern time on May 21, 2012, 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

Refer to the title page for eligibility under this program.

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<sup>1</sup> 2010 Annual Surveys of Probation and Parole, Bureau of Justice Statistics

# Smart Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities Program—Specific Information

## Goals, Objectives, and Deliverables

The goal of this program is to develop more effective and evidence-based probation programs that effectively address offenders' needs and reduce recidivism. The objectives of Smart Probation demonstration projects are the following:

- Improve supervision strategies that will reduce recidivism and provide training, technical assistance (TTA), and policy support.
- Promote and increase collaboration among agencies and officials who work in probation, pretrial, law enforcement, and related community corrections fields.
- Develop and implement strategies for the identification, supervision, and treatment of “high risk/high needs” probationers that may serve as a model for other agencies throughout the nation.
- Objectively assess and/or evaluate the impact of innovative and evidenced-based supervision and treatment strategies.
- Demonstrate the use and efficacy of evidence-based practices and principles to improve the delivery of probation supervision strategies and practices.

## 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. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## Approved Uses for Award Funds

Approved uses for award funds can include the following activities to help state, local, and tribal agencies improve their probation programs:

- **Increase the capacity of states, localities, and tribal communities to help probation agencies improve supervision strategies.** Applicants can use grant funds to implement evidence-based strategies to increase the effectiveness of probation supervision, including the incorporation of: risk/need identification through assessment; corresponding categorization of offenders to caseloads; and responding with the appropriate type and

dosage of supervision and programming. These plans should include collecting and analyzing community supervision data, expanding technical assistance and training resources to community supervision staff, emphasizing the use of evidenced-based principles and practices, and improving interagency coordination of community supervision activities. Strategies can also include information technology to enhance offender accountability.

- **Test new policies and strategies in community supervision and treatment to increase public safety and generate savings.** Demonstration grants will be awarded to states, localities, and tribal communities to test innovative strategies, and the use of information sharing technology to bolster interagency cooperation and help agencies target a high-risk cohort of probationers for intensive intervention and supervision activities. The results of these projects should be documented by an objective third-party evaluation or assessment partner. Successful strategies will be promoted nationally.
- **Analyze and implement changes to policies and practices that guide community supervision conditions and revocation procedures.** Applicants can use funds to **work with judicial and prosecutor counterparts** to identify policies and practices in place that determine supervision conditions, incentives and sanctions, and revocation of probation. Applicants should consider basing supervision conditions on risk and criminogenic needs assessments, and the use of a range of administrative sanction options.
- **Develop or promote the integration of probation supervision strategies and tools to facilitate effective offender reentry.** Applicants can use funds to oversee the development and testing of tools for the field that effectively integrate risk assessment of probationers with substance abuse, mental health, and education needs. In addition, applicants can also provide training to corrections professionals that will guide them in using assessment results to inform the delivery of services to probationers.
- **Expand collaboration and strategic partnerships between community supervision agencies and law enforcement.** Applicants can design strategies to help state, local, and tribal law enforcement and community supervision agencies consolidate risk assessment tools and share information more effectively. This will include strategies for helping state, local, and tribal law enforcement and probation agencies integrate their resources to supervise “high risk” probationers. The most promising strategies identified through these efforts can then be tested and promoted on a national basis.
- **Evaluate the results of the new strategies and tools tested through this initiative.** Evaluation efforts will focus on the selected sites that receive targeted funding under the program. These evaluations will focus on how well the interventions developed and policy changes implemented have helped these sites manage the growth of their corrections systems and improve integration of probation resources concentrated in these sites. Evaluations also will assess how well sites have implemented policy recommendations and identify any issues or concerns regarding their implementation.

Applicants can obtain more information on evidence-based strategies for probation supervision from the following resources:

- **A Ten-Step Guide to Transforming Probation Departments to Reduce Recidivism**  
[www.nationalreentryresourcecenter.org/documents/0000/1150/A\\_Ten-Step\\_Guide\\_to\\_Transforming\\_Probation\\_Departments\\_to\\_Reduce\\_Recidivism.pdf](http://www.nationalreentryresourcecenter.org/documents/0000/1150/A_Ten-Step_Guide_to_Transforming_Probation_Departments_to_Reduce_Recidivism.pdf)
- **Putting Public Safety First: 13 Strategies for Successful Supervision and Reentry**  
[www.urban.org/UploadedPDF/411800\\_public\\_safety\\_first.pdf](http://www.urban.org/UploadedPDF/411800_public_safety_first.pdf)
- **Maximum Impact: Targeting Supervision on Higher-Risk People, Places and Times**  
[www.pewcenteronthestates.org/report\\_detail.aspx?id=54209](http://www.pewcenteronthestates.org/report_detail.aspx?id=54209)

## Priority Considerations

Priority consideration will be given to applicants that consider the following in the development of their program:

- Clearly demonstrating the appropriate use and integration of evidenced-based principles such as the application of risk/needs assessment.
- Targeting medium- to high-risk offenders, high-needs offenders, or those with special needs such as offenders with mentally illness, female offenders, or sex offenders.
- Documenting a baseline recidivism rate based on historical data.
- Providing a historical record of comprehensive data collection and the ability to track program participation.
- Employing a program strategy that includes collaboration among a variety of government and private agencies.
- Establishing a relationship with an objective entity such as a university or nationally-recognized expert who can provide an assessment/evaluation of the impact of the proposed strategies.

## Amount and Length of Awards

Awards under this program will be made for up to \$500,000 for a 24-month award period. It is anticipated that at least 25 percent of the total project cost will be used to fund evaluation activities.

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

## 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 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation

limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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

### **Minimization of Conference Costs**

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

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

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

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

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

### **Match Requirement**

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

## **Performance Measures**

To assist the Department in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010,

Public Law 111–352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Measure	Data Grantee Provides
Develop and implement evidence-based strategies to improve the supervision of probationers and reduce recidivism.	Percentage increase in the number of research or evidence-based tools, interventions, or tactics deployed	<p>Number of research or evidence-based tools, interventions, or tactics deployed in six months prior to grant funding</p> <p>Number of research or evidence-based tools, interventions, or tactics deployed during current reporting period</p> <p>During the reporting period:</p> <p>A. Number of probationers that were admitted to the program</p> <p>B. Total number of eligible probationers enrolled in the program during the reporting period</p> <p>Describe the target population including relevant information on demographics, risk level, and offense types</p> <p>Enter the number of probationers expected to participant in probation program per year of the grant</p>
	Percentage of participants admitted to the program	
	Number of collaborative research and evaluation projects	<p>A. Number of collaborative research and evaluation projects</p> <p>B. Identify partners and describe any evaluation and data activities</p>
	Number of partnerships established	Number of partnerships established
	Number of participants who attend training	<p>During the reporting period:</p> <p>Number of probation officers who:</p> <ul style="list-style-type: none"> <li>• Attended training</li> <li>• Completed an evaluation at the conclusion of the training</li> <li>• Rated the training a satisfactory or better</li> <li>• Completed a pre- and post-training course test</li> <li>• Had an improved post-test score over their pre-test score</li> </ul>
	Percentage of participants trained and subsequently demonstrated performance improvement	
	Percentage of participants trained who rated the training as satisfactory or better	
	Percentage decrease in recidivism rate of target population	<p>A. Number of program participants</p> <p>B. Number of program participants who recidivate during the current reporting period</p> <p>C. Number of program participants who recidivate during the previous reporting period</p> <p>Baseline recidivism: Describe how a baseline</p>

Objective	Measure	Data Grantee Provides
		<p>recidivism rate will be calculated for the proposed target population</p> <p>Recidivism rate reduction: Discuss what level of reduction in recidivism you would consider to be success. Include a description of the follow-up period length (post-release), and the recidivism rate targeted such as arrest, conviction, revocation, and/or reincarceration</p>
	<p>Percentage of participants who receive a risk and needs assessment</p>	<p>Number of probationers enrolled in smart probation program</p> <p>Number of probations enrolled in smart probation program who receive a risk and needs assessment</p> <p>Risk and needs assessment:</p> <p>A. What risk assessment instrument will be used, if any</p> <p>B. Describe how and when offenders will be assessed</p> <p>C. Number of new probationers who are high risk</p> <p>D. Number of new probationers who are moderate risk</p> <p>E. Number of new probationers who are low risk</p>
	<p>Percentage of participants who successfully completed the program</p>	<p>A. Number of participants enrolled in smart probation program</p> <p>B. Number of participants who successfully completed smart probation</p>
	<p>Percentage of unsuccessful program exits</p> <p>Percentage of program incompletes</p>	<p>A. Number of participants enrolled in smart probation program</p> <p>B. Number of participants no longer in the program due to failure to meet program requirements (receiving a higher level of care)</p> <p>C. Number of participants no longer in the program due to new court or criminal involvement (technical violation, arrest, conviction, revocation, reincarceration)</p> <p>D. Number of participants no longer in the program due to a lack of engagement (no shows and nonresponsive participants)</p> <p>E. Number of participants no longer in the program due to absconding</p> <p>F. Number of participants no longer in the program due to relocating or case transfer</p> <p>G. Number of participants no longer in the program due to death or serious illness</p> <p>H. Number of participants who did not complete the program for other reasons (please specify)</p> <p>I. Specify other reasons</p>
	<p>The recidivism rate for program participants</p>	<p>A. Number of participants enrolled in smart probation program</p> <p>B. Number of participants who had a technical violation of supervised release while participating in the program</p> <p>C. Number of participants who were arrested while participating in the program</p>

Objective	Measure	Data Grantee Provides
		D. Number of participants who were convicted while participating in the program E. Number of participants who had a revocation of the terms of supervised release while participating in the program F. Number of participants who were reincarcerated while participating in the program

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page x 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 regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

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

### Notice of Post-Award FFATA Reporting Requirement

Applicants should anticipate that OJP will require 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), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

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

## How To Apply

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

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization’s AOR. Note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** 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 16.812, titled “Second

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Chance Act Prisoner Reentry Initiative,” and the funding opportunity number is BJA-2012-3254.

6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields.
7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

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

**Note: Duplicate Applications**

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

**Experiencing Unforeseen Grants.gov Technical Issues**

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant’s control that prevent submission of its application by the deadline, the applicant must e-mail the BJA Justice Information Center (see page 1 for contact information) **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) the applicant has received. **Note: Requests are not automatically approved by BJA.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, BJA will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

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

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

## What an Application Should Include

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

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

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

### 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.

### 2. Abstract

The abstract should provide an overall summary of the project and include the project's purposes, goals, and deliverables. The abstract may be single or double-spaced, but must use a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and should not exceed 2 pages.

### 3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria (1-4) in the order given. The program narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must not exceed 15 pages. 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:

- a. Statement of the Problem
- b. Program Design and Implementation
- c. Capabilities and Competencies
- d. Impact/Outcomes, Evaluations, Sustainment, and 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.

Further information is available under the Selection Criteria section, page 15.

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

Applicants must provide a proposed budget that is complete, allowable, and tied to the proposed activities. No more than 25 percent of the total grant award may be used for administrative purposes, data collection, performance measurement, and performance assessment. Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings, for three days, in Washington D.C.

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

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet.

- Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities.
- 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/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

#### **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 (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions (or comparable legal documentation).

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

- **Project Timeline** with each project goal, related objective, activity, expected completion date, responsible person, or organization.
- **Position Descriptions** for key positions.
- **Letters of Support** from all key partners, detailing the commitment to work with the applicant 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. Note in particular the following forms:

- a. [Standard Assurances](#)  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)  
Applicants must read, certify and submit in GMS prior to the receipt of any award funds.
- c. [Accounting System and Financial Capability Questionnaire](#)  
Required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and submitted.

## Selection Criteria

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed below after each individual criteria. For example, for the first criteria, "Statement of the Problem," this section is worth 15 percent of the entire application in the review process.

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

- Clearly define the scope of the problem that the proposed project seeks to impact:

- Describe the size and demographic make-up of the population in the jurisdiction currently under community supervision.
- Describe the current organizational/management structure of the responsible supervising agency/entity, including the number of supervising staff and the staff/offender ratio.
- Describe the use of evidenced-based strategies including the type of risk/needs assessment instrument utilized.
- Describe the current violation rate and translate that into a baseline recidivism rate which may be used to assess the effectiveness of the project. Clearly articulate how the recidivism rate is calculated.
- Describe how the applicant anticipates the project's implementation will improve the effectiveness and efficiency of the delivery of offender supervision.
- Explain the inability to fund the program adequately without federal assistance.

**2. Program Design and Implementation (35 percent out of 100)**

- Clearly articulate the goals established for this project and connect them to the overarching goals of the solicitation set forth on pages 4.
- Describe how the proposed project activities will address these program goals and further the overall intent of the solicitation
- Refer to the “approved uses of funds” section on pages 4-6 and describe specifically how the proposed allocation of project funds meets these standards
- Describe in detail how the proposed project addresses the priority considerations outlined on page 6.
- Indicate the number of people under community supervision who would receive services if this proposal is funded.

**3. Capabilities and Competencies (25 percent out of 100)**

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.
- Demonstrate the capability of the implementing agency and collaborative partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program.

**4. Impact/Outcomes, Evaluation, and Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures (15 percent out of 100)**

- Describe the process for assessing the initiative's effectiveness through the collection and reporting of the required performance metrics data (see “Performance Measures,” page 7).
- Identify goals and objectives for program development, implementation, and outcomes.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.

- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.
- Describe a plan for the evaluation of the project and document a collaborative relationship with an objective, third-party evaluator such as a local college or university. Specifically identify and describe the partnership and collaboration
- Discuss how this effort will be integrated into the state or tribal justice system plans or commitments, how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.

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

- Provide a proposed budget that is complete; reasonable and allowable; cost effective, and necessary for project activities.
- At least 25 percent of the total grant award should be used for data collection, performance measurement, and performance assessment.
- Applicants must budget funding to travel to Department of Justice-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings in Washington D.C.

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

The Office of the Chief Financial Officer (OCFO), in consultation with 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

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

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, application submission process, and/or the application

review/peer review process. Feedback can be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

## **Application Checklist**

### **FY 2012 Smart Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities**

This checklist has been created to assist with developing an application. This application checklist reflects the specific information requested in the solicitation, including, but not limited to, information and documents required for the Basic Minimum Requirements (BMR).

#### **Eligibility Requirements:**

- Applicant agency meets eligibility requirements (see title page)
- The proposed budget is within the allowable limits (up to \$500,000, for 24 months) (see page 6)
- Federally recognized tribe (if applicable)

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

- SF 424 Form (see page 13)
- Abstract (see page 13)
- Program Narrative \* (see page 13)
  - Statement of the Problem/Program
  - Project Design and Implementation
  - Capabilities/Competencies
  - Impact/Outcomes, Evaluation, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures
- Budget Detail Worksheet and Budget Narrative \* (see page 14)
- Disclosure of Lobbying Activities (SF-LLL) (see page 12)
- Indirect Cost Rate Agreement (if applicable) (see page 14)
- Tribal Authorizing Resolution (if applicable) (see page 14)
- Additional Attachments (see page 15)
  - Project Timeline
  - Position Descriptions
  - Letters of Support
- Other Standard Forms including (as applicable) (see page 15)
  - Accounting System and Financial Capability Questionnaire

**\*Note:** 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.