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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) 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 to develop more effective and evidenced-based probation practices that effectively address probationers' needs and reduce recidivism.

## Smart Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities FY 2013 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).

BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

### Deadline

Applicants must register with [Grants.gov](#) prior to application submission. (See "How To Apply," page 21). All applications are due by 11:59 p.m. eastern time on May 9, 2013. (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.

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

## Overview

At yearend 2011, there were an estimated 4,814,200 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 remain high. 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 FY 2013 Smart Probation Program (SPP) seeks to improve probation success rates, which would in turn improve public safety, reduce admissions to prisons and jails, and save taxpayer dollars. Funds can be used to implement evidence-based supervision strategies and to innovate new strategies to improve outcomes for probationers. This program is funded under the Second Chance Act appropriation. Signed into law on April 9, 2008, the Second Chance Act ([P.L. 110-199](#)) was designed to improve outcomes for people returning to communities from prisons and jails. This first-of-its-kind legislation authorizes federal grants to government agencies and nonprofit organizations to provide employment assistance, substance abuse treatment, housing, family programming, mentoring, victims support, and other services that can help reduce recidivism.

## Deadlines: Registration and Application

Applicants must register with Grants.gov in order to submit an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 pm eastern time on May 9, 2013. See "How To Apply" on page 21 for details. Note that while the deadline for submission is 11:59 p.m. eastern time on May 9, 2013, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see "Contact Information" on the page 2 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. [www.bjs.gov/index.cfm?ty=dcdetail&iid=271](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=271)

# Smart Probation Program—Specific Information

## Goals, Objectives, and Deliverables

The goal of this program is to develop and test innovative strategies and to implement evidence-based probation approaches that increase community safety and reduce violent crime by effectively addressing individuals' risk and needs and reduce recidivism. The objectives of Smart Probation Program are the following:

- Improve supervision strategies that will reduce recidivism.
- Promote and increase collaboration among agencies and officials who work in probation, pretrial, law enforcement, treatment, reentry, 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.
- Develop and implement strategies to identify and enroll uninsured probationers into Medicaid, or other insurance through health exchanges, and to connect them to treatment providers as appropriate.
- 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.

## Mandatory Project Components

All projects are required to include the following components within their proposal materials:

- Demonstrate executive support for the proposed initiative.
- Clearly demonstrate the appropriate use and integration of evidenced-based principles such as the application of risk/needs assessment.
- Document a baseline recidivism rate based on historical data.

## Priority Project Component

Priority consideration will be given to applicants who can demonstrate that their proposal:

- Incorporates a research partner to assist with a) data collection and analysis, b) problem assessment, c) strategy development, or d) monitoring and evaluation performance. The research partner can be an independent consultant, or located in an academic institution, a state Statistical Analysis Center, or a research organization. The research partners should have demonstrated expertise conducting the type of work proposed.

## Allowable Uses for Award Funds

Allowable 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 individuals to caseloads; and responding with the appropriate type and dosage of supervision and programming, including the use of swift and certain responses to violations. 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 individual accountability.
- **Test new policies and strategies in community supervision and treatment to increase public safety and generate savings.** Applicants can use grant funds to test innovative strategies, including the use of information sharing technology to bolster interagency cooperation and help agencies better target resources to the continuum of low to high risk probationers (e.g., 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 prosecutorial 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 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, employment 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.
- **Promote the use of evidenced-based programs and strategies by service providers that provide treatment, aftercare, reentry services, and alternatives to incarceration to probationers.** Applicants can use funds to assess the extent to which service providers are using validated risk assessment tools, serving medium to high risk offenders, and implementing evidenced-based programs and strategies with fidelity. Funds may also be used to provide training in evidenced-based practices to service providers under contract with applicant.
- **Plan and strategize for how expanded options for access to healthcare can enhance outcomes for offenders.** Applicants can plan and implement strategies for expanded Medicaid eligibility, behavioral health parity, connection to subsidized private health insurance options through the health insurance marketplace (also known as exchanges) to increase access, service use, and outcomes.

- **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 populations 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.pewstates.org/uploadedFiles/PCS\\_Assets/2009/Maximum\\_Impact\\_web.pdf](http://www.pewstates.org/uploadedFiles/PCS_Assets/2009/Maximum_Impact_web.pdf)

Applicants can find out more information about the Health Insurance Marketplace at: [www.healthcare.gov](http://www.healthcare.gov). For Information about expanded Medicaid coverage, contact your state or local Medicaid agency.

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

OJP places a strong emphasis on the use of data and evidence in policy making and programming in criminal justice. OJP is committed to:

- Improving the quantity and quality of evidence OJP generates;
- Integrating evidence into program, practice, and policy decisions within OJP and the field; and
- Improving the translation of evidence into practice.

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

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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.

## **Amount and Length of Awards**

BJA anticipates making up to eight awards under this program for up to \$750,000 each for a 36-month award period. For those proposals which incorporate a research partner, include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment.

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**

### **Unallowable Uses for Award Funds**

In addition to the unallowable costs identified in the [OJP Financial Guide](#), award funds may not be used for the following:

- Prizes/rewards/entertainment/trinkets (or any type of monetary incentive)
- Client stipends
- Gift cards
- Vehicles
- Food and beverage

### **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 Assistant Attorney General (AAG) for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the 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 the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, 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**

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This guidance sets out the current OJP policy, which requires all funding recipients that propose to hold or sponsor conferences (including meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages 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 affect direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

### **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, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

### **Performance Measures**

To assist the Department with 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

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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.	<p>Percentage increase in the number of research or evidence-based tools, interventions, or tactics deployed</p> <p>Percentage of participants admitted to the program</p>	<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>
	<p>Number of collaborative research and evaluation projects</p> <p>Number of partnerships established</p>	<p>A. Number of collaborative research and evaluation projects</p> <p>B. Identify partners and describe any evaluation and data activities</p> <p>Number of partnerships established</p>
	<p>Number of participants who attend training</p> <p>Percentage of participants trained and subsequently demonstrated performance improvement</p> <p>Percentage of participants trained who rated the training as satisfactory or better</p>	<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>



	<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> <p>D. Number of participants who were convicted while participating in the program</p> <p>E. Number of participants who had a revocation of the terms of supervised release while participating in the program</p> <p>F. Number of participants who were reincarcerated while participating in the program</p>

OJP does not require applicants to submit performance measures data with their applications. 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 12 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,

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“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.

## What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it 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 determined to be nonresponsive to the scope of the solicitation, or that do not include application elements that BJA has designated 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 that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Resumes”) for all attachments. Also, 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 required standard form used 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). In addition:

- Applicants should ensure that all information is correct, check spelling, and pay careful attention to the legal name, award amount, address and the points of contact.
- Applicants should select the appropriate Point of Contact (POC) and the Authorized Representative (Note: These two contacts should not be the same individual).
  - The Authorized Representative must have the authority to enter the state, county, municipality, or other eligible unit of local government into a legal contract with the federal government. This person is typically a county commissioner, mayor, city manager, or other similarly designated official.

The POC will serve as the primary point of contact and will be responsible for grant management duties such as a submission of reports. Applicants should ensure that the name, contact information, title, and solicitation are correct.

## 2. Abstract

Applications should include a high-quality “Project Abstract” that summarizes the proposed project in 400 words or less. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with <Project Abstract> as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.
- **The abstract should include the following clearly labeled and delineated information:**
  - Program design elements including the allowable uses of funds that will be incorporated into the project
  - Mandatory Program Components
  - Priority Program Component (if applicable)
  - If applicable, the projected number of participants to be serviced through the project and target population characteristics
  - Plan for establishing a baseline recidivism rate
  - Name of the validated risk assessment tool used

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

Permission to Share Project Abstract with the Public: It is unlikely that BJA will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP’s funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

Note: OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### **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, BJA may consider such noncompliance 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  
BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data to BJA as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

Further information is available under the Selection Criteria section, page 17.

### **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). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

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).

No more than 20 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. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, 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.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their 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)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, then the application should include appropriate legal documentation, as described above, from all tribes that would receive services/assistance 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 an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

**7. Additional Attachments**

**a. Letter from Probation Executive** detailing agency commitment to the project.

**b. Research Partner Addendum (if applicable)**

A key component of the Smart Probation Program is evidence-informed practice, and the capacity of the applicant and, if included, its proposed research and evaluation partner will be carefully evaluated by BJA and its reviewers. As such, if proposing to include a research partner, applicants should provide a research partner addendum. The addendum should

contain the proposed research partner/organization with a description of the role and responsibilities of the research partner/organization in informing the applicant's SPP project. At a minimum, research partners will be expected to: assist in problem description and definition; participate in solution development; provide ongoing data collection and analysis, monitoring, and assessment of the solution(s) impact; and prepare a final report that thoroughly discusses the efforts and assesses the results of the project. Applicants should provide a brief biographical statement about the proposed research partner's qualifications in conducting field research.

c. **Project Timeline** with each project goal, related objective, activity, expected completion date, responsible person, or organization.

d. **Position Descriptions** for key positions.

e. **Letters of Support** from all key partners, detailing the commitment to work with the applicant to promote the mission of the project.

f. **Applicant disclosure of pending applications**

Applicants are to disclose whether they have pending applications for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will be subawarding federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency
- The solicitation name/project name
- The point of contact information at the applicable funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name "Disclosure of Pending Applications," to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the

separate attachment page. (e.g., “[Applicant Name] does not have pending applications submitted within the last 12 months for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”)

## 8. Other Standard Forms

Additional forms that OJP may require 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](#)<sup>\*</sup>  
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](#)<sup>\*</sup>  
Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.
- c. [Accounting System and Financial Capability Questionnaire](#)  
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, must download, complete, and submit this form.

\*These OJP Standard Assurances and Certifications are forms which applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

## 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/probationer 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 probationer 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 page 4.
- Describe in detail how the proposed project addresses the Mandatory Project Components outlined on page 4.
- Refer to the "Allowable Uses of Funds" section on pages 4-6 and describe specifically which areas the proposed project will address.
- Use data to support the project design.
- If proposing to include a research partner, describe the roles and responsibilities of the research partner in the SPP and how the role of the research partner is integrated into the SPP strategy. At a minimum, the research partner should provide ongoing analysis, monitoring, and assessment of the solution(s) impact, and prepare a final report that thoroughly assesses the results of the project.
- 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 data, developing a plan, and evaluating the project.
- If proposing to include a research partner, describe the qualifications of the SPP research partner and the prior experience of the researcher with "action research," including prior work with probation agencies and other criminal justice partners. Candidates should be experienced in several different data collection methodologies, and in both quantitative and qualitative research methods. It is preferable that they have several years of evaluation research experience and have experience with oral and written presentations of research results. Research partners should be able to conduct scientifically rigorous evaluations and be well versed in evaluation methods.

## **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 project's effectiveness through the collection and reporting of the required performance metrics data (see "Performance Measures," page 8).

- 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)**

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>2</sup>
- If proposing to include a research partner, include an appropriate percent of the total grant award for research, 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 teams of three to attend two meetings in Washington D.C. to include representatives from the probation agency and the research partner (if applicable).

## **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. 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer

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<sup>2</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

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, reviews 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, who may consider 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 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
- [Civil Rights Compliance Specific to State Administering Agencies](#)
- 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 of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

## How To Apply

Applicants must submit applications through Grants.gov. Applicants must first register with Grants.gov in order to submit an application through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should 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 several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note:** BJA encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for email updates will be notified.

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 a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating 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. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire registration with the System for Award Management (SAM). SAM replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.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 an organization can have more than one AOR.
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 Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2013-3553.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do 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 message will state whether the application has been received and validated, or rejected due to errors, with an explanation. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** of the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note: Grants.gov only permits the use of specific characters in names of attachment files. Valid file names may only include the following characters: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, and period. 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 contact BJA staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, OJP will reject the application as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register 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 each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology 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).

## 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, the application submission process, and/or the application review/peer review process. Feedback may be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or email listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

# Application Checklist

## FY 2013 Smart Probation: Reducing Prison Populations, Saving Money, and Creating Safer Communities

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

### Eligibility Requirements:

- Applicant agency meets eligibility requirements (see title page)
- The proposed budget is within the allowable limits (up to \$750,000, for 36 months) (see page 7)
- Federally recognized tribe (if applicable)

### What an Application Should Include:

- SF 424 Form (see page 12)
- Abstract (see page 13)
- Program Narrative \* (see page 14)
- Budget Detail Worksheet and Budget Narrative \* (see page 14)
- Disclosure of Lobbying Activities (SF-LLL) (see page 22)
- Indirect Cost Rate Agreement (if applicable) (see page 15)
- Tribal Authorizing Resolution (if applicable) (see page 15)
- Additional Attachments (see page 15)
  - Letter from Probation Executive
  - Research Partner Addendum (if applicable)
  - Project Timeline
  - Position Descriptions
  - Letters of Support
  - Applicant disclosure of pending applications
- Other Standard Forms including (as applicable) (see page 17)
  - 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.