



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for Smart Supervision: 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 evidence-based probation and parole practices that effectively address individuals' needs and reduce recidivism.

Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities FY 2014 Competitive Grant Announcement

Eligibility

Eligible applicants are 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 submitting an application. (See "How to Apply," page 20.) All applications are due by 11:59 p.m. eastern time on April 7, 2014. (See "Deadlines: Registration and Application," page 4.)

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to support@grants.gov. The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified below **within 24 hours after the application deadline** and request approval to submit their application.

For assistance with any other requirements of this solicitation, contact the BJA Justice Information Center by telephone at 1-877-927-5657 or by e-mail at JIC@telesishq.com. 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 this announcement: BJA-2014-3784

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Contents

Overview	4
Deadlines: Registration and Application	4
Eligibility	4
Smart Supervision Program—Specific Information.....	5
Performance Measures	10
What an Application Should Include	11
Information to Complete the Application for Federal Assistance (SF-424)	11
Project Abstract	11
Program Narrative	12
Budget Detail Worksheet and Budget Narrative.....	13
Indirect Cost Rate Agreement (if applicable).....	14
Tribal Authorizing Resolution (if applicable).....	14
Additional Attachments.....	14
Accounting System and Financial Capability Questionnaire	16
Selection Criteria.....	17
Review Process	19
Additional Requirements.....	19
How to Apply	20
Provide Feedback to OJP	23
Application Checklist	24

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

Overview

At yearend 2012, an estimated 4,781,300 adults were under supervision in the community either on probation or parole—the equivalent of about 1 out of every 50 adults in the United States. Many people on supervision do not successfully complete their community supervision.¹ According to the Bureau of Justice Statistics (BJS), 15 percent of probationers who left supervised status in 2012 were incarcerated for a new offense or due to revocation of their current probation sentence. Twenty-five percent of exits from parole were due to incarceration for a new offense or parole revocation. 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. These failure rates are a key reason prison populations remain high.

The FY 2014 Smart Supervision Program (SSP) seeks to improve probation and parole 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 supervisees. 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 prior to submitting 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 p.m. eastern time on April 7, 2014. See "How to Apply" on page 20 for details.

Eligibility

Refer to the title page for eligibility under this program.

¹Probation and Parole in the United States, 2012, Bureau of Justice Statistics, www.bjs.gov/content/pub/pdf/ppus12.pdf.

Smart Supervision 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 and parole approaches that increase community safety and reduce violent crime by effectively addressing individuals' risk and needs and reducing recidivism. The objectives of the Smart Supervision Program are the following:

- Improve supervision strategies that will reduce recidivism.
- Promote and increase collaboration among agencies and officials who work in probation, parole, 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” supervisees that may serve as a model for other agencies throughout the nation.
- Develop and implement strategies to identify and enroll uninsured supervisees 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 evidence-based supervision and treatment strategies.
- Demonstrate the use and efficacy of evidence-based practices and principles to improve the delivery of probation and parole supervision strategies and practices.

Mandatory Project Components

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

- Demonstrate agency commitment to the proposed initiative.
- Clearly demonstrate the appropriate use and integration of evidence-based principles such as the assessment of risk and needs.
- Document a baseline recidivism rate based on historical data.
- Incorporate 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 partner 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 or parole programs:

- **Increase the capacity of states, localities, and tribal communities to help probation or parole agencies improve supervision.** Applicants can use grant funds to implement

evidence-based strategies to increase the effectiveness of community supervision, including the incorporation of: identification of risk and needs through assessment; assignment of individuals to caseloads based on assessment results; and supervision and programming of the appropriate type and dosage, including the use of swift and certain responses to violations. These proposals should include collecting and analyzing community supervision data, expanding technical assistance and training resources to community supervision staff, emphasizing the use of evidence-based principles and practices, and improving interagency coordination of community supervision activities. Funds can also be used for business process analyses or changes that would support the use or implementation of evidence-based strategies. Strategies can also include information technology to enhance individual accountability or development and testing of tools for the field that effectively facilitate reentry by integrating risk assessment of probationers or parolees with substance abuse, mental health, employment and education needs.

- **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 to help agencies better target resources to the continuum of low to high risk supervisees (e.g., target a high-risk/high-needs cohort of probationers for intensive intervention and supervision activities). New strategies may include the use of information sharing technology to bolster interagency cooperation. The results of these projects must 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. Applicants should consider basing supervision conditions on risk and criminogenic needs assessments and the use of a range of administrative sanction options.
- **Promote the use of evidence-based programs and strategies by service providers that provide treatment, aftercare, reentry services, and alternatives to incarceration to those on supervision.** Applicants can use funds to assess the extent to which service providers are using validated risk assessment tools, serving medium- to high-risk supervisees, and implementing evidence-based programs and strategies with fidelity. Funds may also be used to provide training in evidence-based practices to service providers under contract with applicant.
- **Plan and strategize for how expanded options for access to healthcare can enhance outcomes for supervisees.** Applicants can plan and implement strategies for expanded Medicaid eligibility, behavioral health parity, and 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 or parole agencies integrate their resources to supervise “high-risk” supervisees. 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.** Evaluations will focus on how well the interventions developed and policy changes implemented have helped sites selected for funding under the program manage the growth of their corrections populations and improve integration of community supervision 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.

Evidence-Based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. 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 evidence-based. OJP's [CrimeSolutions.gov](http://www.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.

Collaborative partnerships between researchers and practitioners have great potential to improve practice and policy. The National Institute of Justice recently published findings of the Research-Practitioner Partnerships Study, which documents, synthesizes, and shares what makes partnerships between researchers and practitioners successful:

- "Recommendations for Collaborating Successfully With Academic Researchers, Findings from the Researcher-Practitioner Partnerships Study (RPPS)," www.ncjrs.gov/pdffiles1/nij/grants/243911.pdf

In addition, applicants can obtain more information on evidence-based strategies for probation and parole supervision from the following resources:

- *A Ten-Step Guide to Transforming Probation Departments to Reduce Recidivism*, <http://csgjusticecenter.org/corrections/publications/ten-step-guide-to-transforming-probation-departments-to-reduce-recidivism/>
- "Putting Public Safety First: 13 Strategies for Successful Supervision and Reentry," 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

Applicants can refer to the following resources for general information about how the Affordable Care Act may impact probation and parole agencies:

- “Ten Ways Probation & Parole Officers Can Help Link People to New Health Insurance Opportunities,” <http://marketplace.cms.gov/getofficialresources/other-partner-resources/ten-ways-probation-and-parole.pdf>.
- “The Affordable Care Act and Criminal Justice: Intersections and Implications,” www.bja.gov/Publications/ACA-CJ_WhitePaper.pdf.

To find out more information about the Health Insurance Marketplace, applicants can visit www.healthcare.gov or call the Health Insurance Marketplace Call Center at 1-800-318-2596. TTY users should call 1-855-889-4325. For Information about expanded Medicaid coverage, contact your state or local Medicaid agency.

Amount and Length of Awards

BJA anticipates that it will make up to seven awards of up to \$750,000 each for a 36-month project period.

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

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.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash 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 2014 salary table for SES employees is available at www.opm.gov. Note: A recipient may compensate an employee at a greater 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 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.

Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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 for individuals with limited English proficiency may be allowable. 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 at 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.

Award Special Condition:

Once awarded, each grant award will have in place a special condition withholding all but \$150,000, which will allow grantees to establish an action plan within 180 days of receiving final approval of the project's budget from OCFO. The action plan must:

- Describe the problem and the data that led to its identification.
- Include a logic model that identifies the solution(s) to be tested and projects result(s).
- Include an impact evaluation plan, which includes ongoing analysis, monitoring, and assessment of the overall project impact.
- Ensure that a research partner is included, as well as a contract, memoranda of understanding, or other agreement that clearly delineates the role and responsibilities of the

research partner. This document should establish the authority of the research partner to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative.

- Demonstrate executive support and commitment of agency resources to the project.
- Include letters of commitment from external agencies or organizations that are expected to participate in the project, to the extent that letters have not already been provided.

The remaining funds will be released to each grantee after BJA approves the action plan.

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. Post award, recipients will be required to submit quarterly performance metrics through BJA's online Performance Measurement Tool (PMT), located at www.bjaperformancetools.org. Applicants should review the complete list of this program's performance measures at: www.bjaperformancetools.org/help/SPPMeasures.pdf. Note: Due to a recent change in the appropriations language relating to this program, parole supervision agencies are now eligible to apply. The performance measures as written apply only to probation, but they will be adjusted to include parole and will cover the same scope as the probation measures.

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss their proposed methods for collecting data for performance measures in their application. Refer to the section "What an Application Should Include" on page 11 for additional information.

Note on Project Evaluations

Applicants 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). Applicants whose proposals may involve a research or statistical component also should review the "Confidentiality" section on that web page.

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 their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using 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 the 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, Budget Detail Worksheet, and Budget Narrative. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, 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 applicants include resumes 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 OJP's Grants Management System (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).

Applicants also 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.
- 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. Please make sure that the name, contact information, title, and solicitation is correct.
- Include the full amount requested for the entire 36-month project period on the SF-424.

2. Project 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 “Abstract” as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.
- **Include the following clearly labeled and delineated information:**
 - legal name of the grant recipient and the title of the project;
 - project’s purposes, goals, and deliverables;
 - program design elements including the allowable uses of funds that will be incorporated into the project;
 - mandatory program components;
 - if applicable, the projected number of participants to be serviced through the project and target population characteristics;
 - plan for establishing a baseline recidivism rate; and
 - name of the validated risk assessment tool used.

As a separate attachment, the 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. BJA suggests that the abstract be submitted as a Word document.

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 (1-5) 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. See “Selection Criteria” at page 17 for more information about what each section should include.

a. Statement of the Problem

- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures
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 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.
- e. Impact/Outcomes, Evaluation, and Sustainment

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. Applicants that submit their budget in a different format should include a budget summary page and utilize the following approved budget categories to label the requested expenditures:

- Personnel
- Fringe Benefits
- Travel, Equipment
- Supplies
- Consultants/Contracts
- Other Costs, and
- Indirect Costs

The budget detail worksheet should show all computations and provide itemized breakdowns of all costs. If the computations do not show sufficient detail or are incorrect, the budgets will be returned for corrections.

The budget categories and amounts included in the budget detail worksheet should mirror the amounts in the budget narrative.

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.

See "Selection Criteria" on page 17 for more detail on what a budget for the Smart Probation Program should include.

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.

c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [OJP Financial Guide](#).

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. For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at 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, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or 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 Community Supervision Agency Executive** demonstrating agency commitment to the project and to the research partnership.
- b. **Letter from Research Partner** demonstrating commitment to the project.

- c. **Project Timeline** with each project goal, related objective, activity, expected completion date, and responsible person or organization.
- d. **Position Descriptions** for key positions and **Resumes** for personnel in those positions, including Research Partner position(s).
- 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 grants or subgrants (including cooperative agreements) 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 subaward 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 on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) 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.”).

g. Research and Evaluation Independence and Integrity

Regardless of the proposal's other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research and evaluation funded by BJA grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research and evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that project, as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In the attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

For situations in which potential personal or organizational conflicts of interest exist, in the attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, or otherwise address those conflicts of interest.

Considerations in assessing research and evaluation independence and integrity will include, but may not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

8. 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](#).

Selection Criteria

The following six 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, the first criterion, “Statement of the Problem,” is worth 15 percent of the entire application in the review process.

1. Statement of the Problem (15 percent)

- Clearly define the scope of the problem that the proposed project seeks to impact.
- Describe the size and demographic makeup 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/supervisee ratio.
- Describe the use of evidence-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 supervision.
- Explain the inability to fund the program adequately without federal assistance.

2. Project Design and Implementation (35 percent)

- Clearly articulate the goals established for this project and connect them to the overarching goals of the solicitation set forth on page 5.
- Describe in detail how the proposed project addresses the Mandatory Project Components outlined on page 5.
- Describe specifically which areas the proposed project will address (refer to the “Allowable Uses of Funds” section on pages 5-7).
- Use data to support the project design.
- Describe the roles and responsibilities of the research partner in the SSP and how the role of the research partner is integrated into the SSP strategy. At a minimum, the research partner should provide ongoing analysis, monitoring, and assessment of the solution’s(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)

- 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. Describe and provide evidence of the types and quality of data sources available to the agency to conduct appropriate analysis.
- Describe the qualifications of the SSP research partner and the prior experience of the researcher with “action research,” including prior work with probation or parole 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. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5 percent)

- Describe the process for assessing the project’s effectiveness through the collection and reporting of the required performance metrics data (see “Performance Measures,” page 10).

5. Impact/Outcomes, Evaluation, and Sustainment (10 percent)

- 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.

6. Budget (10 percent)

- 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.²
- Include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment.

² 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.

- 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 for three days each in Washington D.C. to include representatives from the community supervision agency and the research partner.

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 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 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, 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.

- 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
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- 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
- Non-profit 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
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

How to Apply

Applicants must register in, and submit applications 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. 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.

BJA strongly 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 updates will be notified.

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the following characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, and period. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contain any other characters. Grants.gov is designed to forward successfully submitted applications 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." GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

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. A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is 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. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at 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.
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 number for this solicitation is 16.812, titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2014-3784.
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 a valid 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. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 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.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

Note: Duplicate Applications

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

Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. 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 OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- failure to register in SAM or Grants.gov in sufficient time
- failure to follow Grants.gov instructions on how to register and apply as posted on its Web site
- failure to follow each instruction in the OJP solicitation
- 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.

Provide Feedback to OJP

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. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This e-mail 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 e-mail 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 e-mail your resume to 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 2014 Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 21)
- _____ Acquire or renew registration with SAM (see page 21)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 22)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 22)

To Find Funding Opportunity:

- _____ Search for the funding opportunity on Grants.gov (see page 22)
- _____ Download Funding Opportunity and Application Package
- _____ Sign up for Grants.gov email notifications (optional) (see page 21)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)

General Requirements:

- _____ Review "[Other Requirements](#)" web page

Scope Requirement:

- _____ The federal amount requested is within the allowable limit of up to \$750,000 for 36 months

Eligibility Requirement:

- _____ Applicant agency meets eligibility requirements (see title page)

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 11)
- _____ Project Abstract (see page 11)
- _____ *Program Narrative (see page 12)
- _____ *Budget Detail Worksheet and Budget Narrative (see page 13)
 - _____ Employee Compensation Waiver request and justification (if applicable) (see page 8)
 - _____ Read OJP policy and guidance on "conference" approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm (see page 9)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 22)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 14)
- _____ Tribal Authorizing Resolution (if applicable) (see page 14)
- _____ Additional Attachments
 - _____ Letter from Community Supervision Agency Executive (see page 14)
 - _____ Letter from Research Partner (see page 14)
 - _____ Project Timeline (see page 15)
 - _____ Position Descriptions and Resumes (see page 15)
 - _____ Letters of Support (see page 15)
 - _____ Applicant Disclosure of Pending Applications (see page 15)
 - _____ Research and Evaluation Independence and Integrity (see page 16)

_____ Accounting System and Financial Capability Questionnaire (if applicable) (see page 16)

*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.