



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for Justice Reinvestment Initiative: State-Level Technical Assistance. This program furthers the Department's mission by helping state governments to analyze criminal justice system data, develop and implement policy options, and allocate scarce resources effectively while improving public safety and enhancing state capacity to make data-driven policy decisions.

Justice Reinvestment Initiative: State-Level Technical Assistance FY 2015 Competitive Grant Announcement

Eligibility

Eligible applicants are limited to national-scope private and non-profit organizations (including tribal nonprofit or for-profit organizations) and colleges and universities, both public and private (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee.

BJA welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

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.

For additional eligibility information, see Section [C. Eligibility Information](#).

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on April 23, 2015.

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

For additional information, see [How To Apply](#) in Section [D. Application and Submission Information](#).

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. Additional information on reporting technical issues is found under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How To Apply](#) section.

For assistance with any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email responsecenter@ncjrs.gov; fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this announcement: BJA-2015-4101

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Justice Reinvestment Initiative: State-Level Technical Assistance CFDA #16.827

A. Program Description

Overview

Approximately 2.2 million people were incarcerated in federal, state, and local prisons and jails in 2013, a rate of 1 out of every 110 adults.¹ After three years of declines, the prison population increased slightly in 2013, largely due to growth in state prison populations. These prisons face crowding and resource challenges. Accordingly, state spending on corrections has remained high. Over the last 25 years, state corrections expenditures have increased significantly—from \$12 billion in 1988 to more than \$55 billion in 2013.²

Justice reinvestment emerged as a way to address these issues through a targeted, data-driven policymaking process. BJA, in a public/private partnership with The Pew Charitable Trusts, launched the Justice Reinvestment Initiative (JRI) in 2010 as a multistaged process in which a jurisdiction increases the cost-effectiveness of its criminal justice system and reinvests savings into high-performing public safety strategies.

JRI is a public-private partnership between BJA, the Pew Charitable Trusts, and JRI technical assistance (TA) and assessment providers. Funding from BJA is authorized under the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235.

Program-Specific Information

Under the JRI model, a governmental working group with bipartisan and interbranch representation analyzes the correctional population and its costs, develops cost-effective policy options, and implements reforms to manage correctional populations while enhancing public safety. JRI jurisdictions reinvest these cost savings into high-performing initiatives that make communities safer. In addition to reducing prison populations, justice reinvestment encourages states to embrace a culture of greater collaboration, data-driven decisionmaking, and increased use of evidence-based practices.

“Justice reinvestment” refers to a data-driven approach that: (1) analyzes criminal justice trends to understand what factors are driving the growth in jail and prison populations; (2) develops and implements policy options to manage the growth in corrections expenditures and increase the effectiveness of current spending and investment to increase public safety and improve offender accountability; and (3) measures the impact of the policy changes and reinvestment resources and holds policymakers accountable for projected results.

The JRI Model consists of the following action steps:

1. Engagement of stakeholders across branches of government, political parties, and key groups such as victim advocates, prosecutors, etc.

¹ Bureau of Justice Statistics Correctional Populations in the United States, 2013 (Dec. 2014), www.bjs.gov/content/pub/pdf/cpus13.pdf.

² National Association of State Budget Officers, State Expenditure Report: Examining Fiscal 2012-2014 State Spending (2014), www.nasbo.org/sites/default/files/State%20Expenditure%20Report%20%28Fiscal%202012-2014%29S.pdf.

2. Analysis of data to identify criminal justice population and cost drivers.
3. Development of policy framework that can lead to enacted JRI legislation at the state level.
4. Implementation of JRI legislation through high-performing programs and strategies to reduce incarceration costs and increase public safety.
5. Support sustainability through measurement of implementation of JRI strategy and reinvestment.

BJA's role with respect to training and technical assistance provided under this solicitation includes the following activities:

- Reviewing and approving major work plans, including changes to such plans, and key decisions pertaining to project operations.
- Reviewing and approving major project-generated documents and materials used in the provision of project services.
- Providing guidance in significant project planning meetings and participating in project sponsored training events or conferences.
- Reviewing and approving any proposed publications prior to release or publication.
- Reviewing and approving any proposed subawards for implementation projects.

Pew's role with respect to training and technical assistance provided under this solicitation includes the following activities:

- Providing co-leadership, input, and guidance on the full range of state-level JRI activities and related matters.
- Providing technical assistance to select states to analyze data and develop policies, which, upon enactment of JRI policies, become eligible to apply for and receive implementation and sustainability assistance from a BJA-funded technical assistance provider.
- Educating and engaging state and local government officials and the media in select JRI sites to help support informed decisionmaking around JRI policies.

Goals, Objectives, and Deliverables

The goals of JRI are as follows:

- Identify drivers of corrections populations and costs.
- Prevent unnecessary confinement and reduce recidivism.
- Improve allocation of resources to yield more cost-beneficial impacts on public safety.

Technical assistance under the JRI Model corresponds with the action steps enumerated above.

1. Stakeholder Engagement

The TA provider will work with governmental and non-governmental stakeholders of the state's criminal justice system to: (A) orient them to the justice reinvestment process, including drafting a publication documenting the challenges states accepted into JRI seek to address and describing the process to come; (B) seek input on understanding justice system data and processes, interpreting analytic and qualitative findings, and assessing feasibility and providing information on the potential impact of policy recommendations; (C) involve and inform stakeholders in implementation in an ongoing way; and (D) set up processes for continued stakeholder engagement as technical assistance concludes. Such stakeholders typically include legislators, gubernatorial advisors, judges, corrections

executives (both institutional and community supervision), prosecutors, defense counsel, law enforcement, parole board members, victims' advocates, business leaders, nonprofit service providers, local private foundations, and leadership from departments that provide behavioral health treatment and recovery services.

2. Data Analysis

TA will be provided to state stakeholders to: (A) conduct a comprehensive analysis of state criminal justice data, including crime and arrest rates, conviction rates, pretrial, probation, parole, and prison and jail populations; (B) conduct a system assessment to ascertain the extent that policies, procedures, and practices adhere to the principles of effective correctional interventions; (C) assess the capability of justice system stakeholders to collect, analyze, and share information for purposes of making data-driven policy decisions related to corrections and sentencing; (D) evaluate the cost-effectiveness of the state spending on corrections and community corrections; and (E) present findings to the state in a comprehensible, clear, and concise manner.

This comprehensive analysis and evaluation shall include an analysis of the following:

- Reported crime and arrest data.
- Felony conviction data to understand the percent of offenders who are sentenced to prison for particular offenses.
- Prison admissions and length-of-stay data over a three to five year time period to determine which cohorts of offenders are driving the growth of the population.
- Development of a prison population projection using a simulation model to test the impact of various policy changes.
- Current capacity and quality of institutional and community-based risk-reduction programs such as drug treatment, mental health, and other social services to reduce recidivism among offenders on community supervision.
- Criminal justice expenditures and the development of practical, data-driven policy options, including high-performing programs that research shows can increase public safety, improve offender accountability, reduce recidivism, and manage the growth of corrections spending.

3. Policy Development

TA related to policy development will include: (A) developing data-driven policy options that can increase public safety and improve offender accountability and outcomes; (B) modeling impact of recommendations on prison populations, and community supervision populations as appropriate, and compare that impact to the cost of conducting the business of corrections as usual; and (C) documenting recommended policies in a publication for both state stakeholders and a national audience.

4. Implementation Planning and Guidance

During the orientation to justice reinvestment, technical assistance providers will inform state leaders that the state will be eligible for implementation assistance, if state leaders can demonstrate that they have analyzed the data, developed responsive policies, and memorialized criminal justice changes via state legislation or other mechanism. An eligible state will be required to submit to the appropriate TA provider (provider) an application, in such form and manner and at such time as specified by guidelines published jointly by BJA

and the provider. The goal of this assistance is to increase the state's capacity to meet its justice reinvestment goals, which may include providing evidence-based programming and supervision, developing risk-based programs that focus on persons most likely to reoffend, and improving offender accountability.

TA tasks related to implementation will include: (A) assisting in planning to ensure timely and faithful implementation of adopted policies; (B) providing technical expertise and guidance regarding operational and programmatic aspects of implementation as well as stakeholder education regarding the enacted policy changes; and (C) making and monitoring subaward grants to seed implementation. These subawards will provide limited assistance to supplement a state's funding of implementation efforts, and may be requested for the following uses:

- Provide training of corrections and community corrections, judicial, behavioral health, and other key staff on evidence-based practices for reducing recidivism and training to assist jurisdictions in implementing and validating new risk and needs assessment tools, assist in developing quality assurance mechanisms for these practices, and/or stakeholder education regarding the enacted policy changes;
- Assist in establishing high-performing programs, including pretrial programs, pre- and post-plea diversion programs; substance abuse and mental health treatment programs; programs that address criminogenic needs; case management services; swift, certain, and fair sanctions for individuals under community supervision; and programs that provide incentive funding for local supervision agencies that successfully reduce technical violations and recidivism; and
- Support newly established policies and practices that will avert growth in the prison population and, as a result, avert the need to appropriate funds for the construction or operation of new correctional facilities.

5. Supporting Sustainability

Concurrent with the implementation assistance described above, TA will aim to enhance sustainability of the policy changes, and will include development of robust performance and outcome measures, including measurement of costs saved or averted and amounts reinvested. The provider will also support a state-level, interbranch group tasked with oversight of the state's implementation of justice reinvestment policies. This assistance will enable the state to identify and reinvest saved/averted corrections costs into high-performing programs that enhance public safety by strengthening the criminal justice system and provide the capacity to measure performance of policies and programs enacted or established as a result of JRI activities and the reinvestment of cost savings. Finally, upon conclusion of the TA, the provider will work with state stakeholders to establish a sustainability plan to establish goals and activities for continued data-driven decisionmaking and system improvements in keeping with the goals of justice reinvestment.

In addition to the deliverables described above, the successful applicant TA provider must complete the following deliverables:

- In consultation with BJA, develop and disseminate to state-level government officials and policymakers materials required for states to indicate their interest in JRI participation.
- Conduct an in-depth review and assessment of each application, including site visits, and make recommendations to BJA and the JRI Steering Committee (comprised of JRI TA providers and funders) relative to appropriate candidates to participate in JRI.

- Provide highly effective TTA to successful applicants to complete the required data analysis and policy development; stakeholder meetings; data presentations; and policy recommendations to JRI steering groups.
- Provide to BJA recommendations as to which jurisdictions are ready to receive implementation assistance.
- Provide implementation TA to develop and implement key policies or programs informed by the data analysis; including detailed implementation plans and performance measures.
- In consultation with BJA, make and monitor appropriate subaward grants to jurisdictions to seed implementation of key strategies and programs which advance the JRI goals and priorities.
- Coordinate and collaborate with BJA and the organization responsible for assessing JRI (to be selected) to collect appropriate evaluation and assessment data from participating states in order to determine the effectiveness of the policies and programs implemented with JRI assistance and subaward funding.
- Submit monthly progress reports and performance measurement data to the organization responsible for assessing the JRI (to be selected).
- Cooperate with the organization responsible for assessing the JRI (to be selected) to ensure access to data, state JRI meetings, and state JRI service consumers.
- Publish state-specific reports to document three milestones in the JRI process: 1) upon the state's launch, a publication to lay out the challenges to be addressed through JRI; 2) after policy development and prior to a state's enactment, a publication to memorialize the recommended policy options; and 3) post-implementation, a report on implementation results.
- Make ongoing recommendations to BJA on relevant criminal justice research and ways to continue to improve the effectiveness of JRI.

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
- 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. The [OJP CrimeSolutions.gov](http://OJP.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.

B. Federal Award Information

BJA anticipates that it will make no more than three cooperative agreement awards to national-scope entities to implement JRI activities at the state level. Applicants may propose to provide either 1) data analysis and policy development, or 2) implementation and sustainability assistance, or both (see pages 5-8).

If applying for implementation and sustainability assistance activities, award recipients are expected to pass through an amount up to \$500,000 per site via subaward grants to state jurisdictions that have enacted JRI policy changes to assist in implementation. Pass-through funding recipients and amounts must be approved by BJA before being committed.

BJA estimates that it will make up to 3 awards ranging from \$1.5 million up to \$8 million, depending on the type of assistance to be provided, for an estimated total of \$10 million for a 60-month project period, beginning on October 1, 2015.

BJA may, in certain cases, provide supplemental funding in future years to awards under this solicitation; however, the project period may not be extended. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

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

Type of Award³

BJA expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if BJA expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under Section [F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

Financial Management and System of Internal Controls

If selected for funding, the award recipient must:

(a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

³ See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

(b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.

(c) Evaluate and monitor the non-federal entity's compliance with statute, regulations and the terms and conditions of federal awards.

(d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

(e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the non-federal entity considers sensitive consistent with applicable federal, state, and local laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

Budget Information

Unallowable and Unreasonable Uses for Award Funds

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

- Prizes/rewards/entertainment/trinkets (or any type of monetary incentive)
- Gift cards
- Stipends
- Vehicles
- Food and beverage
- Costs that do not support approved project activities

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

Cost Sharing or 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.

For additional cost sharing and match information, see Section [C. Eligibility Information](#).

Pre-Agreement Cost Approvals

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this

announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, 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.⁴ The 2015 salary table for SES employees is available on the Office of Personnel Management [web site](#). 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/financialguide/PostawardRequirements/chapter15page1.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 under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

⁴ This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

C. Eligibility Information

For additional eligibility information, see Title page.

Cost Sharing or Match Requirement

There is no cost sharing or match requirement for this solicitation. For additional information on cost sharing and match requirement, see Section [B. Federal Award Information](#).

Limit on Number of Application Submissions

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How To Apply](#).

D. Application and Submission Information

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, Budget Narrative, and Résumés/Curricula Vitae of Key Personnel. 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. Please review the "Note on File Names and File Types" under [How To Apply](#) to be sure applications are submitted in permitted formats.

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, select "For-Profit Organization" or "Small Business" (as applicable).

Intergovernmental Review: This funding opportunity is subject to [Executive Order 12372](#). Applicants may find the names and addresses of their state's Single Point of Contact (SPOC) at the following website: www.whitehouse.gov/omb/grants_spoc/. Applicants whose state appears on the SPOC list must contact their state's SPOC to find out about, and comply with, the state's process under Executive Order 12372. In completing the SF-424, applicants whose state appears on the SPOC list are to make the appropriate selection in

response to question 19 once the applicant has complied with their state's E.O. 12372 process. (Applicants whose state does not appear on the SPOC list are to make the appropriate selection in response to question 19 to indicate that the "Program is subject to E.O. 12372 but has not been selected by the State for review.")

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 "Project Abstract" as part of its file name
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins
- Include the legal name of the applicant and the project's title, goals, design elements, and deliverables

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative. BJA requests that the abstract be submitted as a text file, such as Word .doc format.

3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria (a-e) 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 20 pages. Number pages "1 of 20," "2 of 20," 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. Project Design and Implementation
- c. Capabilities and Competencies
- d. Impact/Outcomes, Evaluation, and Sustainment
- e. Plan for Collecting the Data Required for this Solicitation's 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. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Post award, recipients will be required to submit performance metric data quarterly through BJA's online Training and Technical Assistance Reporting Portal located at www.bjatraininq.org. In addition, JRI TA providers must collect and report data regarding the following program-specific objectives, depending on the type of assistance to be provided:

Pre-Enactment Performance Measures: Data Analysis and Policy Development

Objective	Performance Measure(s)	Data Grantee Provides
<p>Assist jurisdictions engaging in justice reinvestment analyze data and devise data-driven policy options to efficiently manage corrections expenditures, increase public safety, and improve offender accountability through technical assistance</p>	<p>Percentage of project plan outcomes met</p> <p>Number of agencies/ organizations receiving technical assistance</p> <p>Percentage of participating agencies/organizations with established Memoranda of Understanding (MOUs) with each of the identified groups</p> <p>Percentage of participating agencies/organizations successfully completing data analysis and policy development activities</p> <p>Percentage of participating jurisdictions recommended for implementation assistance</p> <p>Percentage of state and/or local agencies/organizations that rated the technical assistance as satisfactory or better</p>	<p>During the reporting period:</p> <p>Number of project tasks to include, but not limited to:</p> <ul style="list-style-type: none"> • JRI Participation Guidelines • Application Reviews • Recommendation Memos <p>Number of project tasks completed during the reporting period</p> <p>Number of jurisdictions receiving data analysis and policy development technical assistance</p> <p>Number of participating jurisdictions</p> <p>Number of participating jurisdictions with MOUs established with following groups:</p> <ol style="list-style-type: none"> A. Governor’s office B. Legislature C. Judicial branch D. Law enforcement E. Prosecutors F. Other key stakeholders <p>Number of participating jurisdictions completing data analysis and policy development activities to include, but not limited to:</p> <ul style="list-style-type: none"> • Analysis of criminal justice data • Assessment of cost-effectiveness of the corrections expenditures • Development of data-driven policy options • Present data and recommendations to JRI steering groups <p>Number of participating jurisdictions recommended for implementation assistance</p> <p>Number of state and/or local agencies/organizations that completed an evaluation of services</p> <p>Number of state and/or local agencies/organizations that rated the services as satisfactory or better</p>
<p>Enhance the translation of evidence into practice by supporting the use of data</p>	<p>Number of analytic reports produced</p> <p>Number of analytic reports submitted</p>	<ol style="list-style-type: none"> A. Number of analysis reports produced B. Number of analysis reports delivered to policymakers

analysis results to inform policy decisions	Number of meetings with stakeholder groups	<p>C. Number of different stakeholder groups consulted during data analysis and policy development</p> <p>D. Number of meetings with stakeholder groups held during data analysis and policy development</p>
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Post-Enactment Measures: Implementation and Sustainability

Objective	Performance Measure(s)	Data Grantee Provides
Provide jurisdictions with technical expertise and guidance to assist in the implementation and sustainment of their JRI strategies and programs	<p>Number of onsite visits completed</p> <p>Number of reports submitted</p> <p>Percentage of participating agencies/organizations successfully completing implementation and sustainability activities</p>	<p>Number of onsite visits completed</p> <p>Number of reports submitted to JRI assessment organization (to be selected)</p> <p>Number of participating jurisdictions</p> <p>Number of jurisdictions completing implementation and sustainability activities to include, but not limited to:</p> <ul style="list-style-type: none"> • Establish policies and practices • Establish high-performing programs • Provide key staff with training on evidence-based practices • Provide key staff with training on implementing and validating tools • Establish a sustainability plan upon close of technical assistance • Establish, collect data, and report out performance measures, including cost savings and reinvestment

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.

Note on Project Evaluations

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

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

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.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 Financial Guide at www.ojp.gov/financialguide/index.htm.

b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. 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 [Financial Guide](#).

d. Pre-Agreement Cost Approvals

For information on pre-agreement costs, see Section [B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a current 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 the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). 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.gov/funding/Apply/Resources/IndirectCosts.pdf.

6. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

7. Additional Attachments

a. 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.”), with the file name “Disclosure of Pending Applications,” to their application.

b. Research and Evaluation Independence and Integrity

If a proposal involves research and/or evaluation, 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, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
 - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded 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 part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal

(related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 or current 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 specific project or a location implementing the project (whether funded by OJP or other sources), 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 of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an 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. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will 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 sub-recipients for this particular project, should that be necessary during the grant period. 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.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. 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. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are 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.

- c. **Project Plan** with each project goal, related objective(s), activities, benchmarks or milestones, expected completion dates, and responsible person(s) or organization.
- d. **Position Descriptions** for key positions.
- e. **Résumés** for key personnel. Applicants may combine position descriptions and résumés into a single document; however, please note that résumés are one of the critical elements for an application, along with the program narrative and budget/budget narrative. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.
- f. **Letters of Support** from all key partners, detailing the commitment to work with the applicant to promote the mission of the project.

8. Financial Management and System of Internal Controls Questionnaire

In accordance with [2 CFR 200.205](#), federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

9. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

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 automatically 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 characters shown

in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (')
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	When using the ampersand (&) in XML, applicants must use the “&amp;” format.		

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:

OJP may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

- 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 16.827, titled "Justice Reinvestment Initiative" and the funding opportunity number is BJA-2015-4101.
6. **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 two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully 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 the same application, BJA will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

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 contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) to report the technical issue and receive a tracking number. Then applicant 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.gov/funding/Explore/CurrentFundingOpportunities.htm.

E. Application Review Information

Selection Criteria

Selection criteria are those elements used to consider the comparative value of different proposals submitted under this solicitation. These criteria are subjectively judged by reviewers.

1. Statement of the Problem (20 percent)

- Describe in general terms the current state of corrections spending among states in relation to overall state budgets.
- Describe in general terms the availability of data at the state and local level to guide decisionmaking with regard to states' criminal justice system funding and resource allocation, including extent of states' use of budget and prison population impact statements to accompany changes in criminal code and sentencing policy.
- Describe challenges in calculating accurate prison population projections based on criminal justice policy recommendations that may result from enactment of JRI policy changes.
- Describe challenges in calculating potential cost savings which could be generated if JRI policy recommendations are enacted.
- Describe the challenges in calculating cost saved or averted over time.
- Describe the challenges in tracking reinvestment of cost savings over time.

2. Project Design and Implementation (40 percent)

- Address in detail how the applicant proposes to undertake and accomplish each of the tasks outlined on pages 5-8). The application should specify which types of assistance the applicant proposes to provide. A detailed implementation plan with key benchmarks must be submitted (see page 20).

- Describe how the proposed management structure and staffing of the project will facilitate the delivery of the required services as reflected in the implementation plan. The management and organizational structure described should match the staffing needs necessary to accomplish the tasks outlined in the implementation plan. Detailed information contained in the project plan (see page 20) will contribute to the assignment of points relative to this criterion.

3. Capabilities and Competencies (20 percent)

- Clearly articulate why the applicant is uniquely positioned to implement the JRI Model.
- Provide a detailed description of the capacity of the organization to deliver the required services and perform the key tasks required to maintain fidelity to the JRI Model.
- Provide information on the required TA and project oversight that will ensure successful application of the resources available through all relevant steps of the JRI model, including the organization's capacity to execute and manage subawards.
- Clearly articulate the organization's history of involvement with national scope and state-level criminal justice data analysis and policy recommendation projects.
- Clearly articulate the organization's and proposed key personnel's experience in convening and presenting to high-level state government officials.
- Discuss the staffing resources, either permanent full-time staff or proposed consultants, to effectively implement the program, including the applicant's ability to or experience with managing pass-through funding with appropriate accountability.
- Job descriptions, résumés of key project staff, and appropriate letters of support will contribute to the assignment of points related to this criterion (see Additional Attachments on page 20).

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

- Describe a process for assessing the project's effectiveness (see Performance Measures).
- Describe how assistance will be provided to state stakeholders to ensure sustainment of implementation and performance measurement activities after technical assistance concludes.

5. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5 percent)

- Describe the manner in which the data required for this solicitation's performance measures will be collected, including the system(s) used and the person(s) responsible.
- Describe how other performance metrics, including state cost savings and reinvestments, will be documented, monitored, and evaluated.

6. Budget (10 percent)

- Applicants should 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.⁵

- If an applicant plans to leverage other sources of funding or other support for education of state and local government officials and engagement of media, this information should be included in the budget and/or budget narrative, as appropriate.
- The budget must clearly delineate the portions of the award that will be dedicated to accomplishing the two core tasks of 1) technical assistance and 2) site-based subawards.
- The award recipient providing implementation assistance is expected to pass through an amount up to \$500,000 per jurisdiction to assist in meeting implementation needs. Pass-through funding proposals must be approved by BJA before being committed.

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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant
- Applications must request funding within programmatic funding constraints (if applicable)
- Applications must be responsive to the scope of the solicitation
- Applications must include all items designated as “critical elements”
- Applicants will be checked against the General Services Administration’s Excluded Parties List

For a list of critical elements, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. 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, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations,

⁵ 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.

geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, available funding, and—as JRI is a public/private partnership—BJA will consider Pew's input.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-federal entities
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those 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, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP award notification will be sent from GMS. Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements⁶ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, BJA anticipates that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally-stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJA.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on conference approval, planning, and reporting.

General Information about Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative obligations of the recipient or the program.

⁶ See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

G. Federal Awarding Agency Contact(s)

For additional Federal Awarding Agency Contact(s), see the Title page.

For additional contact information for Grants.gov, see the Title page.

H. Other Information

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 ojpeerreview@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 2015 Justice Reinvestment Initiative: State-Level Technical Assistance

This application checklist has been created to assist in developing an application. Please note that the items indicated with an asterisk (*) below have been designated as 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.

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 20)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)

After application submission, receive Grants.gov email notifications that:

- _____ (1) application has been received,
- _____ (2) application has either been successfully validated or rejected with errors (see page 22)

If no Grants.gov receipt, and validation or error notifications are received:

- _____ contact the NCJRS Response Center regarding experiencing technical difficulties (see page 22)

General Requirements:

- _____ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of \$8,000,000.

Eligibility Requirement:

- _____ The applicant is a national-scope private and non-profit organizations (including tribal nonprofit or for-profit organizations), college, or university (public or private) (including tribal institutions of higher education).

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 12)
- _____ Project Abstract (see page 13)
- _____ *Program Narrative (see page 13)
- _____ *Budget Detail Worksheet (see page 16)
- _____ *Budget Narrative (see page 16)
- _____ Employee Compensation Waiver request and justification (if applicable)

- (see page 11)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm (see page 11)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 20)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 17)
- _____ Applicant Disclosure of High Risk Status (see page 17)
- _____ Additional Attachments
 - _____ Applicant Disclosure of Pending Applications (see page 17)
 - _____ Research and Evaluation Independence and Integrity (see page 17)
 - _____ Project Plan (see page 20)
 - _____ Position Descriptions of Key Project Staff (see page 20)
 - _____ *Résumés of Key Project Personnel (see page 20)
 - _____ Letters of Support from Key Partners (see page 20)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 20)