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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for 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 and implement 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 2016 Competitive Grant Announcement**

**Applications Due: April 11, 2016**

### **Eligibility**

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

BJA welcomes applications that involve two or more entities that will carry out the funded federal award activities; 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, a subrecipient may be part of multiple proposals.

BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on, among other considerations, 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 11, 2016.

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 email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](http://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 email the 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 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@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-2016-8992

Release date: February 9, 2016

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

## A. Program Description

### Overview

At yearend 2014, an estimated 4,708,100 adults were under supervision in the community either on probation or parole—the equivalent of about 1 out of every 52 adults in the United States.<sup>1</sup> Many people on supervision do not successfully complete their community supervision. According to the Bureau of Justice Statistics (BJS), the incarceration rates for probationers and parolees have remained relatively stable. 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.<sup>2</sup> These failure rates are a key reason prison populations remain high.

The fiscal year (FY) 2016 Smart Supervision Program (SSP) seeks to improve probation and parole success rates and reduce the number of crimes committed by those under probation and parole supervision, which would in turn reduce admissions to prisons and jails and save taxpayer dollars. Funds can be used either to implement evidence-based supervision strategies or to innovate new strategies to improve outcomes for supervisees.

This program is funded pursuant to the “Department of Justice Appropriations Act, 2016” under the Second Chance Act appropriation (P.L. 114-113). 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.

### Program-Specific Information

BJA's “[Smart Suite](#)” of programs invest in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies and interventions that are effective and economical. This data-driven approach enables jurisdictions to understand the full nature and extent of the crime challenges they are facing and to target resources to the highest priorities. The Smart Suite of programs, which includes the Smart Supervision Program, represents a strategic approach that brings more “science” into criminal justice operations by leveraging innovative applications of analysis, technology, and evidence-based practices with

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<sup>1</sup>Probation and Parole in the United States, 2014, Bureau of Justice Statistics, <http://www.bjs.gov/content/pub/pdf/ppus14.pdf>.

<sup>2</sup> See, e.g., CSG Justice Center, [Tough and Smart: Opportunities for Kansas Policymakers to Reduce Crime and Spending](#) (2007) (In 2007, “65 percent of admissions to prison are people who violated the conditions of their probation or parole.”); CSG Justice Center, [Justice Reinvestment in New Hampshire: Analyses & Policy Options to Reduce Spending on Corrections & Increase Public Safety](#), at 4 (Dec. 2012) (probation and parole revocations accounted for 57% of New Hampshire's prison admissions in 2009); CSG Justice Center, [Justice Reinvestment in North Carolina: Analysis and Policy Framework to Reduce Spending on Corrections and Reinvest in Strategies to Increase Public Safety](#) (Apr. 2011) (“Probation revocations accounted for greater than 50 percent of admissions to prison in FY 2009.”).

the goal of improving performance and effectiveness while containing costs.

The Smart Suite assists criminal justice practitioners in building their capacity to develop research-based strategies and focus on program fidelity to increase chances of success. This requires practitioner agencies to partner with researchers using an “action research” approach to enhance collection and review of data, which in turn can serve as a strong foundation for outcome evaluations of program interventions. In “action research,” researchers work closely with practitioners to most effectively address specific public safety/criminal justice related problems (e.g., high gun violence rate, poor police legitimacy). In addition, research partners work with the agency and/or consortium of partners to assess problems, identify underlying causes of these problems, identify effective strategies to address these problems (e.g., “theory of change”), implement data-driven strategies/programs to address these problems, conduct program assessments (e.g., process and/or outcome evaluations), and provide “real-time” feedback to enhance decision-making. Successful partnerships between practitioners and researchers require investments of planning, time, communication, complementary skills, and adequate resources.

### **Goals, Objectives, and Deliverables**

The goals of the Smart Supervision Program are to develop and test innovative strategies and implement evidence-based probation and parole approaches that improve supervision success rates, thereby increasing community safety and reducing violent and other crime by effectively addressing individuals’ risk and needs and reducing recidivism.

The objectives of the Smart Supervision Program are to:

- 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, including subsets of this population, which may serve as a model for other agencies throughout the nation.
- Develop and implement developmentally appropriate strategies for the identification, supervision, and treatment of young adult 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 and healthcare 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.

This program’s required deliverables are:

- An action plan, comprising a problem analysis, logic model, summary of strategies and intended outcomes, and research base for proposed strategies. The action plan is envisioned as a product of collaboration among the supervision agency, research partner,

and technical assistance provider. For more information about the required action plan, see page 11.

- Final analysis and report by the research partner.

### **Mandatory Project Components**

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

- Demonstrate the supervision agency's commitment to the proposed initiative. If the lead agency is not the supervision agency, demonstrate the lead agency's commitment as well.
- 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, and/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 the following: identification of risk and needs through assessment; assignment of individuals to caseloads based on assessment results; coaching and resources to support coaching; quality assurance and monitoring mechanisms to ensure fidelity to evidence-based practices; 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. For a project in this category of allowable funds, the research partner should propose how they will incorporate and help the agency operationalize lessons from implementation science to ensure fidelity to evidence-based practices.
- **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). The results of these projects must be documented by an objective third-party evaluation or assessment partner. Successful strategies will be promoted nationally.
- **Test new policies and strategies in community supervision and treatment to respond appropriately to the unique challenges posed by young adult supervisees (e.g., 25 years and younger).** Applicants can use grant funds to test innovative strategies to help

agencies better plan to meet the needs of young adult supervisees, particularly those with a history of violent conduct. New strategies may include specialized caseloads for this age cohort, training for probation and parole officers in adolescent brain development, developing appropriate responses to violations of conditions and incentives, and developing programming and treatment that is developmentally appropriate for this cohort. The results of these projects must be documented by an objective third-party evaluation or assessment partner. Successful strategies will be promoted nationally.

- **Develop and/or deploy information technology** to enhance individual accountability, bolster interagency cooperation, or develop and test tools for the field that effectively facilitate reentry by integrating risk assessment of probationers or parolees with information about substance abuse, mental health, employment, and education needs. Information sharing solutions should propose to implement [National Information Exchange Model \(NIEM\) standards](#) to ensure efficiency and reuse of solution development.
- **Analyze and implement changes to policies and practices that guide community supervision conditions and revocation procedures.** Applicants can use funds to **work with judicial, law enforcement, and prosecutorial counterparts** to identify and revise existing policies and practices or draft new guidance to help 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 and needs 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 the applicant.
- **Plan and strategize for how expanded options for access to healthcare can enhance health and safety 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 to healthcare and utilization of services, as well as enhance the continuity of care from correctional healthcare to community-based healthcare. For example, applicants may propose to meet these goals by providing guidance on the individual mandate for the criminal justice population, including how and when to file for an exemption to the penalty; identifying options and exclusions under Medicaid relating to court-mandated treatment; identifying Marketplace and Medicaid considerations for maximizing healthcare coverage for the criminal justice population in those states opting not to expand Medicaid; and, if applicable, examining strategies and policies relating to suspending and/or terminating Medicaid benefits upon incarceration. In projects for this allowable use, research partners may consider examining whether and to what extent better continuity of care, especially in terms of better access to substance abuse and mental health treatment, made possible by Medicaid helps achieve a decrease in recidivism.
- **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. For example, an applicant may propose use of social network analysis to inform violence-prevention efforts. The most promising strategies identified through these efforts can then be tested and promoted on a national basis.

- **Convene an interagency working group to analyze the jurisdiction’s probation population drivers and make recommendations.** Under this allowable use, applicants must use grant funds to support analysis of data from relevant agencies, e.g., court data and probation case management data. It is recommended under this allowable use that applicants also budget for a full-time coordinator, a staff-person who will support the working group both substantively and administratively. Based on similar work through the Justice Reinvestment Initiative, potential policy recommendations might include a protocol for early termination of probation, an agreement among key stakeholders reducing the length of standard probation terms, or recommendations to amend the state’s criminal code. The lead applicant under this allowable use should have convening authority and capacity to lead an interagency problem-solving collaborative group.
- **Evaluate the results of the new strategies and tools tested through this initiative.** Research activities should be tailored to support, and be integrated with, the project design. At a minimum, evaluations will document and assess implementation of the project, identify any issues or concerns regarding their implementation, and make recommendations for adjustments to the project design to achieve intended results. Evaluations of new strategies and tools will focus on how well the interventions developed and policy changes implemented have helped achieve the objectives of this program.

### **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](https://www.ojp.gov/programs/crime-solutions) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

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\*](#)



- ["Putting Public Safety First: 13 Strategies for Successful Supervision and Reentry"](#)
- ["Maximum Impact: Targeting Supervision on Higher-Risk People, Places, and Times"](#)

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 \(RPPS\)](#)."

For information related to implementation science, applicants may wish to refer to the [National Implementation Research Network](#) website.

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

- ["Working with BJA to Improve Health Coverage and Care in the Justice System,"](#) including a [state-by-state interactive profile map](#), newsletters, and FAQs, including specific questions for individuals under correctional supervision
- ["Ten Ways Probation & Parole Officers Can Help Link People to New Health Insurance Opportunities"](#)
- ["The Affordable Care Act and Criminal Justice: Intersections and Implications"](#)
- ["Mapping the Criminal Justice System to Connect Justice-Involved Individuals with Treatment and Health Care Under the Affordable Care Act"](#)
- ["Resources on the Impact of the Affordable Care Act on the Criminal Justice System"](#) (general clearinghouse on criminal justice and the Affordable Care Act)
- ["SAMHSA Releases New Tools to Help Connect Individuals Involved with the Criminal Justice System to Health Coverage"](#)

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

## **B. Federal Award Information**

### **Amount and Length of Awards**

BJA estimates that it will make up to 7 awards of up to \$750,000 for an estimated total of approximately \$5,000,000 for a 36-month intervention period, followed by an *optional* 24-month evaluation follow-up period, for a total 60-month project period, beginning on October 1, 2016. The funding during the initial 36-month intervention period should support both supervision agency and research partner activities. The budget for the *optional* follow-up period, if proposed, should support evaluation activities only. The total budget must not exceed \$750,000,

regardless of whether it includes the optional follow-up period.

BJA may, in certain cases, provide supplemental funding in future years to awards under this solicitation. 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 Award<sup>3</sup>**

BJA expects that it will make any award from this solicitation in the form of a grant.

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>4</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) 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).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the recipient's (and any subrecipient's) compliance with statutes, 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 recipient (and any subrecipient) considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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

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<sup>3</sup> 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]).

<sup>4</sup> For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

## **Budget Information**

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

In addition to the unallowable costs identified in the [2015 DOJ Grants 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 [2015 DOJ Grants Financial Guide](#).

### **Cost Sharing or Matching 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 – Withholding of Funds for BJA Action Plan**

Once awarded, each grant award will have in place a special condition withholding all but \$200,000, which will allow grantees to establish an action plan within 180 days of receiving final approval of the project's budget from the Office of the Chief Financial Officer (OCFO). The recipient will not be authorized to obligate, expend, or draw down funds in excess of \$200,000 until BJA has reviewed and approved the action plan and a Grant Adjustment Notice has been issued and approved to remove the special condition. The action plan must include:

- A comprehensive project work plan based on a [Planning and Implementation \(P&I\) Guide](#) provided by BJA's technical assistance provider—the National Reentry Resource Center (NRRC)—which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. A completed P&I Guide will include:
  - Description of the problem and the data that led to its identification.
  - Logic model that identifies the solution(s) to be tested, intended outcomes, and evaluation metrics, including the research base for proposed strategies.
  - Evaluation plan, to include ongoing analysis, monitoring, and assessment of the overall project impact.
- 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.
- 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.
- Demonstrate executive support and commitment of agency resources to the project.

### **Pre-Agreement Cost (also known as Pre-award Cost) Approvals**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

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 2015 DOJ Grants [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.<sup>5</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). 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 <http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.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 conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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<sup>5</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

### **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](#).

## **C. Eligibility Information**

For additional eligibility information, see title page.

There is no cost sharing or match requirement for this program. 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 and Budget Narrative, and Letter documenting supervision agency executive commitment. 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. Failure to submit the required information will result in an application being returned in the Grants Management System (GMS) for inclusion of the missing information OR an attachment of a withholding of funds special condition at the time of award.

*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., "Abstract," "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Disclosure of Pending Applications," "Memoranda of Understanding," "Résumés") for all attachments. Also, OJP recommends that*

*applicants include resumes in a single file.*

**For samples of successful FY 2014 applications, go to [www.bja.gov/funding/ApplicationExamples14.html](http://www.bja.gov/funding/ApplicationExamples14.html).**

### **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 the OJP 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). The SF-424 should include the application amount for the entire project period (36 or 60 months).

#### **Selecting the Appropriate Point of Contact (POC) and the Authorized Representative**

Applicants should be cognizant that these two contacts should not be the same. 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 the submission of reports. Make sure that the name, contact information, title, and salutation are correct.

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

### **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.
- **Clearly labeled, including the following 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;
  - baseline recidivism rate; and
  - name of the validated risk assessment tool used.

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

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).



**Permission to Share Project Abstract with the Public:** It is unlikely that BJA will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding unfunded applications; for example, through a listing on a web page 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 unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

**BJA recommends that the abstract be submitted as a Microsoft Word document.**

### 3. Program Narrative

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 program narrative must respond to the solicitation and include sections a–e below, in order, as part of the program narrative. See "Selection Criteria" on page 25 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.

To demonstrate program progress and success, as well as 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 submit quarterly performance metrics through BJA's online Performance Measurement Tool (PMT), located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). Applicants should review the complete list of this program's performance measures at: <https://www.bjaperformancetools.org/help/SSPMeasures.pdf>.

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.

**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://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page ([ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm](http://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 <http://ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf>. The Budget Detail Worksheet should be broken down by year. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet:

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

The Budget Detail Worksheet should be broken down by year. Applicants must show all computations. The Budget Detail Worksheet should provide itemized breakdowns of all costs. If the computations do not show a sufficient amount of detail or are incorrect, the budgets will be returned for corrections.



The budget summary page must reflect the amounts in the budget categories as included in the Budget Detail Worksheet. These amounts should mirror the amounts in the Budget Narrative.

Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend three meetings in Washington, D.C. All expenses must be reasonable, allowable, and necessary to the project. The estimates must provide a breakdown of all costs and adhere to the federal per diem.

For questions pertaining to budget and examples of allowable and unallowable costs, see the 2015 DOJ Grants Financial Guide at <http://ojp.gov/financialguide/DOJ/index.htm>.

See "Selection Criteria" on page 25 for more detail on what a budget for the Smart Supervision 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 [2015 DOJ Grants Financial Guide](#).

**d. Pre-Agreement Cost Approvals**

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

**5. Assurance to Collect and Submit Recidivism Indicator Data**

Applications must include an Assurance signed by the applicant organization's chief executive (see the Appendix for the Assurance form) that all participant recidivism indicator data will be collected and submitted at the end of the grant period. Applications which do not

include this Assurance will not be considered. Inability or refusal to submit data after award may impact the organization's ability to receive future BJA competitive grant funding.

#### **6. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant is eligible to use and elects to use the "de minimis" indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

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 [2015 DOJ Grants Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <http://ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order use the "de minimis" indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the "de minimis" rate) and its election. If the applicant elects the "de minimis" method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>6</sup>

#### **7. 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.

Applicants unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, BJA will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

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<sup>6</sup> See 2 C.F.R. § 200.414(f).

## 8. 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](mailto: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. Disclosing 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.

## 9. Additional Attachments

OJP strongly recommends that applicants use **appropriately descriptive filenames** (e.g., “Abstract,” “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Disclosure of Pending Applications,” and “Résumés”) **for all attachments**. Also, OJP recommends that applicants include resumes in a single file. For better identification of application attachments during review, place the application number at the top of each application document.

- a. Letter from Community Supervision Agency Executive** demonstrating agency commitment to the project and to the research partnership. (Note also that the Executive must also sign the Assurance in the Appendix that aggregate recidivism indicator data will be submitted as required.)
- b. Letter from Lead Agency** (applicable only if the supervision agency is not the lead agency), demonstrating commitment to the project and to the research partnership.
- c. Letter from Research Partner** demonstrating commitment to the project.
- d. Project Timeline** with each project goal, related objective, activity, expected completion date, and responsible person or organization.
- e. Position Descriptions** for key positions and **Resumes** for personnel in those positions, including Research Partner position(s).
- f. Letters of Support** from all other key partners detailing the commitment to work with the applicant to promote the mission of the project.
- g. 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 Budget Detail 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/Email 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 to their application. The file should be named “Disclosure of Pending Applications.”

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 Budget Detail Worksheet in the application under this solicitation.”).

**h. 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 subrecipients)

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 subrecipients 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 subrecipients) 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 subrecipients 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 subrecipients 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 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.

#### **10. Financial Management and System of Internal Controls Questionnaire**

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 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](#).

#### **11. 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 primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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 Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please ensure all required documents are attached in the mandatory category.

**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 ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;#amp;” format.</b>		

Grants.gov is designed to forward successfully submitted applications to the OJP 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 organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov 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.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRRegister> to create a username and password. Individual applicants should complete all steps except 1, 2, and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget (OMB) requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1–2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM 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. SAM registration and renewal can take as long as 10 business days to complete.



Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **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](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <https://apply07.grants.gov/apply/IndCPRegister>.
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. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. 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 Reentry Initiative," and the funding opportunity number is BJA-2016-8992.
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.

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 11, 2016.

7. 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](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicant must email 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 email 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. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- 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 <http://ojp.gov/funding/index.htm>.**

## E. Application Review Information

### Selection Criteria

#### 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, the staff/supervisee ratio, and any differences in ratios based on specialized caseloads based on risk or other factors.
- Describe the use of evidence-based strategies including the type of risk/needs assessment instrument utilized and existing efforts to measure and improve fidelity.
- Define and describe the current recidivism rate (and/or revocation rate, translating that into a baseline recidivism rate) that may be used to assess the effectiveness of the project. Clearly articulate how the recidivism rate is calculated. If a revocation rate is used, distinguish between revocations for new crimes and revocations for other

violations of supervision conditions.

- Describe the fees the supervision agency will charge the target population for supervision, drug testing, electronic monitoring, or any other relevant fee. Describe any differences between the fees charged to the target population and other supervised populations not part of the project and the reasons for the differences. Discuss any known impact of these fees on successful completion of supervision terms.
- 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 6.
- Describe specifically which areas the proposed project will address (refer to the "Allowable Uses for Award Funds" section on pages 6–7).
- 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 assist in drafting the action plan (see page 11); provide ongoing analysis, monitoring, and assessment of the solution's impact; and prepare a final report that thoroughly assesses the results of the project.
- Indicate the number of people under community supervision who would receive services if this proposal is funded. This number will serve as the target for measuring performance of the project through the [Smart Supervision Program performance measures](#).

## **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 effectively, including gathering and analyzing data, engaging and collaborating with partners, developing and implementing a plan and troubleshooting implementation problems, and working with research partners to evaluate a 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 and analytic methods. It is preferable that they have several years of evaluation research experience. Specifically, the application should include the proposed research partner's experience completing the following activities as a member of a task force or implementation team:

- Developing a “theory of change”
- Developing logic models
- Collecting and analyzing criminal justice and public safety data
- Using data to identify criminal justice and public safety related problems
- Ability to work through barriers to research-driven problem solving
- Identifying and proposing proven strategies/interventions to address problems
- Documenting program operations and processes
- Measuring program outcomes
- Using data to determine program effectiveness
- Assessing implementation fidelity
- Regularly presenting findings and conclusions both orally and in written form to a task force/implementation team
- Making recommendations for program improvement
- Developing "real-time" products and resources for strategic decision-making
- Working with the team to develop a sustainability plan
- Communicating with a wide variety of public sector, private, and community individuals – for example, prosecutors, law enforcement leadership and line officers, community members, clergy representatives, funding agency representatives, legislators, city council members, and even offenders are some of the individuals research partners may be called upon to present their evaluation findings, conclusions, and recommendations

#### **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 16), including who will be responsible and how data will be collected.
- List any additional performance metrics that will be used to assess the project’s effectiveness and the process for collecting the information, including who will be responsible and how data will be collected.

#### **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. BJA expects that, with assistance from the research partner, grantees should be able to report timely, complete, and accurate data in the required grant reports.
- 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.<sup>7</sup>
- Include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment. There is no minimum or maximum requirement regarding what constitutes an appropriate percent; however, the budget designated should be adequate to fund the activities outlined in the application. The Budget Narrative should explain how the amount dedicated to these activities is adequate to support the proposed activities.
- 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 three 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.

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 System for Award Management (SAM).

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

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<sup>7</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

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, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding.

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 [2015 DOJ Grants 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 award recipients
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 sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official. The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date. 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](#).

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 requirements<sup>8</sup> 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 the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

### **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 the Part 200 Uniform Requirements. 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.

## **G. Federal Awarding Agency Contact(s)**

For Federal Awarding Agency Contact(s), see title page.

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<sup>8</sup> 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]).

For contact information for Grants.gov, see 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](mailto:OJPSolicitationFeedback@usdoj.gov).

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

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your résumé. **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 2016 Smart Supervision: Reducing Prison Populations,  
Saving Money, and Creating Safer Communities**

This application checklist has been created to assist in developing an application. Items marked with an asterisk (\*) below 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.

**What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 23)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 23)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 24)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 24)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 24)
- \_\_\_\_\_ Download Funding Opportunity and Application Package
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 22)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#)

*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 24)

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

- \_\_\_\_\_ contact BJA 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 \$750,000.

**Eligibility Requirement:**

- \_\_\_\_\_ Lead applicant is a state, unit of local government, or a federally recognized Indian tribal government (as determined by the Secretary of the Interior)

**What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 14)
- \_\_\_\_\_ Intergovernmental Review (see page 14)
- \_\_\_\_\_ Project Abstract (see page 14)
- \_\_\_\_\_ \*Program Narrative (see page 15)
- \_\_\_\_\_ \*Budget Detail Worksheet and Budget Narrative (see page 17)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 17)



- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 18)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 19)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Letter from Community Supervision Agency Executive (see page 19)
  - \_\_\_\_\_ Letter from Lead Agency (if applicable) (see page 19)
  - \_\_\_\_\_ Letter from Research Partner (see page 19)
  - \_\_\_\_\_ Project Timeline (see page 19)
  - \_\_\_\_\_ Position Descriptions (see page 19)
  - \_\_\_\_\_ Other Letters of Support (see page 19)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 19)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 20)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (if applicable, see page 22)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 22)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable, see page 17)
- \_\_\_\_\_ \*Assurance to Collect and Submit Recidivism Indicator Data (see page 18)

## Appendix

### Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

I hereby assure that, if awarded grant funds under the Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities Program, my organization will collect unique identifiers and recidivism indicator performance data for each program participant, and will aggregate all such data and submit it via the Bureau of Justice Assistance Performance Measurement Tool as required upon grant closeout. I understand that the inability or refusal to submit such data after an award is made may impact my organization's ability to receive future Bureau of Justice Assistance competitive grant funding.

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Signature

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Title

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Date