

**U.S. Department of Justice**  
Office of Justice Programs  
*Bureau of Justice Assistance*



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications to support implementation of the National Prison Rape Elimination Act (PREA) standards and zero tolerance cultures related to sexual abuse and sexual harassment in small- and medium-sized confinement facilities (i.e., with 500 beds or less) operating at the local level across the United States. This program furthers the Department's mission by supporting data-driven, innovative practices that promote sexual safety and compliance with the PREA standards in confinement facilities.

## **PREA Program: Strategic Support for PREA Implementation in Local Confinement Facilities Nationwide FY 2017 Competitive Grant Announcement Applications Due: May 25, 2017**

### **Eligibility**

Eligible applicants are limited to any national nonprofit organization, for-profit (commercial) organization (including tribal nonprofit or for-profit organizations), or institution of higher education (including tribal institutions of higher education) that have expertise and experience managing and delivering training and technical assistance on complex corrections or criminal justice issues at the national and local levels. For-profit organizations (as well as other recipients) (including tribal institutions of higher education) must forgo any profit or management fee.

BJA welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").<sup>1</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program.

BJA may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

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<sup>1</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

## Deadline

Applicants must register with [Grants.gov](http://Grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on May 25, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP encourages all applicants 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 operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the BJA contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any unforeseen Grants.gov technical issues beyond an applicant's control that prevent it from submitting its application by the deadline, or 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 solicitation: BJA-2017-11324

Release date: March 15, 2017

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# PREA Program: Strategic Support for PREA Implementation In Local Confinement Facilities Nationwide

## CFDA # 16.735

### A. Program Description

#### Overview

The purpose of this solicitation is to support local agencies that oversee small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities to initiate or expand efforts to implement the PREA standards and zero tolerance cultures related to sexual abuse and sexual harassment in these confinement facilities.

**Statutory Authority:** This program is authorized under the Prison Rape Elimination Act, 42 USC 15605; additional authorization for awards under this solicitation may come from statutory authority provided by a full-year appropriations act for FY 2017. As of the writing of this solicitation, the Department of Justice is operating under a short-term "Continuing Resolution;" no full-year appropriation for the Department has been enacted for FY 2017.

#### Program-Specific Information

In FY 2013, the Bureau of Justice Statistics (BJS) released the 2011–2012 findings from the most recent surveys of jail and prison inmates about the incidence of sexual victimization.<sup>2</sup> Based on this information, 4.0 percent of state and federal prison inmates and 3.2 percent of jail inmates within the United States reported experiencing one or more incidents of sexual victimization by another inmate or facility staff in the past 12 months or since admission to the facility.<sup>3</sup> In juvenile facilities, the numbers are even more troubling. An estimated 9.5 percent of adjudicated youth in state juvenile facilities and state contract facilities (representing 1,720 youth nationwide) reported experiencing one or more incidents of sexual victimization by another youth or staff in the past 12 months or since admission—if less than 12 months.<sup>4</sup>

On June 20, 2012, DOJ published the [Notice of Final Rule](#) creating national standards as required by the Prison Rape Elimination Act (PREA). The standards apply to adult prisons and jails, juvenile confinement facilities, lockups, and community confinement facilities. The standards, which took effect on August 20, 2012, seek to prevent sexual abuse and to reduce the harm that it causes. The standards are grouped into 11 categories: prevention planning; responsive planning; training and education; screening for risk of sexual victimization and abusiveness; reporting; official response following an inmate report; investigations; discipline; medical and mental care; data collection and review; and audits.

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<sup>2</sup> See BJS, May 2013, [Sexual Victimization in Prisons and Jails Reported by Inmates, 2011–12](#).

<sup>3</sup> See *Ibid.*, page 6.

<sup>4</sup> See BJS, January 2010, [Sexual Victimization in Juvenile Facilities Reported by Youth, 2008–09](#), pages 1, 4. This total includes the cross-sectional number covered in BJS surveys plus the number of estimated victims released in the 12 months prior to the survey. It includes adjudicated/committed youth only. For methodology, see Initial Regulatory Impact Analysis (IRIA), page 9, available at [www.ojp.gov/programs/pdfs/prea\\_nprm\\_iria.pdf](http://www.ojp.gov/programs/pdfs/prea_nprm_iria.pdf).

Compliance with the PREA standards requires compliance with the audit standards (i.e., Standards 115.93, 115.193, 115.293, 115.393, and 115.401-405). Under the audit standards, one-third of each facility type operated by an agency, or by a private organization on behalf of the agency, must be audited within each year of a 3-year audit cycle. The first audit cycle began on August 20, 2013.

The PREA Management Office within BJA and the PREA Team that is a part of BJA's Programs Office are working with their partners at the National PREA Resource Center (PRC) to collect information from Department-certified PREA auditors regarding auditing activity nationwide and the efforts of agencies to comply with the audit standards. To date, more than 2,000 audits have been reported to BJA and PRC. The vast majority of these audits have been conducted in prisons and juvenile facilities that are under the operational control of states' and territories' executive branches of government and in large jails (i.e., with more than 500 beds). Very few audits have been reported for small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities that are locally run.

In May 2012, the Department published a *Regulatory Impact Assessment (RIA)* that "assesses, and monetizes to the extent feasible, the benefits of combating rape and sexual abuse in America's prisons, jails, lockups, community confinement facilities, and juvenile facilities, and the costs of full nationwide compliance"<sup>5</sup> with the PREA standards. In the *RIA*, the Department states that there are more than 13,000 total confinement facilities nationwide to which the PREA standards apply, including:

- More than 2,800 jails
- More than 6,000 lockups
- More than 500 community confinement facilities
- More than 2,400 juvenile confinement facilities

Of the more than 2,000 audits that have been reported to BJA and PRC:

- Less than 250 are audits of jails.
- Less than 15 are audits of lockups.
- Less than 370 are audits of community confinement facilities.
- Less than 550 are audits of juvenile confinement facilities.

In correspondence and hundreds of requests for training and technical assistance (TTA) that BJA and PRC have received from the field, there is strong evidence that many local agencies that oversee small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities are not aware of—or do not fully understand—their responsibilities related to the PREA standards. Many such agencies are in the initial phases of their PREA-related work and are in need of strategic guidance and support to implement the PREA standards successfully.

An additional barrier to the adoption of the PREA standards in these smaller, locally run agencies is that the facilities they oversee are typically not covered by the Certification and

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<sup>5</sup> See United States Department of Justice, May 17, 2012, *Regulatory Impact Assessment for PREA Final Rule*, available at [http://www.ojp.usdoj.gov/programs/pdfs/prea\\_ria.pdf](http://www.ojp.usdoj.gov/programs/pdfs/prea_ria.pdf).

Assurance process that is the reasonability of the nation's Governors. This removes a key oversight mechanism related to compliance with the PREA standards in these local agencies, and, therefore, creates a need to proactively support standards implementation in them and the confinement facilities they oversee.

In light of the audit activity reported to BJA and PRC to date, the high numbers of small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities that are locally run and have not undergone PREA audits, and the fact that Governors' Certifications and Assurances do not apply to many of these facilities, the primary purpose of this program is to provide needed resources and strategic support to such facilities. This will enable these facilities to initiate or expand their efforts to implement the PREA standards and create zero tolerance cultures related to sexual abuse and sexual harassment.

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

As described above, the primary purpose of this program is to provide resources to local agencies that oversee small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities so that they can initiate or expand their efforts to implement the PREA standards and create zero tolerance cultures related to sexual abuse and sexual harassment in confinement.

In collaboration with BJA, the selected provider—or team of providers—will work with competitively selected, local agencies that oversee small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities to:

- Review and assess these agencies' efforts to date to implement the PREA standards and zero tolerance cultures related to sexual abuse and sexual harassment
- Develop plans to guide efforts in these agencies to implement the standards and zero tolerance cultures
- Oversee implementation activities that are funded by resources available under this grant program

As emphasized above, BJA strongly encourages and welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").<sup>6</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program. This responsibility also includes oversight of all subrecipients and implementation of monitoring strategies which ensure that all subrecipients are in compliance with federal financial management requirements.

In addition, while the purpose of this program is to support implementation of the PREA standards and zero tolerance cultures in small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities that are locally run, applicants may prioritize specific types of local facilities (e.g., jails and lockups, or community confinement facilities and juvenile confinement facilities, or jails, etc.) to be the primary focus of this program. If applicants chose to prioritize specific types of local facilities to

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<sup>6</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

be the primary focus of this program, they are strongly encouraged to articulate the reasons for and benefits of such prioritization, and clearly justify their proposed approach.

BJA expects the selected provider or team of providers to carry out specific activities in two primary project phases: Planning and Implementation. BJA anticipates that each phase will be 18 months in length. However, BJA recognizes that some project sites may be well positioned and equipped to move through the Planning Phase and/or the Implementation Phase more quickly than 18 months. As such, applicants should describe how the differing paces of work across the diverse project sites that are selected will be accommodated and managed throughout the 36-month project period.

BJA also requires the selected provider or team of providers to closely coordinate the activities that are supported under this program with the ongoing efforts of PRC. This will ensure that the scope of work for this program and the efforts of PRC are distinctly clear. It will also prevent duplication of efforts and guarantee efficient and effective use of federal resources designated to support PREA implementation activities nationwide. For more information about the work of PRC, please visit: [www.prearesourcecenter.org](http://www.prearesourcecenter.org). Applicants should explain in detail the scope of work to be supported under this program and describe how the required strategic coordination with PRC will occur.

### **Planning Phase: Month 1 – Month 18**

During the Planning Phase, BJA expects that the selected provider or team of providers to:

- Administer, with significant guidance and input from BJA, a competitive, national site selection process that targets local agencies that oversee small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities that are in need of support and assistance in initiating or expanding efforts to implement the PREA standards and zero tolerance cultures related to sexual abuse and sexual harassment in confinement. This will entail review and approval by BJA of a request for proposals (RFP) that is developed by the provider or team of providers to select local agencies. BJA will also be directly involved in the review of applications and selection of the local agencies to receive planning and implementation assistance related to PREA. BJA must approve the selection of all agencies.

Applicants for funding under this program must articulate the number of agencies to be supported under this program and explain how program resources will be used efficiently and effectively to achieve the program goals and objectives, and maximize the number of agencies served. Applicants for funding under this program are encouraged to consider how state, regional, and national networks and associations that represent confinement facilities that are the targets of this program can be included in this program, in order to increase the number of agencies that are served, and enhance their capacity to implement the PREA standards, and zero tolerance cultures in confinement.

Applicants should explain and describe key steps and milestones in the competitive process and articulate how they will ensure interest in this initiative from local agencies that oversee small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities across the nation. For example, applicants are encouraged to propose a marketing plan designed to reach the local agencies and facilities that are targeted by this program. Applicants should also consider if there are priority considerations that could be used to help guide the

competitive selection of local sites. Examples of such priority considerations are applications that:

- Focus on facilities that demonstrate high (i.e., above the national average) incidence of sexual abuse, based on data reported annually to BJS, or other available data that suggest problems with sexual abuse and/or sexual harassment within the facility. According to 2011–2012 BJS data, in the United States, an estimated 4.0 percent of the prison population and 3.2 percent of the jail population suffered sexual abuse during that year.
  - Include compelling evidence of strong support from key local agency leaders to participate in this initiative and support efforts to come into compliance with the PREA standards
- Assign to each selected local agency a skilled and knowledgeable site coordinator who will be responsible for directing and overseeing the PREA-related planning and implementation work to be conducted. These site coordinators must possess significant experience delivering TTA at the local level and knowledge related to PREA and/or conditions of confinement. Applicants should describe how site coordinators will be strategically matched to sites based on identified needs, the types of facilities that will be the focus of the work, and other relevant considerations.
  - Conduct a series of strategic visits to each site to evaluate progress made regarding PREA implementation, identify strengths and challenges related to each agency's work to promote sexual safety in confinement facilities, and define targets for change to be addressed during this program's Implementation Phase. These targets must be consistent with the requirements of the PREA standards and, if addressed successfully, should result in meaningful, long-term changes in agencies'/facilities' cultures related to sexual abuse and sexual harassment.

Applicants should define the number and scale of site visits that will be conducted and describe how the outcomes from these visits will be used to inform the ongoing assistance that is provided to the sites. In addition, applicants are encouraged to outline a strategic process for working with the sites that will result in a comprehensive PREA Implementation Plan in each no later than the 18<sup>th</sup> month of the 32-month project period. These plans will guide the work in each local site during the Implementation Phase of this program.

- Convene a strategic workshop that includes small teams of representatives from each participating site. The expected purposes of this workshop are to provide substantive information to the sites related to the PREA standards and to promote meaningful cross-jurisdictional sharing of information and lessons learned about the PREA work in the sites. Applicants are encouraged to articulate a comprehensive plan for the site workshop, including the composition of the local teams that will participate, and to describe how the event will support the ongoing PREA work of the sites.
- Develop a summary document that includes the site-specific findings that emerge from the Planning Phase of this program and the PREA implementation steps that the sites plan to take. This document will memorialize the work of the participating local agencies during the Planning Phase and inform the development of a comprehensive *PREA Planning and Implementation Guide* that is a key project deliverable and described



below. Please note that the selected provider or team of providers will be required to submit to BJA for review and approval any publications or other written materials, including web-based information and web site content, which are funded under this program.

During the Planning Phase, awards will not be made by the selected provider or team of providers to the project sites. The assistance provided to the sites during the Planning Phase will consist exclusively of intensive technical assistance provided by the provider or team of providers and guidance delivered during the strategic workshop, under the direction of BJA. Applicants are expected to propose and describe a comprehensive technical assistance process that is consistent with the requirements outlined in this solicitation and that results in a comprehensive strategic plan in each project site to guide implementation efforts related to PREA.

### **Implementation Phase: Month 19 – Month 36**

Following the 18-month Planning Phase, the selected provider or team of providers, in close collaboration with BJA, will oversee an 18-month Implementation Phase in each of the local sites. In order for the selected provider or team of providers to transition from the Planning Phase to the Implementation Phase, BJA must review and approve the summary document that is described above, which includes the site-specific findings that emerge from the Planning Phase of this program.

The following are BJA's expectations of the selected provider or team of providers during this phase:

- Assist the competitively selected project sites to finalize budgets to fund their strategic Implementation Plans, which will be developed during the 18-month Planning Phase described above, and make individual awards to support the work associated with carrying out these plans. Note that each project site budget will need to include a 50 percent match (unless waived by DOJ for fiscal hardship), in conformance with 42 U.S.C. §15605(c)(3). Applicants for funding under this program should describe the:
  - Process to be used to make and manage these awards over time, including how the sites' expenditures will be tracked and overseen
  - Project-related activities they anticipate will be included in these plans

The work and activities supported by the program funding provided to the project sites must be consistent with the requirements of the PREA standards. Examples include, but are not limited to, the following:

- Initiatives related to leadership and organizational culture change (Note: It is BJA's expectation that the support provided to all the local agencies involved in this program will prioritize efforts to implement and enhance zero tolerance cultures related to sexual abuse and sexual harassment in confinement facilities.)
- PREA policy and practice revision and implementation
- Preventative equipment and technology enhancements (Note: The funding provided to the sites may be used to purchase "limited" equipment and supplies [e.g., rape kits, privacy screens, etc.]. "Limited" is defined as less than 40 percent of the total award made to a site. In cases where program funding is used on equipment and supplies, these expenditures must be part of a larger,

comprehensive Implementation Plan that focuses on implementing or enhancing a zero tolerance culture in confinement facilities, and achieving compliance with the PREA standards.)

- Inmate/detainee/resident education related to PREA
  - Sexual abuse and sexual harassment victim support services such as the integration of victim-centric and trauma-informed strategies to equip staff, investigators, external providers, and medical and mental health practitioners to identify trauma and its symptoms, minimize re-traumatization, and provide services that are sensitive to the individualized needs of victims who are inmates/residents/detainees
  - Data collection, performance measurement, and evaluation related to efforts to prevent, detect, and respond to sexual abuse and sexual harassment in confinement facilities
  - Planning, analysis, and training focused on enhancing staff support and training related to the PREA standards
  - Preparing for and conducting PREA audits
- Note: Project site grant funds may not be used to contract with the recipient of the award under this solicitation, or any program partners under the award.
  - Oversee and manage the work of the project sites to expend program resources and carry out their Implementation Plans effectively. Applicants should outline the types of support (e.g., site visits, delivery of targeted TTA, etc.) that will be provided to the sites during the Implementation Phase to ensure that they are successful in carrying out their Implementation Plans and to guarantee that they sustain their PREA work long after this 36-month program concludes. Oversight by the award recipient of the participating local agencies under this program will be substantial, in conformance with the subrecipient monitoring requirements under 2 C.F.R. Part 200. In addition, the award recipient will be responsible for tracking possible program income that may result from the project site match requirement.
  - Develop and disseminate a practical, user-friendly *PREA Planning and Implementation Guide* that summarizes the lessons learned—and PREA work supported—during this program and provides guidance to agencies nationwide regarding critical steps to take to begin or enhance efforts to implement the PREA standards and zero tolerance cultures related to sexual abuse and sexual harassment. This guide must be completed by the selected provider or team of providers and integrate learnings from across the project sites. Applicants are encouraged to describe how they will develop a guide that will have a substantial impact on the PREA work that is being conducted at the local level in small- and medium-sized jails (i.e., with 500 beds or less), lockups, community confinement facilities, and juvenile confinement facilities nationwide.
  - Identify local “resource” or “learning” sites from among those receiving assistance under this program, and share the promising PREA-related work of these sites nationwide, so that others can learn from them and replicate their efforts. Applicants should explain how, in close collaboration with BJA, these sites will be identified, and articulate how their PREA-related work will be highlighted and shared nationally, so that other agencies and jurisdictions benefit from their promising efforts. In addition, applicants are encouraged to explain how the voices and perspectives of individual policymakers and practitioners in the local project sites who are leading or carrying out particularly

innovative and effective PREA work that is supported by this program will be shared for the benefit of other jurisdictions and agencies.

The Goals, Objectives and Deliverables are directly related to the performance measures set out in the table in [Section D. Application and Submission Information](#), under "Program Narrative."

### **TTA Provider Requirements**

BJA TTA providers are required to coordinate all TTA activities with BJA's [National Training and Technical Assistance Center \(NTTAC\)](#). The successful applicant will be required to comply with NTTAC protocols in order to ensure coordinated delivery of services among TTA providers and effective use of BJA TTA grant funding. BJA reserves the right to reasonably modify these protocols at any time at its discretion.

TTA providers may be required to participate in BJA's GrantStat. Through GrantStat, BJA management and staff examine the performance of the grant programs funded by BJA by tracking grantee or program performance along several key indicators. GrantStat calls for the collection and analysis of performance data and other relevant grant-level information that enables BJA as well as our TTA partners to be held accountable for the grantee's and program's performance as measured against the program's goals and objectives. In addition, the TTA provider will be required to assist grantees in the collection of performance measure data, working in collaboration with the local research partners.

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

## **B. Federal Award Information**

BJA expects to make one award of up to \$5,000,000. BJA expects to make the award for a 36-month project period of performance, to begin on October 1, 2017.

\$2,000,000 will be used by the selected provider or team of providers to deliver targeted technical assistance and training to the competitively selected project sites throughout the Planning and Implementation Phases that are described above.

\$3,000,000 will be withheld during the Planning Phase that is described above. The \$3,000,000 will be awarded to the selected provider or team of providers following the Planning Phase and BJA's review and approval of the summary document that is described above that includes site-specific findings that emerge during the Planning Phase and the PREA implementation steps that the sites plan to take. The \$3,000,000 will be used by the provider or team of providers to fund PREA-related activities in the project sites during the Implementation Phase that is described above.

BJA may, in certain cases, provide additional funding in future years to the award made under this solicitation, through a supplemental award. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and 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**

BJA expects that any award under this solicitation will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>7</sup>) must, as described in the Part 200 Uniform Requirements<sup>8</sup> as 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).

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<sup>7</sup> For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient ("subgrantee") to carry out part of the funded award or program.

<sup>8</sup> The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

- (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 (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

## **Budget Information**

### **Cost Sharing or Match Requirement**

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

### **Pre-Agreement Costs (also known as Pre-award Costs)**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal 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. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [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, a recipient 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 for that year.<sup>9</sup> The 2017 salary table for

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<sup>9</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

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. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

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 that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise and for the work he/she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

[www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.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, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

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

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

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see the title page.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

## D. Application and Submission Information

### What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and job descriptions and résumés of key personnel. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the “Note on File Names and File Types” under [How to Apply](#) (below) to be sure applications are submitted in permitted formats.

*OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés in a single file.*

### 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for “Legal Name” should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP’s financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3), etc.) to confirm the legal name, address, and EIN entered into the SF-424.

**Intergovernmental Review:** This solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response 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 (such as Times New Roman) with 1-inch margins

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 OJP 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 applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure 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.

## 3. Program Narrative

The Program Narrative must respond to the solicitation and the Review Criteria in the order given. The Program Narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 15 pages. Number pages "1 of 15," "2 of 15," etc.

If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative:<sup>10</sup>

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<sup>10</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).



- 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

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see “[General Information about Post-Federal Award Reporting Requirements](#)” in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in [Section A. Program Description](#).

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under “Data Recipient Provides,” should it receive funding.

Post award, recipients will be required to submit performance metric data semi-annually through BJA’s online Training and Technical Assistance Reporting Portal. More information on reporting requirements can be found at: <https://www.bjatrain.org/working-with-nttac/providers>.

Objectives	Catalog ID	Performance Measure	Data Recipient Provides
<b>Objective 1:</b> Provide training and technical assistance to support state, local, and tribal jurisdictions in achieving compliance with National PREA Standards, and in instituting zero tolerance cultures in confinement agencies and facilities related to sexual abuse and sexual harassment	458	Number of trainings conducted	Number of trainings (by type): <ul style="list-style-type: none"> <li>• In-person,</li> <li>• Web-based,</li> <li>• CD/DVD,</li> <li>• Peer to Peer,</li> <li>• Workshop</li> </ul>
	228	Number of participants who attend the training	Number of individuals who: <ul style="list-style-type: none"> <li>• Attend the training (in-person) or started the training (web-based);</li> <li>• Completed the training;</li> <li>• Completed an evaluation at the conclusion of the training;</li> </ul>
	239	Percentage of participants who successfully completed the training	
	235	Percentage of participants who rated the training as satisfactory or better	

	215	Percentage of participants trained and subsequently demonstrated performance improvement	<ul style="list-style-type: none"> <li>Completed an evaluation and rated the training as satisfactory or better;</li> <li>Completed the post-test with an improved score over their pre-test</li> </ul>
	237	Percentage of scholarship recipients surveyed who reported that the training provided information that could be utilized in their job	<p>Number of Individuals who:</p> <ul style="list-style-type: none"> <li>Received a scholarship;</li> <li>Completed the training;</li> <li>Completed a survey at the conclusion of the training;</li> <li>Reported the training provided information that could be utilized in their job</li> </ul>
	144	Number of curricula developed	<p>Number of training curricula:</p> <ul style="list-style-type: none"> <li>Developed;</li> <li>Pilot tested;</li> <li>Revised after being pilot tested</li> </ul>
	520	Number of curricula that were pilot tested	
	521	Percentage of curricula that were revised after pilot testing	
<p><b>Objective 2:</b> Increase criminal justice agencies' ability to solve problems and/or modify policies or practices through assessment, tracking, evaluation and follow up</p>	12	Percentage of requesting agencies who rated services as satisfactory or better	<ul style="list-style-type: none"> <li>Number of onsite visits completed;</li> <li>Number of reports submitted to requesting agencies after onsite visits;</li> <li>Number of requesting agencies who completed an evaluation of services;</li> <li>Number of agencies who rated the services a satisfactory or better (in terms of timeliness and quality);</li> <li>Number of follow-ups with requesting agencies completed 6 months after onsite visit;</li> <li>Number of agencies that were planning to implement at least one or more recommendations 6</li> </ul>
	11	Percentage of requesting agencies that were planning to implement one or more recommendations	

			months after the onsite visit
	247	Percentage of peer visitors who reported that the visit to the other agency was useful in providing information on policies or practices	<ul style="list-style-type: none"> <li>• Number of peer-to-peer visits completed;</li> <li>• Number of peer visitors who completed an evaluation;</li> <li>• Number of peer visitors who reported that the visit was useful in providing information on policies or practices;</li> <li>• Number of follow-ups with the requesting peer visitor completed 6 months after the peer-to-peer visit;</li> <li>• Number of peer visitors who were planning to implement at least one or more recommendations 6 months after the onsite visit</li> </ul>
	246	Percentage of peer visitors that were planning to implement one or more policies or practices 6 months after they were observed at the visited site	
	526	Percentage of requesting agencies of other onsite services who rated the services provided as satisfactory or better	
<b>Objective 3:</b> Provide criminal and juvenile justice policymakers, practitioners, and others nationwide with accurate, timely information about the PREA standards, including PREA event announcements, available resources, and interpretative guidance	147	Number of conferences or advisory/focus groups held	<ul style="list-style-type: none"> <li>• Number of conferences or advisory/focus groups held;</li> <li>• Number of conference or advisory/focus group attendees who completed an evaluation;</li> <li>• Number of conference or advisory/focus group attendees who rated the advisory/focus group as satisfactory or better</li> </ul>
	493	Percentage of advisory/focus groups evaluated as satisfactory or better	

	144	Number of publications developed**	<ul style="list-style-type: none"> <li>• Number of publications/resources developed; Number of publications/ resources disseminated</li> </ul>
	145	Number of publications disseminated	
	491	Number of web sites developed	<ul style="list-style-type: none"> <li>• Number of web sites developed;</li> <li>• Number of web sites maintained;</li> <li>• Number of visits to web sites during the current reporting period;</li> <li>• Number of visits to web sites during the previous reporting period</li> </ul>
	492	Percent of web sites maintained	
	486	Percent of increase in the number of visits to web sites	
	354	Percentage of information requests responded to	<ul style="list-style-type: none"> <li>• Number of information requests;</li> <li>• Number of information requests responded to</li> </ul>

**\*\*** Award recipients will be required to submit to BJA for review and approval any curricula, training materials, proposed publications, reports, or any other written materials that will be published, including web-based materials and web site content, through funds from this grant program.

### Note on Project Evaluations

An applicant that proposes to use award funds 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.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) web page of the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017,”](#) available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical

component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

#### **Notice of Post-Award FFATA Reporting Requirement**

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

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

#### **4. Budget and Associated Documentation**

##### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet.

Applicants should utilize the following approved budget categories to label the requested expenditures:

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

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

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

##### **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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

**c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a "subaward" or is instead a procurement "contract" under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

## **1. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

## **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement "contracts" under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement "contract" that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

### **d. Pre-Agreement Costs**

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

## 5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (that is, unexpired), federally-approved indirect cost rate; or
- (b) The recipient 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).

An applicant with a current (that is, unexpired) federally-approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally-approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 1-800-458-0786 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://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the "de minimis" rate should attach written documentation to the application that advises OJP of both: (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the "de minimis" rate.)

## 6. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)

**Every** applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk
- The date the applicant was designated high risk
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address)
- The reasons for the high-risk status, as set out by the federal awarding agency



OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

**7. Disclosure of Lobbying Activities**

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

**8. Additional Attachments**

**a. Applicant Disclosure of Pending Applications**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) 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.

Each applicant that has one or more pending applications as described above is 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 federal or State funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov

Health and Human Services/ 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
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Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of in this application.”

**b. Position Descriptions and Résumés of Key Personnel**

Include position descriptions and résumés for key project personnel, subject matter experts, and/or personnel who will be delivering TTA.

**c. Research and Evaluation Independence and Integrity**

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are 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 would not be given an award 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), because the organization in such an instance might 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, each applicant is to address 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 actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding

organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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.

### 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**, which operates 24 hours a day, 7 days a week, except on 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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP 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.

**Browser Information:** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

**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 that all required documents are attached in either Grants.gov category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully-submitted applications to the OJP Grants Management System (GMS).

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>Applicants must use the “&amp;” format in place of the ampersand (&amp;) when using XML format for documents.</b>
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**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:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System ["DUNS"] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

**1. Acquire a unique entity identifier (DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. 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 certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application 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 as long as 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. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, 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 <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 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 ("CFDA") number for this solicitation is 16.735 for "Training and Technical Assistance (TTA) Program To Support PREA Implementation in Local Confinement Facilities Nationwide," and the funding opportunity number is BJA-2017-11324.**
- 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. The second will state whether the application has been validated and successfully submitted, or whether it has been 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 an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **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. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on May 25, 2017.

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

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

#### **Experiencing Unforeseen Grants.gov Technical Issues**

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its 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. The applicant must email the NCJRS Response Center identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify 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 untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are 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, such as issues with firewalls or browser incompatibility.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) web page.**

## **E. Application Review Information**

### **Review Criteria**

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

- 1. Statement of the Problem/Description of the Issue (10 percent)**  
Applicants should describe and demonstrate an understanding of the nature of the problem, describe the need for addressing the problem, and very briefly introduce how they propose to address the problem.
- 2. Project Design and Implementation (40 percent)**  
Applicants should demonstrate how they will design and implement a project to address the requirements outlined in this solicitation. Applicants may choose to include other items/deliverables in addition to the ones listed in this grant announcement and should provide detailed information on those items as well. Applicants must include a time/task plan that identifies the major tasks and deliverables of the proposed project and who is responsible for each activity.
- 3. Capabilities and Competencies (30 percent)**

Applicants must demonstrate a history of successfully providing complex national TTA programs related to the subject matter and for the target audiences described in this solicitation. This history should include capabilities and competencies required to successfully complete the project. Examples of capabilities/competencies include, but are not limited to, the following: overall project management; curriculum development; recruitment and management of national subject matter experts; use of a range of training and technical assistance modalities and strategies to target a variety of criminal justice professionals and leaders across the country; training/meeting logistics planning and implementation; conducting training and technical assistance evaluations; and development and publication of well-written reports, presentations, training materials, articles, publications, etc.

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

Describe the process for measuring project performance. Identify who will collect the data; who is responsible for performance measurement; and how the information will be used to guide and assess the program. Describe the process to accurately report the implementation findings.

**5. Budget (15 percent)**

Provide a proposed budget for the entire project period that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally 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>11</sup>

**Review Process**

OJP is committed to ensuring a fair and open process for making awards. BJA reviews each 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 an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

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

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<sup>11</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.



Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation's review 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. Peer reviewers' ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIS").

**Important note on FAPIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as:

1. Applicant financial stability and fiscal integrity
2. Quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements

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 take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

## F. Federal Award Administration Information

### Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires 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 OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards,”](#) available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards”](#) are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJA expects that any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the “substantial federal involvement” in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

In addition to a condition that sets out the “substantial federal involvement” in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

### **General Information about Post-Federal Award Reporting Requirements**

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically 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 or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP web site at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any recipient, post award, to provide the data listed as “Data Recipient Provides” in the performance measures table in [Section D. Application and Submission Information](#), under “Program Narrative,” so that OJP can calculate values for this solicitation's performance measures.

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

For OJP contact(s), see the title page.

For contact information for Grants.gov, see the title page.

## H. Other Information

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojpeerreview@lmsolas.com](mailto:ojpeerreview@lmsolas.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

**Application Checklist**  
**PREA Program: Strategic Support for PREA Implementation in Local Confinement Facilities Nationwide**

This application checklist has been created as an aid 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 29)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 29)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 30)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 30)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 30)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 30)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional)
- \_\_\_\_\_ 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](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 14)

*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 30)

*If No Grants.gov Receipt, and Validation or Error Notifications are Received:*

- \_\_\_\_\_ contact NCJRS Response Center regarding experiencing technical difficulties (see page 30)

**Overview of Post-Award Legal Requirements:**

- \_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

**Scope Requirement:**

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$5,000,000 for a 36-month project period.

**Eligibility Requirement:**

See title page.

**What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 15)
- \_\_\_\_\_ Project Abstract (see page 16)
- \_\_\_\_\_ Program Narrative\* (see page 16)

_____	Budget Detail Worksheet*	(see page 21)
_____	Budget Narrative*	(see page 21)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 24)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 24)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 25)
_____	Additional Attachments	
_____	Job descriptions and résumés of key personnel*	(see page 26)
_____	Applicant Disclosure of Pending Applications	(see page 25)
_____	Research and Evaluation Independence and Integrity	(see page 26)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 13)