

**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 under the Second Chance Act to develop a strategic plan for integrating correctional and employment programming and systems. This program furthers the Department's mission to improve public safety, and reduce crime and recidivism, by providing services and programs to help facilitate the successful reintegration of offenders returning to communities after a prison or jail sentence.

## **Adult Reentry and Employment Strategic Planning Program FY 2018 Competitive Grant Announcement**

**Applications Due: June 18, 2018**

### **Eligibility**

Eligible applicants are limited to state correctional agencies (state departments of corrections parole or probation), State Administering Agencies (SAAs), and federally recognized Indian tribes (as determined by the Secretary of the Interior).

BJA welcomes collaborative applications under which two or more entities would carry out the federal award, including corrections, parole and probation, and workforce development agencies; 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 project. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application.

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

BJA may elect to fund applications submitted under this fiscal year (FY) 2018 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 at <https://www.grants.gov/web/grants/register.htm> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on June 18, 2018.

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, 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, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at [support@grants.gov](mailto:support@grants.gov). The 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 contact identified below **within 24 hours after the application deadline** 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-2018-13633

Release date: May 1, 2018

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# Adult Reentry and Employment Strategic Planning Program

## CFDA # 16.812

### A. Program Description

#### Overview

Second Chance Act programs are designed to help communities develop and implement comprehensive and collaborative strategies that address the challenges posed by incarcerated adults re-entering their communities and the workforce, as well as recidivism reduction. Several years ago, BJA initiated a pilot project, the “Integrated Reentry and Employment Strategies” project that sought to test an innovative approach to reduce recidivism and increase job readiness for offenders returning from incarceration and to integrate best practices in reentry and employment. Building upon the pilot project, the FY 2018 Adult Reentry and Employment Strategic Planning Program will provide funding for strategic planning grants to replicate the framework developed in the pilot project.

#### Statutory Authority

Awards under this solicitation are authorized pursuant to 34 U.S.C. § 10681. Additional authority for awards under this solicitation is provided by the Consolidated Appropriations Act, 2018.

#### Program-specific Information

The Second Chance Act (Public Law 110–199) seeks a comprehensive response for incarcerated adults who are released from prison or jail, and returning to their communities. Over 2.1 million individuals are incarcerated in federal and state prisons, and millions of people cycle through local jails every year.<sup>2</sup> Ninety-five percent of all offenders incarcerated in state prisons will eventually be released.<sup>3</sup>

Securing meaningful employment can facilitate successful reentry for offenders leaving correctional facilities. However, there are many barriers that offenders with criminal records encounter as they attempt to re-enter both the community and the workforce. Improving employment outcomes for this population may contribute to recidivism reduction and increased public safety. However, some communities simply do not have enough resources for corrections, reentry, and workforce development to provide every adult offender leaving incarceration with services that may assist them in reentering the community.

Ensuring people are connected to the most appropriate combination of treatment, services, and interventions, at various points in their reentry process, requires access to data and service delivery and coordination by multiple systems, including workforce development. An integrated approach is needed to ensure that criminal justice and workforce development systems utilize

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<sup>2</sup> Danielle Kaeble and Lauren Glaze, *Correctional Populations in the United States*, 2015 (Washington, DC: US Department of Justice, Bureau of Justice Statistics, 2016), available at <https://www.bjs.gov/content/pub/pdf/cpus15.pdf>.

<sup>3</sup> Timothy Hughes and Doris James Wilson, *Reentry Trends in the United States* (Washington, DC: U.S. Department of Justice, Bureau of Justice Assistance, 2002), available at [bjs.ojp.usdoj.gov/content/pub/pdf/reentry.pdf](https://www.bjs.ojp.usdoj.gov/content/pub/pdf/reentry.pdf).

their available resources in ways that may increase public safety by reducing recidivism, and improving the employability of their shared population.

This FY 2018 solicitation will provide funding for six 12-month Adult Reentry and Employment Strategic Planning Program grants. Upon completion of their strategic plans, and pending federal appropriations in FY 2019, award recipients will be invited by BJA to submit applications for 24-month FY19 Adult Reentry and Employment Implementation Program grants for up to \$1,000,000 each. Any FY 2019 implementation grants will be limited to activities authorized for funding at that time.<sup>4</sup> Future funding decisions for these implementation grants will be competitive and will depend upon the quality and comprehensiveness of the strategic plans developed, as well as grantee performance.

### **Objectives and Deliverables**

The purpose of the Adult Reentry and Employment Strategic Planning Program is to fund the development of strategic plans that are comprehensive, collaborative, and multisystemic in their approach to increase public safety by reducing recidivism and improving employability in offenders returning to communities from incarceration. These plans should include an assessment of the current system and propose solutions to make assessment-driven referrals to ensure successful transition from correctional facilities to the community.

This comprehensive grant program requires intensive partnership and coordination with state, local, and tribal agencies to ensure that offenders leaving incarceration are connected to the most appropriate reentry and employment services, based on their assessed risk and needs.

Please see the National Reentry Resource Center for [The Integrated Reentry and Employment Strategies Pilot Project: Four Questions Communities Should Consider When Implementing a Collaborative Approach](#), which was developed to help communities assess their ability to integrate the efforts of criminal justice and workforce development systems and services.<sup>5</sup>

**The main deliverables of the activities funded under this solicitation will include development of a comprehensive strategic plan and demonstration of the steps taken in its development.** The developmental steps taken must reflect the mandatory requirements (objectives) described below.

### **Mandatory Requirements (Objectives)**

To receive an award under this announcement, applicants must clearly demonstrate their ability to comply with the following mandatory requirements related to systems mapping and capacity building.

**1: Establish a cross-disciplinary, executive-level steering committee** comprised of relevant leaders and administrators of relevant agencies to guide the strategic planning process. (Note: BJA acknowledges that some applicants will utilize existing reentry councils or task forces for this purpose.) The executive-level steering committee's structure—including who will serve on the committee, who will chair the committee, and how often the committee will meet and over what period of time—should be described. Applicants must include a description of the steering committee's priorities, which should

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<sup>4</sup> Current BJA authorities include those found at 34 U.S.C. §§ 10631, 10681, 60511, and 60531. Additional or amended authority may be available at the time of implementation awards.

<sup>5</sup> "The Integrated Reentry and Employment Strategies Pilot Project: Four Questions Communities Should Consider When Implementing a Collaborative Approach" is available on the National Reentry Resource Center website at [www.nationalreentryresourcecenter.org](http://www.nationalreentryresourcecenter.org).

align with the efforts of the cross-disciplinary working group, include opportunities to identify and address policy and programmatic barriers to successful employment after reentry, and align funding to support best practices in reentry and employment.

Applicants must provide evidence of a history of collaboration between state, local and or tribal government agencies overseeing corrections, parole, probation, workforce development, and education, as well as an extensive discussion of the role of the corrections department in ensuring the successful reentry of offenders into communities, including securing and maintaining employment. Successful applicants will also describe how correctional, workforce development, and education funds such as the Workforce Innovation and Opportunity Act (WIOA) are leveraged to support correctional education or reentry services. For more information about WIOA and how it can be leveraged to support employment and education services for offenders, please see [The Workforce Innovation and Opportunity Act: What Corrections and Reentry Agencies Need to Know.](#)<sup>6</sup>

**2: Establish a cross-disciplinary working group** comprised of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders to guide the strategic planning process. (Note: BJA acknowledges that some states will utilize existing reentry councils or task forces for this purpose.) The working group must include criminal justice stakeholder participation, including corrections, parole, probation, and reentry service providers, and workforce development stakeholder participation, including the state and local workforce investment boards, employment and training service providers, community colleges, and employers.

The working group's structure—including who will serve on the working group, who will chair and staff the group, and how often the group will meet and over what period of time—should be described. (Note: The chair(s) of the group should represent the workforce development and correctional systems. Membership should include state-level officials as well as local stakeholders from the workforce development and reentry systems.) Applicants must include a description of the working group's priorities, which should include opportunities to identify and address state and local barriers to effective reentry and successful employment, including policies and procedures, pooling resources and funding streams, and sharing data and best practices in reentry and employment among agencies.

Applications must include letters of support from corrections officials responsible for facilities or offenders to be served through the program as well as from the workforce development and community-based reentry organizations that will deliver services.

**3: Complete a comprehensive process analysis and systems mapping** that includes risk-need and job readiness screenings and assessments, program referrals, information-sharing processes, and transition planning protocols, as well as an inventory of the existing service capacity and alignment of programs with best practices.

The process for completing this assessment will be guided by a Planning and Implementation (P&I) Guide, provided by BJA's technical assistance provider, the

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<sup>6</sup> "The Workforce Innovation and Opportunity Act: What Corrections and Reentry Agencies Need to Know" is available on the National Reentry Resource Center website at [www.nationalreentryresourcecenter.org](http://www.nationalreentryresourcecenter.org).

National Reentry Resource Center. This guide will help ensure that grantees meet the requirements outlined below for the systems mapping deliverable. The P&I Guide will be submitted to BJA for approval as the final report.

The process analysis and systems mapping should consist of a thorough review of risk-needs and job readiness screenings and assessments, programs, and processes both in the correctional facility and in the community. The applicant may choose to focus on one or more state and or tribal correctional facilities. The applicant must also identify one or more local geographic area(s) of focus and provide a detailed explanation of why the geographic area(s) was selected.

The applicant must describe the target population, which is defined as offenders incarcerated in the identified state correctional facility(ies) who are being released to the identified local geographic area(s). The target population must be moderate to high risk as identified using a validated risk-needs assessment tool. The applicant must identify the validated risk-needs assessment tool used and the risk levels eligible for participation in the program. "Risk" is defined as the likelihood that an offender will re-offend upon release from a correctional facility.

The applicant must describe the following assessment elements:

- Risk-needs assessments and job readiness screening tools to determine program or service needs, including who administers the assessments and when, and the processes associated with making program referrals in the correctional facility(ies) and in the community.
- Data analysis to understand the risk, education and employment needs, and demographics of the target population.
- Identification and review of the type and quality of existing correctional and employment programming in the correctional facility(ies) and in the community(ies) of focus to which the target population is being released, which are designed to change criminal behaviors, including the alignment of programs with evidence-based principles and promising practices from the corrections and workforce development fields.
- Description of the information-sharing processes among agencies to identify program needs and programs completed which will support the successful transition from incarceration to the community.
- Statutory, regulatory, rules-based, and practice-based hurdles to reintegration of offenders into the community.
- Explanation of the statewide definition of recidivism, including a description of how that rate is calculated on a regular basis and reported to policymakers periodically so that changes can be routinely and effectively tracked over time, and demonstrate the capability to access and obtain data. The applicant must also include a baseline recidivism rate for the proposed target population.
- Identification of connections to other reentry and employment programs in the state or tribe that are funded by the U.S. Department of Justice, U.S. Department of Labor, U.S. Department of Health and Human Services, and/or U.S. Department of Education, with a clear explanation as to how the programs will be coordinated to provide complementary—not duplicative—services.

Award recipients must demonstrate a commitment to share data and work closely with BJA's technical assistance provider, the National Reentry Resource Center, during the strategic planning phase, and if awarded, during the implementation phase. Applicants should also describe what, if any, types of intensive technical assistance (which is available to grantees, in addition to whatever funding support they receive) they anticipate will be of particular value as it conducts a thorough review of existing policies, practices, and programs and develops its strategic plan.

**4: Create an industry-advisory group of employers** to advise on program development and help promote direct connections to employment.

The applicant must describe the process for establishing and regularly engaging an industry advisory group of employers to advise on program development and identifying opportunities for employment. The advisory group must include among its membership, business leaders from a specific growth industry in the region. Applicants must describe the rationale for selecting the industry.

The advisory group's structure—including who will serve on the advisory group, who will chair and staff the group, and how often the group will meet and over what period of time—should be described. The applicant must include a description of the advisory group's priorities, which should include opportunities to develop job training programs that align with the industry's hiring needs and industry-recognized credentials, and identify and address state, local, and tribal barriers to accessing and advancing in employment in that industry.

The advisory group should result in formal partnerships with employers willing to consider hiring released offenders after they complete job training programs (see Mandatory Requirement #5).

**5: Develop a plan for integrating the best practices** from the corrections and workforce development fields to build the capacity of—or establish new—correctional and community-based education and employment programs aimed to reduce recidivism and improve employment outcomes among those most likely to recidivate. Systems and funding should align with this plan.

### **Deliverables**

Award recipients will be required to develop a **strategic plan** for addressing gaps in services or systems based on the results of the comprehensive process analysis and systems mapping (Mandatory Requirement #3). This strategic plan must include, but is not limited to:

- Improving existing program quality and developing new job training and education programs and services.
  - Relate job training and education to occupational fields for which there is labor demand in or around the geographic area(s) to which offenders will be returning.
  - Provide a thorough analysis for determining which job training to offer and the screening tool to be used to identify offenders' educational and employment-related needs.
  - Demonstrate a formal partnership with a training entity (e.g., community college, job center, employer-sponsored training program) to provide job training in the identified



correctional facility(ies) beginning 6 to 36 months before release from incarceration. Provide documentation demonstrating the partnership, such as a memorandum of agreement (MOA), which discusses instructors, accredited programming, and/or a direct path to continuing education (high school diploma or equivalency and post-secondary) with articulation of earned credits at a local community college. Program participants must receive industry-recognized certificates that demonstrate successful completion of a training program to better prepare participants for job attainment upon release. The formal partnership should also describe plans to share data related to assessment results, program completion, and service referrals to other reentry programs, which may or may not be federally funded.

- Describe program components focused on promoting job readiness, such as education and training, soft and cognitive-skill development, and non-skill-related interventions, and finding and retaining employment, such as non-transitional subsidized employment, job development and coaching, retention and advancement services, and continued education. Work-based learning opportunities, including on-the-job training, transitional job placements, and registered apprenticeships, should also be considered.
  - Deliver evidence-based correctional interventions designed to reduce the likelihood of reoffending described in [Integrated Reentry and Employment Strategies: Reducing Recidivism and Promoting Job Readiness](#).<sup>7</sup> Strategies may be delivered before, during, or after the job training program, but it is important to demonstrate how the strategies and the job training will be integrated.
  - Ensure all program participants receive individualized reentry plans and case management that link them to community-based services and employment support post-release. Coordination with corrections, parole, probation, workforce, and reentry providers, as well as other community and family supports, should be incorporated into the program model. Include reentry career planning as intensive post-release services provided by the grantee or subcontractors focusing on job placement and employment retention services. Describe a plan for ensuring that participants take part in services and programs that occur both pre- and post-release.
  - Describe how many total offenders the proposed program plans to serve over the length of the program period. Provide data to demonstrate that the number of offenders proposed to be served, is reasonable.
  - Collect and report data on offender post-program employment outcomes and recidivism indicator data, including the collection of unique identification numbers for each offender.
- Ensure service contracts reflect evidence-based principles and promising practices.
  - Support coordinated transition and release planning using formal partnerships and data-sharing agreements and systems.
  - Support process and outcome evaluation efforts to add to the field's knowledge about what works to improve employment and recidivism outcomes.

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<sup>7</sup> "Integrated Reentry and Employment Strategies: Reducing Recidivism and Promoting Job Readiness" is available on the National Reentry Resource Center website at [www.nationalreentryresourcecenter.org](http://www.nationalreentryresourcecenter.org). Effective strategies for reducing recidivism include tailoring services to a person's distinct needs (such as intensive case management, cognitive behavioral interventions to address antisocial thinking and behaviors, prosocial activities, etc) as identified by an evidence-based risk and needs assessment.

- Describe of how the program could be broadly replicated or brought to scale if demonstrated to be effective, including training for staff on implementation of risk-needs assessment tools, the importance of using evidence-based practices, and opportunities to leverage private, local, state, tribal, and/or federal resources (cash or in-kind).

The Objectives and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

### **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 at <https://www.crimesolutions.gov> is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Information Regarding Potential Evaluation of Programs and Activities**

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that the Office of Justice Programs may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and sub-recipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

## **B. Federal Award Information**

BJA expects to make up to six awards of up to \$200,000 each, with an estimated total amount awarded of up to \$1,200,000. BJA expects to make awards for a 12-month period of performance, to begin on October 1, 2018.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, 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 to make any award under this solicitation in the form of a grant.

See [Administrative, National Policy, and Other Legal Requirements](#), under Section F. Federal Award Administration Information, for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>8</sup>) must, as described in the Part 200 Uniform Requirements<sup>9</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).
- (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.

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<sup>8</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. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

<sup>9</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.

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire—the [OJP Financial Management and System of Internal Controls Questionnaire](#)—that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

## **Budget Information**

### **Cost Sharing or Matching Requirement**

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

For additional information on cost sharing and match, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>.

### **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 program 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 at <https://ojp.gov/financialguide/DOJ/index.htm> 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 recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>10</sup> The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-

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<sup>10</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.

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, this 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 <https://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 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

## **C. Eligibility Information**

For eligibility information, see 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 Abstract, Program Narrative, Budget Detail Worksheet and Budget Narrative, résumés/curricula vitarum of key personnel, and Letter from Applicant Agency Executive.

**NOTE:** OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the “Note on File Names and File Types” under [How To Apply](#) to be sure applications are submitted in permitted formats.

### 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. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), 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.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8b 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 its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the

SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How To Apply](#) section for more information on SAM and DUNS numbers.

**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).

## 3. Program Narrative

The Program Narrative must respond to the solicitation and the Review Criteria (a–d) in the order given. The Program Narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must not exceed 20 pages. Number pages "1 of 20," "2 of 20," etc.

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

The following sections should be included as part of the Program Narrative<sup>11</sup>:

- 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

The Program Narrative should clearly describe how each Mandatory Requirement is met (see "Mandatory Requirements" in [Section A. Program Description](#)).

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<sup>11</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](#).

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the objectives and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

More information on performance measurement at OJP is provided at [www.ojp.gov/performance](http://www.ojp.gov/performance).

The application should describe the applicant's plan for collection of all of the performance measures data listed in [Appendix A](#), under "Data Recipient Provides," should it receive funding.

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit quarterly performance data as part of the reporting requirements under an award.

#### **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" webpage of the ["Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards"](#), available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that webpage.



#### 4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

##### a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

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

##### b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for program 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 objectives 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 an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

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. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

### **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 Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by

OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not 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. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. 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.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

### **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 (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 (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 Office of the Chief Financial Officer (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 <https://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.) For the “de minimis” rate requirements (including on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

## **6. Tribal Authorizing Resolution (if applicable)**

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

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

award funds contingent on receipt of the fully-executed legal documentation.

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

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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).

## **8. 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) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. 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").

## 9. Additional Attachments

- a. **Letter from Applicant Agency Executive** demonstrating agency commitment to the strategic planning period.
- b. **Program Timeline** with each program objective, activity, expected completion date, and responsible person or organization.
- c. **Position Descriptions** for key roles. Position descriptions should relate to the role on the proposed program, not the person's role within the applicant organization, and describe critical competencies and expectations regarding program responsibilities.
- d. **Résumés** for key personnel. Applicants may combine position descriptions and résumés into a single document; however, please note that résumés are one of the critical elements for an application, along with the Program Narrative, Budget/Budget Narrative, and Letter from Applicant Agency Executive. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.
- e. **Letters of Support** from all key partners, including the corrections agency(ies) responsible for the facilities or offenders to be served through the program and the workforce development and community-based reentry organizations that will deliver services, detailing the commitment to work with the applicant to promote the mission of the program.
- f. **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 program 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 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/program 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 and Mental Health Services Administration	Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant’s 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 this application.”

**g. Research and Evaluation Independence and Integrity (if applicable)**

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 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 <https://www.grants.gov/web/grants/support.html>. 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.

**Important Grants.gov update.** Grants.gov has updated its application tool. The legacy PDF application package has been phased out and was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 at <https://www.grants.gov/web/grants/manage-subscriptions.html>. 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. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.) Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed "mandatory" attachments within another file.

**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
Upper case (A – Z)
Lower case (a – z)
Underscore ( _ )
Hyphen ( - )
Space
Period ( . )

Special Characters		
Parenthesis ( )	Curly braces { }	Square brackets [ ]
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Percent sign ( % )	Plus sign ( + )	Equal sign ( = )

**\*When using the ampersand (&) in XML, applicants must use the “&amp;” format.**

**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.

### **Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)**

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. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the 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.

### **Registration and Submission Steps**

- 1. Acquire a unique entity identifier (currently, a 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.

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 <https://www.dnb.com/>. A DUNS number is usually received within 1–2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating

that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at [https://www.fsd.gov/fsd.gov/answer.do?sysparm\\_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm\\_search=kb0013183](https://www.fsd.gov/fsd.gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183).

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). 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 (2 more weeks to acquire an EIN).

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 <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/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 16.812, titled "Second Chance Act Reentry Initiatives and the funding opportunity number is BJA-2018-13633.
6. **Access Funding Opportunity and Application Package from Grants.gov.** Select "Apply" under the "Actions" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive 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 June 18, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> 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 at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the contact 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 at <https://ojp.gov/funding/index.htm>.**

## 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 (20 percent)

- Clearly define the scope of the problem which the proposed program seeks to impact, and how the program impacts recidivism and crime reduction, and improves public safety.
- Provide a clear statewide definition of recidivism and an explanation of how that rate is calculated on a regular basis and reported to policymakers periodically so that changes can be routinely and effectively tracked over time.
- Describe the geographic areas to which the highest concentrations of offenders return upon release from incarceration.

#### 2. Program Design and Implementation (40 percent)

- Address all the Mandatory Requirements identified within the Objectives and Deliverables subsection in [Section A. Program Description](#) on pages 5–8.
- Describe the process for establishing and regularly engaging a cross-disciplinary, executive-level steering committee, including membership, meeting frequency, and priorities.
- Describe the process for establishing and regularly engaging a cross-disciplinary working group, including membership, meeting frequency, and priorities.
- Identify the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of offenders into the community.
- Describe the data sets required to be accessed during the planning program period.
- Present a strategic plan for completing a comprehensive process analysis and systems mapping, which will include risk-needs and job readiness screenings and assessments, program referrals, information-sharing processes, and transition planning protocols, as well as an inventory of existing service capacity and alignment of programs with best practices. The strategic plan should identify one or more correctional facilities of focus, as well as one local geographic area(s) of focus. The analysis should also include recommended changes in policy and practice, and a work plan to implement those changes and build statewide support for them.
- Describe how the target population will be identified for service delivery and describe how services will be delivered.
- Describe the process for creating the industry advisory group of employers.

#### 3. Capabilities and Competencies (25 percent )

- Provide evidence of a history of collaboration between state, local, and or tribal government agencies overseeing corrections, parole, probation, workforce

development, and education, as well as an extensive discussion of the role of the state corrections department in ensuring the successful reentry of offenders into the communities, including securing and maintaining employment.

- Describe how correctional, workforce development, and education funds such as WIOA are leveraged to support correctional education or reentry services.
- Identify other reentry and employment programs in the state funded by the U.S. Department of Justice, U.S. Department of Labor, U.S. Department of Health and Human Services and/or U.S. Department of Education with a strategy for developing a plan to coordinate services.
- Describe the management structure and staffing of the program, identifying the agency responsible for the program.
- Demonstrate the executive leadership commitment to the development and adherence to the strategic plan. Applicants should consider all agencies and major stakeholders necessary to plan and implement.
- Demonstrate the commitment and capability of the implementing agency and collaborative partners to implement the program, including gathering and analyzing information, developing the strategic plan, and evaluating the program.

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

- Describe the process for assessing the program's effectiveness through the collection and reporting of the required performance metrics data (see "Performance Measures," pages 15–16).

#### **5. Budget (10 percent)**

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the objectives of the program.<sup>12</sup> BJA welcomes collaborative applications under which two or more entities would carry out the federal award, including corrections, parole, probation, and workforce development agencies. See information on page one of this announcement for detail on collaborative applications.
- Include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment. There is no minimum requirement regarding what constitutes an appropriate percent; however, the budget designated should be adequate to fund the activities outlined in the application. The Budget Narrative should explain how the amount dedicated to these activities is adequate to support the proposed activities.

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<sup>12</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

## Review Process

OJP is committed to ensuring a fair and open process for making awards. BJA reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether 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](#).

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 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 of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for BJA include 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 the applicant. 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.

In addition, 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, FAPIIS).

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

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 applicant's management systems, 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, 2018. 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 and submission 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 and regulations (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 2018 Awards](#)," available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. 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. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 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 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, 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.

### **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.)

Data on performance measures. In addition to required reports, each 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 award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP's performance measurement page at <https://ojp.gov/performance/> to view the specific reporting requirements for this grant program.

## **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 the 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 [ojppeerreview@l-secb.com](mailto:ojppeerreview@l-secb.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.

## Appendix A: Performance Measures Table

Objective	Performance Measure	Data Recipient Provides
<p>Establish a collaborative structure to guide the strategic, collaborative planning process for the implementation of targeted interventions and data-driven system analyses to improve employment outcomes for released offenders.</p>	<p>Percent of grantees that have established a cross-disciplinary executive-level steering committee.</p> <p>Percent of grantees that have established a cross-disciplinary working group</p> <p>Percent of grantees that have established an industry advisory group</p>	<p>Provide status update (i.e. indicate Yes/No) for the following:</p> <ul style="list-style-type: none"> <li>• Established a cross-disciplinary executive-level steering committee. The committee should include state leaders from the executive and legislative branches, correctional and workforce administrators, and local elected officials.</li> <li>• Established a schedule and/or frequency (e.g., monthly, quarterly, semi-annually) for executive-level steering committee meetings.</li> <li>• Established a cross-disciplinary working group. The working group should include representatives from key stakeholders, such as state and local correctional, workforce development, reentry, and education agencies; service providers; and nonprofit organizations.</li> <li>• Established a schedule and/or frequency (e.g., monthly, quarterly, semi-annually) for working group meetings.</li> <li>• Established an industry advisory group. The group should include business leaders and representatives that advise program development and promote connections with employment.</li> <li>• Established a schedule and/or frequency (e.g., monthly, quarterly, semi-annually) for industry advisory group meetings.</li> </ul>

Objective	Performance Measure	Data Recipient Provides
<p>Develop a reentry strategic plan that integrates the best practices from the corrections and workforce development fields to build the capacity of—or establish new—correctional and community-based education and employment programs aimed to reduce recidivism and improve employment outcomes</p>	<p>Percent of grantees that have completed a strategic reentry plan</p>	<p>Provide status updates on completion of key components for developing a reentry strategic plan (i.e., “Not yet started”, “In Progress”, or “Complete”). Key components include the following:</p> <ul style="list-style-type: none"> <li>• Hiring of a Project Lead to manage the strategic planning effort and coordinate among key stakeholders (within both correctional and community settings; as well as across the steering committee, working group, and industry advisory group)</li> <li>• Identification of the target population and its key characteristics, including geographic area(s) of focus; demographics (ethnicity, gender, age); and risk level (for recidivism).</li> <li>• The state-wide baseline recidivism rate (the rate before award activities began), with definition, calculation methodology, and description of how it is reported to policymakers periodically.</li> <li>• Strategy for creating individualized reentry plans and case management services (to link participants to community-based services and employment post-release).</li> <li>• Strategy for addressing identified system gaps related to reentry employment services.</li> </ul>

Objective	Performance Measure	Data Recipient Provides
<p>Develop a comprehensive process analysis and systems mapping of existing services and systems related to correctional and community-based education and employment programs to inform reentry strategic plans aimed at reducing recidivism and improving employment outcomes</p>	<p>Percent of grantees that completed process analysis and systems mapping capturing required data as defined by BJA.</p>	<p>Provide status updates on completion of key components of a comprehensive process analysis and systems mapping evaluation of existing services and systems to inform a reentry strategic plan (i.e., “Not yet started”, “In Progress”, or “Complete”). Key components include:</p> <ul style="list-style-type: none"> <li>• Process analysis and systems map of existing screening and referral services.</li> <li>• Inventory of risk assessment tool(s) and job screening tool(s) used.</li> <li>• Process analysis and systems map of existing data collection and information sharing processes among relevant entities.</li> <li>• Inventory of barriers to reentry and employment (statutory, regulatory, rules-based, and practice-based) that impact your state and area(s) of focus.</li> <li>• Identification of specific system gaps related to reentry employment services to be addressed in the reentry plan.</li> <li>• Inventory of other funding awarded for reentry and employment programs (e.g. other federal government sources).</li> <li>• Number of existing programs implemented within correctional facilities. Provide name(s) and/or descriptions of programming used within correctional facility(ies) that are: <ul style="list-style-type: none"> <li>a. Designed to change criminal behaviors.</li> <li>b. Designed to increase job readiness, including those that lead to an industry recognized credential.</li> </ul> </li> <li>• Number of existing programs implemented within communities of focus. Provide name(s) and/or descriptions of programming used within community(ies) of focus that are: <ul style="list-style-type: none"> <li>a. Designed to change criminal behaviors.</li> <li>b. Designed to increase job readiness, including those that lead to an industry recognized credential.</li> </ul> </li> </ul>

## Appendix B: Application Checklist

### FY18 Adult Reentry and Employment Strategic Planning Program

This application checklist has been created as an aid in developing an application.

#### What an Applicant Should Do:

##### *Prior to Registering in Grants.gov:*

- Acquire a DUNS Number (see page 26)
- Acquire or renew registration with SAM (see page 26)

##### *To Register with Grants.gov:*

- Acquire AOR and Grants.gov username/password (see page 27)
- Acquire AOR confirmation from the E-Biz POC (see page 27)

##### *To Find Funding Opportunity:*

- Search for the Funding Opportunity on Grants.gov (see page 27)
- Access Funding Opportunity and Application Package (see page 27)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 25)
- 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 13)

##### *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 27)

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

- contact NCJRS regarding experiencing technical difficulties (see page 2)

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

- Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

#### Scope Requirement:

- The federal amount requested is within the allowable limit of \$200,000.

**Eligibility Requirement:** Eligible applicants are limited to state correctional agencies (state departments of corrections, parole or probation) or State Administering Agencies (SAAs) and tribal governments. While this is a state-level initiative, strategic planning efforts must include representatives from a local jurisdiction(s).

## What an Application Should Include:

_____	Application for Federal Assistance (SF-424)	(see page 14)
_____	Project Abstract*	(see page 15)
_____	Program Narrative*	(see page 15)
_____	Budget Detail Worksheet*	(see page 17)
_____	Budget Narrative*	(see page 17)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 20)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 12)
_____	<a href="#">Disclosure of Lobbying Activities (SF-LLL)</a>	(see page 21)
_____	Additional Attachments	
_____	Letter from Applicant Agency Executive*	(see page 22)
_____	Program Timeline	(see page 22)
_____	Position Descriptions	(see page 22)
_____	Résumés*	(see page 22)
_____	Letters of Support	(see page 22)
_____	Applicant Disclosure of Pending Applications	(see page 22)
_____	Research and Evaluation Independence and Integrity	(see page 23)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 12)

**\* Please note that application components marked with an asterisk are considered critical elements without which an application will not move forward to peer review.**