

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



BJA FY 21 Smart Probation: Innovations in Supervision Initiative

| | |
|----------------------------------|------------------------|
| Assistance Listing Number # | 16.812 |
| Grants.gov Opportunity Number: | O-BJA-2021-93003 |
| Solicitation Release Date: | May 03, 2021 1:00 PM |
| Version: | 2 |
| Grants.gov Deadline: | June 15, 2021 11:59 PM |
| Application JustGrants Deadline: | June 29, 2021 11:59 PM |

Overview

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for funding state, local, and tribal community corrections agencies to improve supervision capacity to prevent recidivism and reduce crime in their jurisdictions. This program furthers the Department's mission by reducing recidivism and building a comprehensive violent crime reduction strategy.

This solicitation incorporates the [OJP Grant Application Resource Guide](#) by reference. The OJP Grant Application Resource Guide provides guidance to applicants on how to prepare and submit applications for funding to OJP. **If this solicitation expressly modifies any provision in the OJP Grant Application Resource Guide, the applicant is to follow the guidelines in this solicitation as to that provision.**

Solicitation Categories

This solicitation does not include Solicitation Categories.

Eligible Applicants:

City or township governments, County governments, Native American tribal governments (Federally recognized), State governments, Other

Other

To advance Executive Order 13929 Safe Policing for Safe Communities, as of October 28, 2020, the Attorney General determined that all state, local, and university or college law enforcement agencies must be certified by an approved independent credentialing body or have started the certification process to be allocated FY 2021 DOJ discretionary grant funding, as either a recipient or a subrecipient. For detailed information on this new certification requirement, please visit <https://cops.usdoj.gov/SafePolicingEO>.

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

BJA will consider applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (subgrantees). For additional information on subawards, see the [OJP Grant Application Resource Guide](#).

BJA may elect to fund applications submitted under this FY 2021 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Contact Information

For technical assistance with submitting the **SF-424 and SF- LLL** in Grants.gov, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, at [Grants.gov customer support webpage](#), or email at support@grants.gov. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

For technical assistance with submitting the **full application** in DOJ's Justice Grants System (JustGrants), contact the

JustGrants Service Desk at JustGrants.Support@usdoj.gov or at 833-872-5175. The JustGrants Service Desk operates 5 a.m. to 9 p.m. EST Monday - Friday and 9 a.m. to 5 p.m. Saturday, Sunday, and federal holidays.

An applicant that experiences unforeseen Grants.gov or JustGrants technical issues beyond its control that prevent it from submitting its application by the deadline must email the National Criminal Justice Reference Service Response Center (Response Center) at grants@ncjrs.gov **within 24 hours after the application deadline** to request approval to submit its application after the deadline.

For assistance with any other requirements of this solicitation, contact the Response Center by telephone at 800-851-3420 or TTY: 301-240-6310 (hearing impaired only) or by email at grants@ncjrs.gov. Response Center hours of operation are 10 a.m. to 6 p.m. eastern time Monday through Friday, and 10 a.m. to 8 p.m. eastern time on the solicitation close date.

Submission Information

In FY 2021, applications will be submitted to DOJ in a **NEW** two-step process.

Step 1: Applicants will submit an **SF-424 and an SF-LLL** in Grants.gov at <https://www.grants.gov/web/grants/register.html>. To register in Grants.gov, applicants will need to obtain a Data Universal Numbering System (DUNS) and System for Award Management (SAM) registration or renewal.

Step 2: Applicants will submit the **full application** including attachments in JustGrants at [JustGrants.usdoj.gov](https://www.justgrants.usdoj.gov).

To be considered timely, the full application must be submitted in JustGrants by the JustGrants application deadline.

OJP encourages applicants to review, the "How to Apply" section in the [OJP Grant Application Resource Guide](#).

Contents

| | |
|--|----|
| BJA FY 21 Smart Probation: Innovations in Supervision Initiative | 1 |
| Contact Information | 1 |
| Program Description | 5 |
| Overview | 5 |
| Statutory Authority | 5 |
| Specific Information | 5 |
| Goals, Objectives, Deliverables, and Timeline | 5 |
| Evidence-Based Programs or Practices | 6 |
| Information Regarding Potential Evaluation of Programs and Activities | 6 |
| OJP Priority Areas | 6 |
| Federal Award Information | 6 |
| Awards, Amounts and Durations | 6 |
| Availability of Funds | 6 |
| Types of Awards | 7 |
| Financial Management and System of Internal Controls | 7 |
| Budget Information | 7 |
| Cost Sharing or Matching Requirement | 7 |
| Pre-agreement Costs (also known as Pre-award Costs) | 7 |
| Limitation on Use of Award Funds for Employee Compensation: Waiver | 7 |
| Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs | 7 |
| Costs Associated with Language Assistance (if applicable) | 7 |
| Eligibility Information | 7 |
| Application and Submission Information | 8 |
| Information to Complete the Application for Federal Assistance (SF-424) | 8 |
| Standard Applicant Information (JustGrants 424 and General Agency Information) | 8 |
| Proposal Abstract | 8 |
| Proposal Narrative | 8 |
| Goals, Objectives, Deliverables, and Timeline | 9 |
| Budget and Associated Documentation | 9 |
| Budget Worksheet and Budget Narrative (Web-based Form) | 9 |
| Indirect Cost Rate Agreement (if applicable) | 9 |
| Financial Management Questionnaire (including applicant disclosure of high-risk status) | 9 |
| Additional Application Components | 9 |
| Tribal Authorizing Resolution | 9 |
| Timeline Form | 9 |
| Letters of Support | 9 |
| Research and Evaluation Independence and Integrity Statement | 10 |
| Documentation of Advancing DOJ Priorities (if applicable) | 10 |
| Documentation of High-Poverty Areas or Persistent-Poverty Counties (if applicable) | 10 |
| Documentation of Proposed Subrecipients | 10 |
| Assurance to Collect and Submit Recidivism Indicator Data | 10 |
| Disclosures and Assurances | 10 |
| Disclosure of Lobbying Activities | 10 |
| DOJ Certified Standard Assurances | 10 |
| Applicant Disclosure of Duplication in Cost Items | 10 |
| DOJ Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements | 10 |
| How to Apply | 10 |

| | |
|---|----|
| Submission Dates and Time | 11 |
| Application Review Information | 11 |
| Review Criteria | 11 |
| Review Process | 11 |
| Federal Award Administration Information | 12 |
| Federal Award Notices | 12 |
| Administrative, National Policy, and Other Legal Requirements | 12 |
| Information Technology (IT) Security Clauses | 12 |
| General Information about Post-Federal Award Reporting Requirements | 12 |
| Federal Awarding Agency Contact(s) | 12 |
| Other Information | 12 |
| Freedom of Information and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a) | 12 |
| Provide Feedback to OJP | 12 |
| Application Checklist | 12 |
| Smart Probation: Innovations in Supervision Initiative | 12 |
| Applicant Disclosure of Proposed Subrecipients | 16 |
| Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data | 16 |

Program Description

Overview

The Smart Probation: Innovations in Supervision Initiative (ISI) provides opportunities for community corrections agencies to improve supervision outcomes for individuals they supervise.

Statutory Authority

34 U.S.C 10631

Specific Information

The purpose of this program is to provide state, tribal, and local community corrections agencies with information, resources, and training and technical assistance (TTA) on ways to improve supervision capacity and partnerships with other justice agencies to prevent recidivism and reduce crime in their jurisdictions.

Goals, Objectives, Deliverables, and Timeline

BJA will select entities to pursue the following goal, objectives, and deliverables.

Goals

The goal of the FY 2021 Smart Probation: Innovations in Supervision Initiative is to develop, implement, and/or test strategies to improve the capacity and effectiveness of probation and parole agencies to increase probation and parole success rates and reduce the rate of recidivism for those under supervision. Such efforts would reduce crime, victimization, and admissions to prisons and jails, and save taxpayer dollars.

Objectives

- Reduce recidivism and violent crime, in particular.
- Align community corrections agency practices with best and evidence-based practices to improve probationer/parolee outcomes on supervision:
 - Focus resources on individuals at high risk of recidivating and at higher risk of committing violence, including using normed and validated risk assessments to inform case management decisions.
 - Implement effective community supervision practices, including incorporating incentives and sanctions into the supervision process to encourage positive behavior changes.
 - Implement continuous quality improvement plans that measure outcomes and promote accountability.
- Develop, implement, and test innovative tools to predict violent recidivism and/or share information with criminal justice partners.
- Promote and increase collaboration among agencies and officials who work in probation, parole, pretrial, law enforcement, treatment, reentry, and related community corrections field.

Deliverables

- Action plan, including a logic model where the objectives and activities are connected to the problem the applicant seeks to address.
- Final report

The Goals, Objectives, and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed under Application and Submission Information.

Strategic Support and Assistance to Grantees Selected under this Solicitation

BJA will provide a training and technical assistance coach at no cost to the grantees awarded under this solicitation to provide strategic support and assistance during the life of this grant. The TTA coach will also work with grantees to leverage resources available through the [National Reentry Resource Center](#) (NRRC). The NRRC serves as a clearinghouse for current information related to reentry and intersecting topics.

Award Special Condition – Withholding of Funds Pending Smart Probation Action Plan

Once awarded, each grant award will have in place a special condition withholding all but \$250,000 and designating that the grantee finalize an Action Plan within 180 days of receiving final approval of the project's budget from OJP's Office of the Chief Financial Officer. The recipient will not be authorized to obligate, expend, or draw down funds in excess of \$250,000 until BJA has reviewed and approved the Action Plan and a Grant Adjustment Modification has been issued and approved to remove the special condition.

Evidence-Based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policymaking and program development in criminal justice, juvenile justice, and crime victim services. For additional information and resources on evidence-based programs or practices, see the [OJP Grant Application Resource Guide](#).

Information Regarding Potential Evaluation of Programs and Activities

OJP may conduct or support an evaluation of the programs and activities funded under this solicitation. For additional information, see the [OJP Grant Application Resource Guide](#) section entitled "Information Regarding Potential Evaluation of Programs and Activities."

OJP Priority Areas

The Department of Justice is committed to advancing work that promotes civil rights, increases access to justice, supports crime victims, protects the public from crime and evolving threats, and builds trust between law enforcement and the community. In FY 2021, OJP will give priority consideration in award decisions to applications that demonstrate ways in which their projects will advance one or more of these areas.

To receive priority consideration for advancing one or more of the Department's priorities, the applicant must provide a sufficient narrative explanation as an attachment, that specifies how the project will advance the promotion of civil rights, access to justice, support to crime victims, protecting the public from crime and evolving threats, or building trust between law enforcement and the community.

In addition, OJP will give priority consideration, if applicable, to applicants that demonstrate that the individuals who are intended to benefit from the requested grant reside in high-poverty areas or persistent-poverty counties.

To receive priority consideration under the poverty priority, the applicant must provide information to demonstrate that the individuals who are intended to benefit from the requested grant reside in high-poverty areas or persistent poverty counties. For purposes of this priority consideration, the term "high-poverty area" means any census tract with a poverty rate of at least 20 percent as measured by the 2013–2017 5-year data series available from the American Community Survey of the Census Bureau (applicants may search by census tract at <https://www.census.gov/acs/www/data/data-tables-and-tools/narrative-profiles/2017/>) and the term "persistent poverty counties" means any county that has had 20 percent or more of its population living in poverty over the past 30 years, as measured by the 1990 and 2000 decennial censuses and the most recent Small Area Income and Poverty Estimates (applicants may search by county at <https://www.census.gov/data/tables/time-series/dec/census-poverty.html> and at <https://www.census.gov/programs-surveys/saipe.html>).

Priority consideration is one of many factors that OJP considers in making funding decisions and is not a guarantee of an award.

Federal Award Information

Awards, Amounts and Durations

Anticipated Number of Awards

7

Anticipated Maximum Dollar Amount of Awards

\$715,000.00

Period of Performance Start Date

10/1/21 12:00 AM

Period of Performance Duration (Months)

36

Anticipated Total Amount to be Awarded Under Solicitation

\$5,000,000.00

Availability of Funds

This solicitation, and awards (if any are made) under this solicitation, are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by the agency or by law. In addition, nothing in this solicitation is intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity by any party against the United States, its departments, agencies, or entities, its officers, employees, or agents, or any other

person.

Types of Awards

BJA expects to make awards under this solicitation as grants. See the “Administrative, National Policy, and Other Legal Requirements” section of the [OJP Grant Application Resource Guide](#) for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants (and cooperative agreements).

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities) must, as described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.303, comply with standards for financial and program management. 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. See [OJP Grant Application Resource Guide](#) for additional information.

Budget Information

The funding during the initial 6-month period should support planning activities followed by 30 months of implementation activities. Awardees will have access to up to \$250,000 during the planning period. Implementation may begin earlier subject to approval of the Action Plan. The total budget must not exceed \$715,000.

Applicants should budget funding for three members of the project team to travel to one peer-learning event (such as a regional meeting). Estimate the costs of travel and accommodations for three staff members to attend one meeting per year in Washington, D.C. All expenses must be reasonable, allowable, and necessary to the project. The estimates must provide a breakdown of all costs and adhere to the federal per diem.

All applicants should be aware that under federal law, OJP may not award grant funds to procure or obtain any equipment, system, or service that uses “covered telecommunications equipment or services” as a substantial or essential component of any system, or as critical technology as part of any system. In general, with limited exceptions, “covered telecommunications equipment or services” includes telecommunications and video surveillance equipment or services produced by a foreign entity that is specifically designated by statute, or designated by the federal government pursuant to statute.

Applicants also should be aware that, in accordance with DOJ and OJP policy, and with few exceptions, OJP will prohibit use of award funds for unmanned aircraft systems (UAS), absent advance submission of specific documentation of protections in place for privacy, civil liberties, and public safety, and of mitigation of cybersecurity risks. In addition, OJP will bar use of award funds for the purchase or use of UAS made by certain foreign entities designated by DOJ.

Cost Sharing or Matching Requirement

This solicitation does not require a match.

Pre-agreement Costs (also known as Pre-award Costs)

See the [OJP Grant Application Resource Guide](#) information on Pre-agreement Costs (also known as Pre-award Costs).

Limitation on Use of Award Funds for Employee Compensation: Waiver

See the [OJP Grant Application Resource Guide](#) information on Limitation on Use of Award Funds for Employee Compensation; Waiver.

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

See the [OJP Grant Application Resource Guide](#) for information on Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs.

Costs Associated with Language Assistance (if applicable)

See the [OJP Grant Application Resource Guide](#) for information on Costs Associated with Language Assistance.

Eligibility Information

- State governments
- City or township governments
- County governments
- Native American tribal governments (Federally recognized)

Application and Submission Information

The following application elements **MUST** be included in the application submission for an application to meet the basic minimum requirements (BMR) to advance to peer review and receive consideration for funding:

- Proposal Abstract,
- Proposal Narrative,
- Budget Worksheet and Budget Narrative (web-based form)
- Letter of Support from the Community Corrections Agency (if not the lead agency)
- Assurance to Collect and Submit Recidivism Indicator Data

See the “Application Elements and Formatting Instructions” section of the [OJP Grant Application Resource Guide](#) for information on what happens to an application that does not contain all the specified elements or that is nonresponsive to the scope of the solicitation.

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

The SF-424 will be submitted in Grants.gov. The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. See the [OJP Grant Application Resource Guide](#) for additional information on completing the SF-424.

In Section F of the SF-424, please include the name and contact information of the individual who will complete application materials in JustGrants. JustGrants will use this information (*email address*) to assign the application to this user in JustGrants.

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.”)

Standard Applicant Information (JustGrants 424 and General Agency Information)

The Standard Applicant Information section of the JustGrants application is pre-populated with the SF-424 data submitted in Grants.gov. Applicants will need to review the Standard Applicant Information in JustGrants and make edits as needed. Within this section, applicants will need to: add zip codes for areas affected by the project; confirm their Authorized Representative; and verify the organization’s legal name and address.

Proposal Abstract

A proposal abstract (no more than 400 words) summarizing the proposed project including primary activities, products and deliverables, the service area, and who will benefit from the proposed project, will be completed in the JustGrants Web-based form.

Proposal Narrative

The proposal narrative should be submitted as an attachment in JustGrants. The attached document should be double-spaced, using a standard 12-point Times New Roman font; have no less than 1-inch margins; and should not exceed 10 pages. Pages should be numbered and submitted as an attachment. If the proposal narrative fails to comply with these length restrictions, BJA may negatively consider such noncompliance in peer review and in final award decisions.

The following sections must be included as part of the proposal narrative:

a. Description of the Issue

Describe why this project/these proposed activities are necessary (significance/value) and/or address a need, and include supporting information.

b. Project Design and Implementation

Describe the strategy to address the needs identified in the Description of the Issue. List the proposed program activities and describe how they relate to the stated objectives. Activities are the specific actions to be undertaken to fulfill the program objectives and reach the program goal(s). Provide a detailed description of the method(s) to be used to carry out each activity. Provide a timetable indicating roughly when activities or program milestones are to be accomplished.

c. Capabilities and Competencies

Describe the capabilities and competencies to accomplish the goals and objectives of the project.

d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures

Describe the process for measuring project performance. Identify who will collect the data; who is responsible for performance measurements; and how the information will be used to guide and evaluate the impact of the project. Describe the process to accurately report data.

Note: applicants are **not** required to submit performance data with the application. Rather, performance measures

information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award. The performance data directly relate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables."

Applicants can also visit OJP's performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

Award recipients will be required to submit performance measure data in the Performance Measurement Tool (PMT) and/or JustGrants. Examples of the performance measures questionnaire can be found at <https://bjapmt.ojp.gov/help/SSPMeasures.pdf>. Further guidance on the post-award submission process will be provided, if selected for award.

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations must follow the guidance under "Note on Project Evaluations" in the [OJP Grant Application Resource Guide](#).

Goals, Objectives, Deliverables, and Timeline

Applicants will submit the Smart Probation: Innovation in Supervision goals, objectives, deliverables, and timelines in the JustGrants Web-based form. See the [OJP Grant Application Resource Guide](#) for additional information.

Budget and Associated Documentation

- The funding during the initial 6-month period should support planning activities followed by 30 months of implementation activities. Implementation may begin earlier subject to approval of the Action Plan.
- Applicants should budget funding for three members of the project team to travel to a peer-learning event (such as a regional meeting). Estimate the costs of travel and accommodations for three staff members to attend one meeting per year in Washington, D.C. All expenses must be reasonable, allowable, and necessary to the project. The estimates must provide a breakdown of all costs and adhere to the federal per diem.

Budget Worksheet and Budget Narrative (Web-based Form)

Applicants will complete the JustGrants web-based budget form. See the [OJP Grant Application Resource Guide](#) for additional information.

Indirect Cost Rate Agreement (if applicable)

Applicants will submit their indirect cost rate agreement by uploading the agreement as an attachment in JustGrants. See the [OJP Grant Application Resource Guide](#) for additional information.

Financial Management Questionnaire (including applicant disclosure of high-risk status)

Applicants will download the questionnaire in JustGrants and submit by uploading the completed questionnaire as an attachment in JustGrants. See the [OJP Grant Application Resource Guide](#) for additional information.

Additional Application Components

Applicants will attach the additional requested documentation in JustGrants.

Tribal Authorizing Resolution

If applicable, applicants will submit the Tribal Authorizing Resolution by uploading the resolution as an attachment in JustGrants. An application in response to this solicitation may require inclusion of information related to a tribal authorizing resolution as an attachment. See the [OJP Grant Application Resource Guide](#) for information on tribal authorizing resolutions.

Timeline Form

Provide a timetable indicating roughly when key activities or program milestones are to be accomplished, in support of the Project Design and Implementation. Applicants will submit the timeline by uploading the document as an attachment in JustGrants.

Letters of Support

Letter of Support from Community Supervision Agency: If the community supervision agency is not the lead applicant, include a letter of support from its leadership demonstrating commitment to the project. Applicants will submit the letter by uploading the document as an attachment in JustGrants.

Letter of Support from Key Partners: Include a letter of support from key partners detailing their commitment to work with

the applicant to promote the mission of the project. Applicants will submit the letter by uploading the document as an attachment in JustGrants.

Research and Evaluation Independence and Integrity Statement

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. Applicants will submit a description of their research and evaluation independence and integrity by uploading the document as an attachment in JustGrants. For additional information regarding demonstrating research/evaluation independence and integrity, including appropriate safeguards, see the [OJP Grant Application Resource Guide](#).

Documentation of Advancing DOJ Priorities (if applicable)

As is mentioned above, OJP will give priority consideration in award decisions to applications that specify how the project will advance one or more of the following DOJ priorities: the promotion of civil rights, access to justice, support to crime victims, protecting the public from crime and evolving threats, or building trust between law enforcement and the community. Applicants will submit the narrative by uploading the document as an attachment in JustGrants.

Documentation of High-Poverty Areas or Persistent-Poverty Counties (if applicable)

OJP will give priority consideration in award decisions to applications that demonstrate that the individuals who will benefit from the requested grant reside in high-poverty areas or persistent-poverty counties as defined above. Each applicant proposing to receive consideration under the High-Poverty Areas or Persistent-Poverty Counties priority must provide a sufficient narrative explanation to identify each specific High-Poverty Area (by census tract number(s)) and/or each specific Persistent-Poverty County where individuals are intended to benefit from the requested grant and how the requested grant will address specific challenges in each such identified area and/or county. Applicants will submit the narrative by uploading the document as an attachment in JustGrants.

Documentation of Proposed Subrecipients

Complete chart in the Appendix to indicate proposed subrecipients of Smart Probation funding, including the name, organizational affiliation, and city and state of the proposed subrecipient entity. Applicants will submit Appendix A by uploading the document as an attachment in JustGrants.

Assurance to Collect and Submit Recidivism Indicator Data

Complete chart in the Appendix to provide assurance, signed by the applicant organization's chief executive, that all participant recidivism indicator data will be collected and submitted at the end of the grant period. Applications that do not include this assurance will not be considered. Inability or refusal to submit data after award may impact a grantee's ability to receive future BJA competitive grant funding. Applicants will submit Appendix B by uploading the document as an attachment in JustGrants.

Disclosures and Assurances

Applicants will complete the following disclosures and assurances.

Disclosure of Lobbying Activities

Applicants will complete and submit the SF-LLL in Grants.gov. See the [OJP Grant Application Resource Guide](#) for additional information.

DOJ Certified Standard Assurances

See the DOJ Certified Standard Assurances in the [OJP Grant Application Resource Guide](#).

Applicant Disclosure of Duplication in Cost Items

Applicants will complete the JustGrants web-based Applicant Disclosure of Duplication in Cost Items form. See the [OJP Grant Application Resource Guide](#) for additional information.

DOJ Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants will review and accept the DOJ Certified Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements. See [OJP Grant Application Resource Guide](#).

How to Apply

Applicants will submit an **SF-424** and an **SF-LLL** in Grants.gov at <https://www.grants.gov/web/grants/register.html>.

Applicants will submit the **full application** including attachments in JustGrants at JustGrants.usdoj.gov.

For additional information, see the “How to Apply” section in the [OJP Grant Application Resource Guide](#).

Submission Dates and Time

The **SF-424** and the **SF-LLL** will be submitted in Grants.gov by June 15, 2021 at 11:59PM EST. 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.

The **full application** will be submitted in JustGrants by June 29, 2021 at 11:59PM EST.

To be considered timely, the full application must be submitted in JustGrants by the JustGrants application deadline.

Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers. Applications will be evaluated on how the proposed project/program addresses the following criteria:

1. Description of the Issue (25%) - evaluate the applicant’s understanding of the program/issue to be addressed.
2. Project Design and Implementation (30%) - evaluate the adequacy of the proposal, including the goals, objectives, timelines, milestones, and deliverables.
3. Capabilities and Competencies (20%) - evaluate administrative and technical capacity of the applicant to successfully accomplish the goals and objectives.
4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5%) - evaluate the applicant's understanding of the performance data reporting requirements and the plan for collecting the required data.
5. Budget (10%) - evaluate for completeness, cost effectiveness, and allowability (e.g., reasonable, allocable, and necessary for project activities).
6. Impact/Outcomes, Evaluation, Sustainability (10%) - evaluate understanding of, and aplan to utilize, data to assist with analyzing the problem, implementing effective solutions, and drawing conclusions about the effectiveness of the project.

b. Additional Review Criteria

Other important considerations for BJA include geographic diversity, strategic priorities (specifically including, but not limited to, those mentioned above relating to addressing specific challenges that rural communities face, high-poverty areas or persistent-poverty counties, demonstrable potential enhancement to public safety in one or more federally designated Qualified Opportunity Zones), available funding, past performance, and the extent to which the Budget Worksheet and Budget Narrative (Web-based Form) accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Review Process

Applications submitted under this solicitation that meet basic minimum requirements, will be evaluated for technical merit by a peer review panel(s) in accordance with OJP peer review policy and procedures using the stated review criteria above.

OJP screens applications to ensure they meet the basic minimum requirements prior to conducting peer review. 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 necessary to meet the basic minimum requirements.

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 \$250,000 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, 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.

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.

Federal Award Administration Information

Federal Award Notices

See the [OJP Grant Application Resource Guide](#) for information on award notifications and instructions.

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, and all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance).

For additional information on these legal requirements, see the “Administrative, National Policy, and Other Legal Requirements” section in the [OJP Grant Application Resource Guide](#).

Information Technology (IT) Security Clauses

An application in response to this solicitation may require inclusion of information related to information technology security. See the [OJP Grant Application Resource Guide](#) for information on information technology security.

General Information about Post-Federal Award Reporting Requirements

In addition to the deliverables described in the Program Description section, any recipient of an award under this solicitation will be required to submit certain reports and data.

Required reports. Recipients typically must submit quarterly financial reports, quarterly 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.)

See the [OJP Grant Application Resource Guide](#) for additional information on specific post-award reporting requirements, including performance measures data.

Federal Awarding Agency Contact(s)

For OJP contact(s), see solicitation cover page.

For contact information for Grants.gov and JustGrants, see solicitation cover page.

Other Information

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

See the [OJP Grant Application Resource Guide](#) for information on Freedom of Information and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a).

Provide Feedback to OJP

See the [OJP Grant Application Resource Guide](#) for information on how to provide feedback to OJP.

Application Checklist

Smart Probation: Innovations in Supervision Initiative

This application checklist has been created as an aid in developing an application. The [DOJ Application Submission Checklist](#) is another resource.

What an Applicant Must Do:

Prior to Registering in [Grants.gov](#):

Acquire a DUNS Number (see [OJP Grant Application Resource Guide](#))

Acquire or renew registration with SAM (see [OJP Grant Application Resource Guide](#))

To Register with [Grants.gov](#):

Acquire AOR and [Grants.gov](#) username/password (see [OJP Grant Application Resource Guide](#))

Acquire AOR confirmation from the E-Biz POC (see [OJP Grant Application Resource Guide](#))

To Find Funding Opportunity:

Search for the Funding Opportunity on [Grants.gov](#)

Access Funding Opportunity and Application Package (see [OJP Grant Application Resource Guide](#))

Sign up for [Grants.gov](#) email notifications (optional) (see [OJP Grant Application Resource Guide](#))

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

Read OJP policy and guidance on conference approval, planning, reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see [OJP Grant Application Resource Guide](#))

Overview of Post-Award Legal Requirements:

Review the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2021 Awards](#)” in the [OJP Funding Resource Center](#).

Scope Requirement:

The federal amount requested is within the allowable limit(s) of \$715,000.

Eligibility Requirement:

- State governments
- City or township governments
- County governments
- Native American tribal governments (federally recognized)

Submit **SF-424** and **SF-LLL** in [Grants.gov](#)
After SF-424 and SF-LLL Submission in [Grants.gov](#), Receive [Grants.gov](#) Email Notifications That:

Submission has been received in [Grants.gov](#)

Submission has either been successfully validated or rejected with errors (see [OJP Grant Application Resource Guide](#))

If no [Grants.gov](#) Receipt, and Validation or Error Notifications are Received:

Contact the Response Center by telephone at 800–851–3420 or TTY: 301–240–6310 (hearing impaired only) or by email at grants@ncjrs.gov. Response Center hours of operation are 10 a.m. to 6 p.m. eastern time Monday through Friday, and 10 a.m. to 8 p.m. eastern time on the solicitation close date.

Complete Application Sections Listed Below in JustGrants:

Receive email notification to complete application in JustGrants.
Assign an Authorized Representative to the Entity.

Content of Application Submission:

The following items are critical application elements required to pass Basic Minimum Requirements review. An application that OJP determines does not include the application elements that must be included in the application submission in order for the application to meet the basic minimum requirements, will neither proceed to peer review, nor receive further consideration.

- **Project Abstract**
- **Project Narrative**
- **Budget Worksheet and Budget Narrative (Web-based Form)**
- **Letter of Support from Community Corrections Agency (if not lead applicant) Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data**

Application for Federal Assistance (SF-424)

Budget and Associated Documentation

Budget Worksheet and Budget Narrative (Web-based form)

Indirect Cost Rate Agreement (if applicable) (see [OJP Grant Application Resource Guide](#))

Financial Management and System of Internal Controls Questionnaire (see [OJP Grant Application Resource Guide](#))

Disclosure of Process related to Executive Compensation

Additional Application Components

Tribal Authorizing Resolution (if applicable) [insert if applicable] (see [OJP Grant Application Resource Guide](#))

Research and Evaluation Independence and Integrity [insert if listed in the solicitation] (see [OJP Grant Application Resource Guide](#))

Documentation of Advancing DOJ Priorities (if applicable)

Documentation of high-poverty or persistent poverty counties (if applicable)

Timeline/Project Plan

Letter of Support from Community Supervision Agency Letter of Support from Key Partners

Documentation of Proposed Subrecipients

Assurance to Collect and Submit Recidivism Indicator Data

Disclosures and Assurances

[Disclosure of Lobbying Activities \(SF-LLL\)](#) (see [OJP Grant Application Resource Guide](#))

Applicant Disclosure of Duplication in Cost Items (Pending Applications) (see [OJP Grant Application Resource Guide](#))

DOJ Certified Standard Assurance (see [OJP Grant Application Resource Guide](#))

DOJ Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (see [OJP Grant Application Resource Guide](#))

Applicant Disclosure and Justification - DOJ High Risk Grantees (if applicable) (see [OJP Grant Application Resource Guide](#))

Submit Application in JustGrants:

Application has been successfully submitted in JustGrants

If no JustGrants Application Submission, Validation, or Error Notifications are Received:

Contact JustGrants.Support@usdoj.gov or 833-872-5175 regarding technical difficulties

Applicant Disclosure of Proposed Subrecipients

Complete the table below to indicate proposed subrecipients of grant funding, including the name, organizational affiliation, and city and state of the proposed subrecipient entity. Add rows or submit multiple forms, if needed.

| Subrecipient Name (Last, First) | Subrecipient Organization | Subrecipient Location (City, State) |
|------------------------------------|---------------------------|-------------------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

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

Signature _____

Title _____

Date _____