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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications from states, localities, and tribes who are interested in implementing or enhancing a Swift and Certain Sanctions (SAC) program model. This program furthers the Department's mission by providing resources for state, local, and tribal governments to establish or enhance programming focused on modifying and reducing criminal behavior and enhancing public safety.

## **Swift and Certain Sanctions (SAC)/ Replicating the Concepts Behind Project HOPE FY 2014 Competitive Grant Announcement**

### **Eligibility**

Applicants are limited to states, units of local government, territories, and federally recognized Indian tribes (as determined by the Secretary of the Interior).

BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 25.) All applications are due by 11:59 p.m. eastern time on June 3, 2014. (See "Deadlines: Registration and Application," page 4.)

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

### **Contact Information**

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact

identified below **within 24 hours after the application deadline** and request approval to submit their application.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center at 1-877-927-5657, via e-mail at [JIC@telesishq.com](mailto:JIC@telesishq.com) or via live web chat at [www.justiceinformationcenter.us](http://www.justiceinformationcenter.us). The BJA Justice Information Center hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this announcement: BJA-2014-3896

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# **Swift and Certain Sanctions (SAC)/ Replicating the Concepts Behind Project HOPE (CFDA #s 16.828 and 16.812)**

## **Overview**

There are a multiple states, counties, cities, and tribes that are interested in implementing “Swift and Certain” (SAC) models of supervision with offenders in the community. This interest has grown out of the potential promise that these SAC models have shown in effectively reducing recidivism and preventing crime. In particular, Hawaii’s Opportunity Probation with Enforcement (HOPE) program has been shown to have promise, and as a result there is significant interest and activity in implementing models of supervision, and other versions of the HOPE model which rely on swift and certain sanctions.

SAC approaches are intended to: (a) improve supervision strategies that reduce recidivism; (b) promote and increase collaboration among agencies and officials who work in community corrections and related fields; (c) enhance the offenders’ perception that the supervision decisions are fair, consistently applied and consequences are transparent; and (d) improve the outcomes of individuals participating in these initiatives. Through this FY 2014 grant announcement, BJA will select multiple applicants to implement or enhance a HOPE model using SAC. Applicants selected under this announcement will work with BJA and its SAC training and technical assistance (TTA) partner to implement the model with fidelity.

BJA is supporting this effort to enhance public safety, foster collaboration, and to improve the outcomes of individuals under the supervision of community corrections. This program is funded under the Project HOPE appropriation (P.L. 113-46) and the Second Chance Act (P.L. 110-199).

## **Deadlines: Registration and Application**

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern standard time on June 3, 2014. See “How to Apply” on page 25 for details.

## **Eligibility**

Refer to the title page for eligibility under this program.

## **Program-Specific Information**

Hawaii’s HOPE program, which started in 2004, was one of the first successful large-scale implementations of swift-and-certain sanctions in a criminal justice setting. The HOPE model was designed by Judge Steven Alm in response to what he considered to be a failure of the status quo to effectively change the behavior of their primarily methamphetamine-using, moderate to high risk probationers. Compared to its predecessors, the HOPE program dramatically improved the swiftness and certainty of sanctions deliverable by the Hawaii criminal

justice system by adding regular random drug tests; delivering sanctions within days of the detected violation; and imposing short-term jail stays as sanctions (sometimes as short as 3 days).

By addressing every violation of program participants and responding quickly, HOPE sent a consistent message to probationers about personal responsibility and accountability. The program reflected the research about deterrence that certain punishment for a probation violation will influence future offending behavior. It also increased the likelihood of compliance by imposing consequences that are relative to the offense and consistently applied. The program's success depended on streamlined judicial processes and careful coordination and collaboration between the courts, probation, law enforcement, and treatment providers. The program minimized delays within the court system by expediting the reporting of dirty tests, the scheduling of court hearings, and the issuance of bench warrants to absconders. In addition, cooperation with law enforcement agencies ensured that bench warrants were prioritized and served within days.

The outcomes of a 2009 evaluation of Hawaii HOPE (Hawken and Kleiman, 2009) showed that close monitoring of probation conditions—coupled with swift and certain responses to detect violations—improved compliance with terms of probation and enhanced desistance from drug use. Specifically, about half of the HOPE probationers never tested positive after their initial warning hearing (and didn't require a sanction). Furthermore, when compared to the control group after one-year, HOPE probationers were:

- 55 percent less likely to be arrested for a new crime
- 72 percent less likely to use drugs
- 61 percent less likely to skip appointments with their supervisory officer
- 53 percent less likely to have their probation revoked

As a result, HOPE probationers served 48 percent fewer days in prison, on average, than the control group (Hawken & Kleiman, 2009).

Other initiatives using a HOPE SAC model that have shown promise include Texas SWIFT, the 24/7 Sobriety project in South Dakota, and PACE in Alaska. The Texas SWIFT (Supervision with Intensive Enforcement) program, which also focuses on probationers, uses progressive sanctions including a court admonishment, community service hours, increased reporting requirements, additional fines, and jail time. The evaluation of SWIFT showed that compared to a matched comparison group, subjects in SWIFT were significantly less likely to violate the terms of their probation, were half as likely to be revoked, and were half as likely to be convicted for new crimes (Snell, 2007).

The 24/7 Sobriety project, initiated in South Dakota in 2005, was created in reaction to the state having the highest rates of drunken driving and roadside fatalities in the United States. 24/7 Sobriety requires individuals arrested for or convicted of alcohol-involved offenses to submit to breathalyzer tests twice per day or wear an alcohol monitoring bracelet at all times. Positive tests result in swift and certain, though modest, penalties, such as a day or two in jail. The approach was based on the idea that the certainty and rapidity, rather than the severity, of the punishment would more effectively deter problem drinking. A study by Kilmer et al. (2013) found strong support for the hypothesis that frequent alcohol testing with swift, certain, and modest sanctions could reduce problem drinking and improve public health outcomes.

In 2010, Alaska implemented the PACE program, based on HOPE's critical elements. . The PACE program carried forth HOPE's core features: warning hearings, frequent drug tests, a streamlined judicial process, and swift and certain sanctions for probationers who failed their random drug tests. Preliminary results from the experimental design suggested reductions in positive drug tests (Carns & Martin, 2011). Failed drug test rates dropped from 25 percent during the 3 months prior to enrollment to 9 percent in the 3 months following enrollment. In the same period of comparison, the portion of participants with any failed or missed tests dropped from 68 percent to only 20 percent (Carns and Martin, 2011).

Finally, in 2013, Grommon et al. conducted a randomized control trial to study the relapse and recidivism outcomes of parolees who were frequently and randomly drug tested with consequences for use. The authors sample consisted of 529 offenders released on parole in a large urban county within a Midwestern industrialized state. Grommon et al. (2013) found that frequent monitoring of drug use with randomized testing protocols, immediate feedback, and certain consequences was effective in lowering rates of relapse and recidivism. These findings lend support to the use of randomized testing with swift and certain sanctions with parolees.

Given this growing body of research and practice reinforcing the potential of approaches that employ the SAC concepts, BJA is issuing this solicitation to work with jurisdictions interested in developing or enhancing their SAC efforts.

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

The goals of this program are to develop and enhance SAC initiatives and implement the SAC model with fidelity, resulting in reduced recidivism and better outcomes for program participants. The objectives of this SAC program are to:

- Improve supervision strategies that will reduce recidivism, including improvement in criminal thinking.
- Increase the number of supervision decisions that are fair, consistently applied, and consequences are transparent.
- Promote and increase collaboration among agencies and officials who work in probation, parole, pretrial, law enforcement, treatment, reentry, and related community corrections fields.
- Develop and implement strategies for the identification, targeting, supervision, and treatment of "high-risk/high-needs" offenders who are being supervised in the community.
- Increase the number of participants in the program who believe that the supervision decisions are fair, consistently applied, and consequences are transparent.
- Demonstrate the use and efficacy of SAC practices and principles to improve the delivery of supervision strategies and practices.

### **Mandatory Project Components**

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

- Demonstrate a commitment to the proposed initiative, from the following:
  - Chief judge;
  - Court administrative staff;
  - Community corrections leadership and officers;
  - Law enforcement; and
  - Other essential partners, consistent with the proposed application and circumstances of the applicant's jurisdiction.
- Clearly demonstrate an understanding of the Swift and Certain sanction initiative that is being submitted for consideration.
- Clearly demonstrate that the applicant and its partners have the authority to implement the required elements of the model, including decision-making about the terms of supervision ; capacity to assess and effectively target moderate to high risk offenders; capacity to issue and serve warrants quickly; drug testing capacity; and access to jails beds, treatment, and other services as needed.

### **Onsite Project Coordinator**

Each site must hire or assign a full-time onsite Project Coordinator to manage the day-to-day operations of the SAC initiative. The Project Coordinator should be housed in the community corrections office. This person should have experience working in the field of criminal justice and have proven capacity to work effectively with the key SAC Team members, including the judge, court staff, community corrections, law enforcement, and other partners, where applicable. The Project Coordinator will work closely with the SAC TTA provider to:

- Build the infrastructure, including policies and procedures, to implement the SAC model.
- Monitor the implementation of the SAC model.
- Identify the TTA needs of SAC team members.
- Continually assess fidelity to the SAC model.
- Facilitate communication and logistics within the site's SAC team members.
- Identify, collect, and analyze SAC administrative data.
- Respond to requests for data, reports, and information about the SAC initiative.
- Ensure that the SAC team meets regularly so all the members remain informed of the project's status and developments.

### **Training and Technical Assistance**

Under BJA's "FY 2014 Swift and Certain Sanctions (SAC) Training and Technical Assistance Resource Center Program Competitive Grant Announcement," a team of experts will be selected to provide TTA resources to support the SAC initiatives funded under this solicitation. The SAC TTA provider will also help each site:

- Understand the importance of each component of a SAC model.
- Develop focused strategies.
- Implement the SAC initiative with fidelity.
- Develop a plan to assess and monitor fidelity.
- Provide coaching for jurisdictions to enhance program fidelity.
- Understand adaptation and prevent program "drift."
- Collect, analyze, interpret, and disseminate data on program outcomes.
- Measure implementation and outcomes.
- Encourage collaboration.

### **Allowable Uses for Award Funds**

Allowable uses for award funds can include the following activities to help state, local, and tribal agencies develop or improve their SAC programs:

- Support the Project Coordinator position.
- Overtime for:
  - Court staff to complete paperwork
  - Community corrections staff to expedite bench warrant service
  - Community corrections officers and/or law enforcement officers to apprehend absconders
- The development, implementation, and maintenance of a color code hotline.
- The development of a robust, onsite, rapid drug-screening process.
- Costs for onsite urine analysis testing.
- Costs for offsite urine analysis testing.
- Additional BJA-approved contracted jail space, if needed.
- Travel costs for SAC Team members to attend BJA-approved SAC trainings, project meetings, and peer-to-peer meetings (provide an estimate based on a 4-person team, spending 2 days in Washington, DC).
- Other BJA-approved SAC project costs.

**Applicants can obtain more information on some of the SAC initiatives from the following resources:**

HOPE - Hawaii's Opportunity Probation with Enforcement Program web site:

<http://hopehawaii.net/>

Example of a Warning Hearing:

[www.ojp.usdoj.gov/nij/topics/corrections/community/drug-offenders/229023-appendix-2-example-warning-hearing.pdf](http://www.ojp.usdoj.gov/nij/topics/corrections/community/drug-offenders/229023-appendix-2-example-warning-hearing.pdf)

HOPE: Theoretical Underpinnings and Evaluation Findings:

[www.crimevictimsunited.org/issues/treatment/hope/hawken090410.pdf](http://www.crimevictimsunited.org/issues/treatment/hope/hawken090410.pdf)

South Dakota's 24/7 Sobriety Project:

<http://druggeddriving.org/pdfs/MtPlainsEvaluation247.pdf>

[www.rand.org/content/dam/rand/pubs/research\\_briefs/2012/RAND\\_RB9692.pdf](http://www.rand.org/content/dam/rand/pubs/research_briefs/2012/RAND_RB9692.pdf)

[www.rand.org/pubs/external\\_publications/EP51155.html](http://www.rand.org/pubs/external_publications/EP51155.html)

Anchorage PACE: Probation Accountability with Certain Enforcement:

[www.ajc.state.ak.us/reports/pace2011.pdf](http://www.ajc.state.ak.us/reports/pace2011.pdf)

[http://justice.uaa.alaska.edu/forum/28/2-3summerfall2011/c\\_pace.html](http://justice.uaa.alaska.edu/forum/28/2-3summerfall2011/c_pace.html)

Washington Intensive Supervision Program (WISP):

[www.seattle.gov/council/burgess/attachments/2011wisp\\_draft\\_report.pdf](http://www.seattle.gov/council/burgess/attachments/2011wisp_draft_report.pdf)

## **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; and
- 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. OJP's [CrimeSolutions.gov](http://www.crimesolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## **Amount and Length of Awards**

BJA will provide selected applicants with up to \$300,000 for a 12-18 month project period. Future funding may be available to support this project, contingent upon successful performance during the initial phase of the project.

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

## **Budget Information**

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

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

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

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2014 salary table for SES employees is available at [www.opm.gov/salary-tables](http://www.opm.gov/salary-tables). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

Compensation Waiver request must be submitted as a separate attachment and entitled "Waiver: Employee Compensation."

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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

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

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

## Match Requirement

A match is required for all applications. A grant made under this program may not cover more than 50 percent of the total costs of the project being funded. The applicant must identify the source of the 50 percent non-federal portion of the budget and how match funds will be used. The recipient of a grant can provide the match of the total project costs in a cash match, or by making in-kind contributions of goods or services (including treatment services) that are directly related to the purpose for which the grant was awarded. Federal funds received and cash match provided by the grantee shall be used to supplement, not supplant, non-federal funds that would otherwise be available for the activities funded under this section.

Once incorporated into the OJP-approved budget, the match becomes mandatory and subject to audit. Further, if a successful applicant's proposed match exceeds the required match amount, the match amount that is incorporated into its OJP approved budget is mandatory and subject to audit.

## Match Waiver:

The Director of BJA may waive the match requirement upon a determination of fiscal hardship. To be considered for a waiver of match, a letter of request signed by the Authorized Representative must be submitted with the application defining the fiscal hardship. Fiscal hardship may be defined in terms related to reductions in overall correctional budgets, furloughing or reductions in force of correctional staff or other similar documented actions which have resulted in severe budget reductions.

A waiver request will not be accepted if it is not submitted with the application. The match waiver request must be submitted as a separate attachment and titled as the "Match Waiver."

The formula for calculating match is:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

$$\text{Required Recipient's Share Percentage} \times \text{Adjusted Project Cost} = \text{Required Match}$$

**Example:** For a federal award amount of \$750,000, match would be calculated as follows:

$$\frac{\$750,000}{50\%} = \$1,500,000 \quad 50\% \times \$1,500,000 = \$750,000 \text{ match}$$

For more information on matching or cost sharing requirements, go to the OJP Financial Guide, Chapter III: [www.ojp.usdoj.gov/financialguide/PDFs/OCFO\\_2013Financial\\_Guide.pdf](http://www.ojp.usdoj.gov/financialguide/PDFs/OCFO_2013Financial_Guide.pdf)

## Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
<p>Improve supervision strategies that will reduce recidivism including improvement in criminal thinking</p>	<p>Number of new SAC supervision strategies implemented</p> <p>Number of existing supervision strategies modified</p> <p>Percent reduction in recidivism rates for the SAC initiative participating in the new/revised SAC supervision strategy</p>	<p>During the reporting period:</p> <ul style="list-style-type: none"> <li>• Number of new SAC supervision strategies implemented</li> <li>• Number of supervision strategies modified</li> </ul> <p>A. Number of participants in the SAC initiative</p> <p>B. Number of SAC initiative participants who recidivate</p>
<p>Promote and increase collaboration among agencies and officials who work in probation, parole pretrial, law enforcement, treatment, reentry, and related community corrections fields</p>	<p>Number of agencies participating in SAC initiative</p> <p>Number of partnerships established with other criminal justice agencies</p> <p>Percent of agencies/organizations who commit participation formally through a Memorandum of Understanding</p>	<p>During the reporting period:</p> <ul style="list-style-type: none"> <li>• Number of agencies participating in the SAC initiative</li> <li>• Types of agencies participating in the SAC initiative</li> <li>• Number of partnerships established with other criminal justice agencies</li> </ul> <p>A. Number of agencies/organizations participating in the SAC initiative</p> <p>B. Number of new formal agreements/partnerships (e.g. MOUs) established with other criminal justice agencies</p>
<p>Develop and implement strategies for the identification, targeting, supervision, and treatment of “high-risk/high-needs” offenders that are being supervised in the community</p>	<p>Percent of new participants selected and/or assigned to participate in the SAC initiative</p> <p>Recidivism rate for SAC initiative participants</p> <p>Percent increase in the number of SAC initiative participants screened</p>	<p>During the reporting period:</p> <p>A. Number of <u>new</u> participants selected and/or assigned to participate in the SAC initiative</p> <p>B. Total number of participants in the SAC initiative</p> <p>A. Number of participants in the SAC initiative</p> <p>B. Number of participants who were rearrested while participating in the SAC initiative</p> <p>C. Number of participants who were convicted while participating in the SAC initiative</p> <p>D. Number of participants who had a revocation of the terms of supervised release while participating in the SAC initiative</p> <p>E. Number of participants who were reincarcerated while participating in the SAC initiative</p> <p>A. Number of supervised SAC initiative participants screened utilizing risk</p>

	<p>utilizing a risk and needs assessment(s) tools</p> <p>Percentage of SAC initiative participants (by risk type) who recidivate</p> <p>Percentage of SAC initiative participants (by risk type) who violate conditions of supervised release</p>	<p>and needs assessment tool six months prior to grant funding</p> <p>B. Number of supervised SAC initiative participants screened utilizing risk and needs assessment tool during current reporting period</p> <p>C. Name of risk and needs assessment instrument(s) used</p> <p>A. Number of SAC initiative participants</p> <p>B. Number of SAC initiative participants assessed as high risk</p> <p>C. Number of SAC initiative participants assessed as moderate risk</p> <p>D. Number of SAC initiative participants assessed as low risk</p> <p>E. Number of SAC initiative participants (by risk type) who recidivate</p> <p>F. Number of SAC initiative participants (by risk type) who violate conditions of supervised release</p>
<p>Demonstrate the use and efficacy of SAC practice and principles to improve the delivery of supervision strategies and practices.</p>	<p>For SAC initiative participants who violate conditions of supervised release, the percent decrease in the average wait time for face-to-face contact between judge, supervising officer, or other team member</p>	<p>During the reporting period: Number of face-to-face contacts between judge, supervising officer, or other team member and SAC initiative participants by type:</p> <p>A. Regular meetings with supervising officer</p> <p>B. Warning hearings</p> <p>C. Violation hearings</p> <p>D. Other contacts (please explain)</p> <p>E. For SAC initiative participant who violate conditions of supervised release, the time elapsed between violation of conditions of supervised release and face-to-face contact between judge, supervising officer, or other team member <u>prior to</u> the implementation of the SAC initiative (establish baseline)</p> <p>F. For SAC initiative participant who violate conditions of supervised release, the time elapsed between violation of conditions of supervised release and face-to-face contact</p>

	<p>Average number of days between a violation of conditions of supervised release and the administration of a sanction</p> <p>Percent decrease in the average number of days between a violation of conditions of supervised release and the administration of a sanction</p> <p>Percentage of positive substance (drug and/or alcohol) tests</p> <p>Number of SAC initiative participants who received sanctions</p> <p>Number of SAC initiative participants who received incentives</p> <p>Percentage of SAC initiative participants referred to in-patient treatment services</p> <p>Percentage of SAC initiative participants referred for in-patient services (by type) that receive those services</p>	<p>between judge, supervising officer, or other team member during the <u>previous</u> reporting period</p> <p>G. For SAC initiative participant who violate conditions of supervised release, the time elapsed between violation of conditions of supervised release and face-to-face contact between judge, supervising officer, or other team member during the <u>current</u> reporting period</p> <ul style="list-style-type: none"> <li>• Average number of days between a violation of conditions of supervised release and the administration of a sanction</li> </ul> <p>A. Average number of days between a violation of conditions of supervised release and the administration of a sanction <u>prior to</u> the implementation of the SAC initiative (establish baseline)</p> <p>B. Average number of days between a violation of conditions of supervised release and the administration of a sanction during the <u>previous</u> reporting period</p> <p>C. Average number of days between a violation of conditions of supervised release and the administration of a sanction during the <u>current</u> reporting period</p> <p>A. Number of random substance tests administered</p> <p>B. Of these, number of tests that were positive</p> <p>A. Number of SAC initiative participants who received sanctions</p> <p>B. Types of sanctions used</p> <p>A. Number of SAC initiative participants who received incentives</p> <p>B. Types of incentives used</p> <p>Number of SAC initiative participants referred to in-patient services by type:</p> <p>A. Number of SAC initiative participants</p> <p>B. Mental health treatment services</p>
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	<p>Percentage of SAC initiative participants referred to out-patient treatment services</p> <p>Percentage of SAC initiative participants referred for out-patient services (by type) that receive those services</p>	<p>C. Alcohol and other drug treatment services</p> <p>D. Co-occurring disorders treatment services</p> <p>E. Employment services</p> <p>F. Education services</p> <p>G. Housing services</p> <p>Number of SAC initiative participants referred to out-patient services by type:</p> <p>A. Number of SAC initiative participants</p> <p>B. Mental health treatment services</p> <p>C. Alcohol and other drug treatment services</p> <p>D. Co-occurring disorders treatment services</p> <p>E. Employment services</p> <p>F. Education services</p> <p>G. Housing services</p>
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OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page 16 for additional information.

**Note on Project Evaluations**

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” Web page

([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that web page.

## What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet, and Budget Narrative. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP’s Grants Management System (GMS) take information from the applicant’s profile to populate the fields on this form. When selecting “type of applicant,” if the applicant is a for-profit entity, please select “For-Profit Organization” or “Small Business” (as applicable). The applicant should include the full amount requested for the entire 12 – 18 month project period on the SF-424.

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

Applicants should be cognizant that these two contacts should not be the same. The authorized representative must have the authority to enter the state, county, municipality, or other eligible unit of local government into a legal contract with the federal government. This person is typically a county commissioner, mayor, city manager, or other similarly designated official. The POC will serve as the primary point of contact and will be responsible for grant management duties such as a submission of reports. Make sure that the name, contact information, title and solicitation is correct.

### 2. Project Abstract

Applications must include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.

- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.
- **Include the following clearly labeled and delineated information:**
  - Legal name of the grant recipient and the title of the project;
  - Project's purposes, goals, and deliverables;
  - Define who the target population is for the SAC program;
  - Program design elements including the allowable uses of funds that will be incorporated into the project;
  - Mandatory program components;
  - If applicable, the projected number of participants to be serviced through the project and target population characteristics;
  - Plan for establishing a baseline recidivism rate; and
  - Name of the validated risk assessment tool used.

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

**Do not** submit your abstract in .PDF format. BJA requires the ability to copy and paste abstract text. Examples of usable formats include Microsoft Word and WordPerfect.

**Permission to Share Project Abstract with the Public:** It is unlikely that BJA will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### 3. Program Narrative

The program narrative must respond to the solicitation and should address the Selection Criteria (1-4) 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. See Selection Criteria on page 21 for more information about what each section should include.

- a. Statement of the Problem
- b. Project Design and Implementation

- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures  
BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

#### 4. Budget Detail Worksheet and Budget Narrative

##### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include a budget summary page and utilize the following approved budget categories to label the requested expenditures:

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

A "budget summary page" must be included.

The budget detail worksheet must show all computations and provide itemized breakdowns of all costs. If the computations do not show sufficient detail or are incorrect, the budgets will be returned for corrections.

The budget categories and amounts included in the budget detail worksheet should mirror the amounts in the budget narrative.

Applicants must budget funding for travel to DOJ-sponsored grant meetings and/or events. Applicants should estimate the total costs of staff travel and accommodations. 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 rate. The established FY 2014 federal per diem rates can be found at <http://gsa.gov>.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

See the Selection Criteria on page 21 for more detail on what a budget should include.

##### b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative must explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format.

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [OJP Financial Guide](#).

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For assistance with identifying your cognizant agency, please contact the 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 [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

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

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

Applicants unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect

to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, BJA will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

## 7. Applicant Disclosure of High Risk Status

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

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

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

## 8. Additional Attachments

a. **Letters from Essential Team Members** demonstrating commitment to the project and to providing data/information to monitor fidelity to the project, including:

- 1) **Judge for the Project**
- 2) **Court Administrator**
- 3) **Agency Head—Community Corrections**
- 4) **Community Corrections Supervisor**
- 5) **Head of Law Enforcement**
- 6) **Other Essential Partners' Agency Heads**

b. **Project Timeline** with each project goal, related objective, activity, expected completion date, and responsible person or organization.

c. **Position Descriptions** for key positions and **Resumes** for personnel in those positions.

d. **Letters of Support** from other key partners, detailing the commitment to work with the application to promote the mission of the project.

e. **Applicant Disclosure of Pending Applications**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- the federal or state funding agency
- the solicitation name/project name
- the point of contact information at the applicable funding agency.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Note: Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

The Disclosure of Pending Applications, regardless of the status of pending applications, must be submitted as a separate attachment and titled as the “Disclosure of Pending Applications:....”. -> enter a digit (number pending) i.e., Disclosure of Pending Applications: 0

## 9. Accounting System and Financial Capability Questionnaire

Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years must download, complete, and submit this [form](#).

## Selection Criteria

### 1. Statement of the Problem (30 percent)

- Demonstrate an understanding of Swift and Certain (SAC) initiatives and their potential to improve individual and criminal justice system outcomes. Summarize the research base for these strategies.
- Demonstrate an understanding of the key elements, components, and team members of the SAC approach being proposed.
- Describe the key collaborative relationships needed to successfully implement the proposed SAC approach.

- Describe potential issues with maintaining fidelity to the proposed SAC approach.
- Clearly define the scope of the problem that the proposed project seeks to impact.
- Describe the size and demographic makeup of the population in the jurisdiction currently under community supervision.
- Describe the size and demographic makeup of the population that will be candidates for the proposed initiative.
- Describe the current violation rate and translate that into a baseline recidivism rate which may be used to assess the effectiveness of the project. Clearly articulate how the recidivism rate is calculated.

## **2. Project Design and Implementation (30 percent)**

- Describe the proposed SAC initiative.
- Describe the goals, objectives, and deliverables needed to effectively develop and implement the proposed SAC approach.
- Describe the strategies for communicating expectations for participation in the SAC approach.
- Describe the expected outcomes from implementing the proposed SAC approach. Use data and/or research to support the use of the proposed SAC approach.
- Describe a plan for assessing your SAC project's training and technical assistance needs.
- Describe how your team would assess, monitor, and enhance fidelity of SAC implementation.
- Demonstrate a commitment to the proposed initiative from the following, where applicable:
  - Chief judge
  - Court administrative staff
  - Community corrections leadership and officers
  - Law enforcement
  - Other essential partners
- Describe how the applicant anticipates the project's implementation will improve the effectiveness and efficiency of the delivery of supervision.

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

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.
- Describe the current organizational/management structure of the responsible supervising agency/entity, including the number of supervising staff and the staff/supervisee ratio.
- Demonstrate the capability of the SAC team members to implement the proposed SAC approach.
- Describe the proposed process to identify and select an experienced project coordinator.
- Demonstrate that the applicant and its partner agencies have the authority over the elements of the SAC model to fully implement it, including terms of supervision, timely drug testing, and service of warrants and jail space.

## **4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (7 percent)**

- Describe the process for measuring project performance, including meeting timelines and deliverables, and obtaining input and feedback from customers and stakeholders.

- Identify who will collect the data, who is responsible for performance measurement, how the data will be stored, how any personally identifiable information (PII) will be protected, and how the information will be used to guide the program.

## 5. Budget (8 percent)

- Provide a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>1</sup>
- Provide a proposed detailed budget worksheet and budget narrative that is reasonable, complete, allowable, and cost effective in relation to the proposed activities.
- The budget must support the strategies and approaches outlined in the project design, and include a narrative to describe the expenditures under each cost area and how it will contribute to the overall program goals.
- Provide budget details and narrative on subcontract agreements with all key partners confirming their work commitment and involvement with the proposed work, if the applicant is awarded.
- Refer to the additional Budget and Budget Narrative requirements on page 18 for more detailed information.
- Consultant rates in excess of \$450 per day or \$56.25 per hour must receive prior approval from BJA post-award through a Grant Adjustment Notice (GAN).
- Sole source contracts in excess of \$100,000 must receive prior approval from BJA post-award through a GAN. The justification must demonstrate that the item or service is available only from a single source; a true public exigency or emergency exists; or after competitive solicitation, competition is considered inadequate.

Note: An approved award budget is not prior approval; prior approval must be received post-award through the GAN process.

## Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

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<sup>1</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.

The Office of the Chief Financial Officer, in consultation with BJA, reviews applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants, examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Non-profit Organizations

- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

## How to Apply

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

BJA strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be notified.

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
Hyphen ( - )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Space	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )

Period (.)	When using the ampersand (&) in XML, applicants must use the “&” format.
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**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

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

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization’s AOR. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance numbers for this solicitation are 16.828, titled “Swift and Certain Sanctions/Replicating the Concepts Behind Project HOPE” and 16.812, titled

“Second Chance Act Prisoner Reentry Initiative,” and the funding opportunity number is BJA-2014-3896.

6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields.
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 an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review only the most recent valid version submitted.

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant’s request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- failure to register in SAM or Grants.gov in sufficient time
- failure to follow Grants.gov instructions on how to register and apply as posted on its Web site
- failure to follow each instruction in the OJP solicitation
- technical issues with the applicant’s computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## **Provide Feedback to OJP**

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

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

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

# Application Checklist

## FY 2014 Swift and Certain Sanctions (SAC)/ Replicating the Concepts Behind Project HOPE

This application checklist has been created to assist with 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 26)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 26)

#### *To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 26)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 26)
- \_\_\_\_\_ Sign up for Grants.gov email notifications (optional) (see page 25)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

### General Requirements:

- \_\_\_\_\_ Review "[Other Requirements](#)" web page

### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$300,000.

### Eligibility Requirement:

- \_\_\_\_\_ Applicant agency meets eligibility requirements
- \_\_\_\_\_ Federally recognized Indian tribe (if applicable)

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)
- \_\_\_\_\_ \*Project Abstract (see page 16)
- \_\_\_\_\_ \*Program Narrative (see page 17)
- \_\_\_\_\_ \*Budget Detail Worksheet (see page 18)
- \_\_\_\_\_ \*Budget Narrative (see page 18)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 10)
- \_\_\_\_\_ Read OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm) (see page 10)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 27)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 19)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 19)

- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 20)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Letters from Essential Team Members (see page 20)
  - \_\_\_\_\_ Project Timeline (see page 20)
  - \_\_\_\_\_ Team Member Resumes (see page 20)
  - \_\_\_\_\_ Position Descriptions (see page 20)
  - \_\_\_\_\_ Letters of Support (see page 20)
- \_\_\_\_\_ Disclosure of Pending Applications (see page 20)
- \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)  
(see page 21)

\* NOTE: These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.

## References

- Carns, T. W., & Martin, S. (2011). *Anchorage PACE probation accountability with certain enforcement: A preliminary evaluation of the Anchorage pilot PACE project*. Alaska Judicial Council.
- Grommon, E., Cox, S.M., Davidson, W.S., & Bynum, T.S. (2013) Alternative models of instant drug testing: evidence from an experimental trial. *Journal of Experimental Criminology*, 9:145-168.
- Hawken, A., & Kleiman, M. A. R. (2009). *Managing drug involved probationers with swift and certain sanctions: Evaluating Hawaii's HOPE*. Washington, DC: US Department of Justice
- Kilmer B, Nicosia N, Heaton P, and Midgette G. (January 2013). Efficacy of Frequent Monitoring with Swift, Certain, and Modest Sanctions for Violations: Insights from South Dakota's 24/7 Sobriety Project, *American Journal of Public Health*, Vol. 103, No. 1, pp. e37–e43 (EP-51155, [http://www.rand.org/pubs/external\\_publications/EP51155.html](http://www.rand.org/pubs/external_publications/EP51155.html)).
- Snell, C. (2007). *Fort Bend County Community Supervision and Corrections Special Sanctions Court Program*. Unpublished Evaluation Report. Fort Bend County, Texas.