

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP) [Bureau of Justice Assistance](#) (BJA) is seeking applications for: (1) probation and parole agencies to implement more effective probation and parole practices to reduce recidivism, and (2) a training and technical assistance provider to assist in developing a model for probation agencies to partner with other justice agencies to further their mutual public safety goals. This program furthers the Department's mission by reducing recidivism and therefore reduces crime as part of a comprehensive violence reduction strategy.

Innovations in Supervision Initiative: Building Capacity to Create Safer Communities

Applications Due: May 1, 2018

Eligibility

Category 1: Eligible applicants are states, units of local government, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

Category 2: Eligible applicants are national-scope private and nonprofit organizations (including tribal nonprofit or for-profit organizations) and colleges and universities, both public and private (including tribal institutions of higher education).

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

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

BJA may elect to fund applications submitted under this FY 2018 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on May 1, 2018.

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

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How To Apply](#) in Section D. Application and Submission Information.

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at support@grants.gov. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

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

For assistance with any unforeseen Grants.gov technical issues beyond an applicant’s control that prevent it from submitting its application by the deadline, or any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email grants@ncjrs.gov; fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this solicitation: BJA-2018-13623

Release date: March 13, 2018

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INNOVATIONS IN SUPERVISION INITIATIVE: BUILDING CAPACITY TO CREATE SAFER COMMUNITIES

CFDA #16.812

A. Program Description

Overview

The purpose of this program is to provide state 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.

At yearend 2015, an estimated 4.6 million adults were under supervision in the community, either on probation or parole, the equivalent of about 1 out of every 53 adults in the United States.² Many people do not successfully complete their community supervision because they either fail to comply with their conditions of supervision or they commit a new crime. Comprehensive crime prevention and public safety strategies must attend to this population, whose contact with the justice system, while on supervision, is an opportunity to devise a strategy to decrease the likelihood they will commit future crimes.

The Innovations in Supervision Initiative provides opportunities to increase community corrections agencies' ability to assist in reducing crimes committed by those supervised in the community (Category 1). This includes training and technical assistance (TTA) to develop a model for probation agencies to partner with other justice agencies in order to further their mutual public safety goals (Category 2).

Statutory Authority: Any awards under this solicitation will be made under statutory authority provided by a full-year appropriations act for fiscal year (FY) 2018. As of the writing of this solicitation, the Department of Justice is operating under a short-term "Continuing Resolution;" no full-year appropriation for the Department has been enacted for FY 2018.

Project-specific Information

The goal of the FY 2018 Innovations in Supervision Initiative (ISI) is to improve the capacity and effectiveness of community supervision agencies to increase probation and parole success rates and reduce the number of crimes committed by those under probation and parole supervision. Such efforts would reduce crime, admissions to prisons and jails, and save taxpayer dollars.

ISI is part of BJA's Innovations in Public Safety portfolio, also known as the "Innovations Suite." The Innovations Suite of programs invests in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies that are effective and

²Probation and Parole in the United States, 2015, Bureau of Justice Statistics, <https://www.bjs.gov/content/pub/pdf/ppus15.pdf>.

economical.³ This data-driven approach enables jurisdictions to understand the full nature and extent of the crime challenges they are facing and to direct resources to the highest priorities. The Innovations Suite of programs represents a strategic approach that leverages innovative applications of analysis, technology, and evidence-based practices with the goal of improving performance and making America safer.

Innovations Suite programs, including ISI, are advised to work with a research partner in the “action research” approach to:

- (a) Develop strategies and partnerships to reduce crime.
- (b) Enhance implementation and accountability.
- (c) Analyze data to focus resources.
- (d) Build communities of practice.
- (e) Sustain effective strategies and initiatives.

Successful partnerships between practitioners and researchers require investments of planning, time, communication, complementary skills, and adequate resources.⁴

Through this solicitation, BJA seeks applicants in two categories. Both have specific objectives and deliverables described under their respective Category headings:

- Category 1: Improving Supervision to Reduce Crime and Recidivism
- Category 2: Collaborating with Supervision Agencies to Reduce Crime and Recidivism

Category 1: Improving Supervision to Reduce Crime and Recidivism. Competition ID: BJA-2018-13903

Probation and parole are sentences served in lieu of incarceration. Probation agencies supervise adults sentenced to a term of supervision while remaining in the community instead of in incarceration. Parole agencies supervise adults who are released from incarceration to serve the end of their terms under supervision in the community. In both scenarios, modern community corrections agencies serve dual missions to rehabilitate offenders into productive, law-abiding members of society and to protect public safety. These two missions are closely related—if agencies successfully rehabilitate offenders, they will not recidivate and commit new crimes. Thus the agency improves public safety.

Objectives and Deliverables (Category 1)

BJA will select up to three entities to pursue the following objectives:

- Reduce recidivism and violent crime, in particular.
- Align agency practices with best and evidence-based practices to:
 - 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.
 - Establish quality programs to address criminogenic needs and implement with fidelity, and consider responsibility factors when placing people in programs.

³ For more information about the Innovations Suite of programs, see:

<https://www.bja.gov/Programs/CRPPE/>.

⁴ For guidance about identifying and working with a research partner, see:

<http://www.psnmsu.com/documents/ResearchPartnerQ&A.pdf>.

- Implement effective community supervision practices, including incorporating incentives and sanctions into the supervision process to encourage positive behavior changes.
- Position supervision officers to be agents of behavior change, including training in communication techniques that promote intrinsic motivation for positive change (i.e., enhance responsiveness) and training to understand and respond effectively to the special needs of individuals with mental illnesses and other behavioral health disorders.
- Implement continuous quality improvement plans that measure outcomes and promote accountability such as collecting data on short-term outcomes to indicate progress toward recidivism-reduction objectives (e.g., changes in individual attitudes, behaviors, or responsiveness to services) and holding performance management meetings between supervisors or managers and staff to discuss data findings, identify areas that need improvement, and reward staff for progress.
- Assess and document the process and outcomes of implementing recidivism and violent crime reduction strategies to serve as models for other agencies throughout the nation.
- Promote and increase collaboration among agencies and officials who work in probation, parole, pretrial, law enforcement, treatment, reentry, and related community corrections fields.
- Funds can be used to support capacity-building activities, including: staff training to meet the rehabilitative and supervision needs of the supervision population; assessing and addressing gaps and/or quality of service provision; standardizing new or existing strategies to promote replication and scaling; and developing and implementing performance metrics.

The required deliverables are:

- An action plan consisting of: a problem analysis; program and evaluation model; summary of strategies and intended outcomes; and research base for proposed strategies. The action plan is envisioned as a product of collaboration among the supervision agency, research partner (if applicable), and technical assistance provider. For more information about the required action plan, see page 13.
- Mid-term analysis and research report (at 18 months).
- Final analysis and research report.

Consistent with the objectives and deliverables outlined above, applicants should include in their proposals:

- A summary description of the problem to be addressed through this grant.
- A self-assessment indicating how agency practices align with best and evidence-based supervision practices outlined in the objectives above and identifying areas for improvement.⁵
- Data-driven, evidence-based, and/or innovative grant activities to build capacity in one or more areas assessed as needing improvement.

⁵ Publicly available self-assessment tools include the Recidivism Reduction Checklists developed by the Council of State Governments Justice Center (<https://csgjusticecenter.org/reentry/reentry-checklists/>) and the RNR Simulation Tool developed by the Center for Advancing Correctional Excellence at George Mason University (https://www.gmuace.org/tools/files/RNR_Practitioner_Pub_FINAL_2.12.13.pdf).

- Demonstrated understanding of, and a plan to utilize, the action research approach to assist with unpacking the problem, implementation, and evaluation.⁶
- Demonstration of agency-wide commitment to align policies and practices with recidivism reduction objectives and continuous quality improvement.

Priority Consideration

Applicants that propose strategies to reduce violent recidivism, among high risk offenders under supervision who have a history of serious violence and are identified in concert with local and/or state law enforcement, will receive priority consideration. The proposals must include a description of how this group will be identified and demonstrate access to, and use of, data and law enforcement input.

All successful applicants will receive technical assistance tailored to their proposed activities through the National Reentry Resource Center, which is funded by BJA to assist ISI grantees. Additional technical assistance will also be available from the Innovations Suite TTA provider to support action research partnerships.

Category 2: Collaborating with Supervision Agencies to Reduce Crime and Recidivism. **Competition ID: BJA-2018-13904**

Most neighborhoods are far safer than they were three and four decades ago, yet recent FBI data show there are troubling signs in some cities with rising violent crime rates.⁷ Many increases are clustered in neighborhoods where violence has been persistently high over the years, and they demand an effective and vigorous response from all levels of government and from the affected communities. The justice system and its component agencies must continuously improve their methods to prevent crime, apprehend perpetrators and reform their anti-social behaviors, and preserve community members' sense of security. This is a tremendous undertaking and requires a wide range of resources, skills, and authority to intervene. Additionally, research shows most violent crime is the result of a handful of bad actors; a minority proportion of the individuals who commit crime is responsible for the majority of violent crime in most jurisdictions (Wolfgang, 1973; Farrington, et al., 2006). The individuals responsible are often known to one criminal justice agency or another and may even be under supervision by one of them. There are no national estimates about the extent to which people under community supervision contribute to the overall crime rate, but available state and local statistics suggest about 20 percent of arrests involve someone under correctional supervision.⁸ Agencies can have a greater impact when they collaborate to address specific crime problems. A collaborative approach can reduce individual agency costs by sharing responsibilities, using pooled resources, increasing coordination, and reducing duplication of efforts.

A growing body of literature makes the case for, and describes, these collaborations or partnerships, but there is no clear model or guide on how to develop them to address violent crime problems. For example, consider the state of knowledge about partnerships between community corrections and law enforcement. A seminal study by the National Institute of Justice

⁶ For guidance, see: <http://www.psnmsu.com/documents/ResearchPartnerQ&A.pdf>.

⁷ United States Department of Justice, Federal Bureau of Investigation. (2016). *Crime in the United States, 2015*.

⁸ There are substantial data about rearrests and reincarceration rates of people under supervision: "State of Recidivism: The Revolving Door of America's Prisons," Pew Center on the States, (Washington: The Pew Charitable Trusts, April 2011); "Recidivism of Prisoners Released in 1994," Bureau of Justice Statistics, (Washington: Bureau of Justice Statistics, June 2002).

(NIJ) introduced a typology of police-corrections partnerships (NIJ, 1999).⁹ The International Association of Chiefs of Police (IACP), with support from BJA, developed a series of resources describing the benefits and typologies of partnerships between probation and law enforcement.¹⁰ As part of that effort, IACP examined eight partnerships and determined that “the practices commonly referred to as police-corrections partnerships are a mix of information transfers and joint field initiatives . . . [and] no standard metric exists by which to categorize existing partnerships or measure their effectiveness.”¹¹

More recently, scholars at Indiana University of Pennsylvania and the University of North Dakota surveyed probation and parole chiefs across the nation about their collaboration efforts with law enforcement, including which type(s) of partnerships their agencies engage in. They found that information-sharing partnerships are the most common, and they are typically informal and undocumented. Successful partnerships require formalization and clear and measurable objectives, accompanied by outcome evaluations; however, agencies largely do not take efforts to instill in their staff the value of collaboration, and threats to partnerships include organizational lag, mission distortion, and mission creep.¹² In 2017, BJA convened a focus group of representatives from community corrections and law enforcement partnerships and will publish a review of building blocks to partnerships. Building on that, BJA seeks to develop an instructive and explicit model for establishing partnerships between community supervision and law enforcement and/or prosecuting agencies to reduce violent crime.

Objectives and Deliverables (Category 2)

BJA will select a TTA provider to pursue the following objectives:

- Administer a competitive TTA program to provide assistance to local- or state-level probation agencies and their partners to develop and implement innovative or evidence-based strategies to reduce recidivism and crime among supervisees at high risk of committing violence.
- Administer a selection process, in consultation with BJA, to select three teams—comprised of a probation or parole office (lead), a law enforcement or prosecution office, and a research partner, if applicable—to receive TTA, which demonstrates that the teams have the commitment of the necessary partners and need for assistance.
- Make and administer subawards of \$500,000 to teams to support implementation.
- Based on the experience working with the teams, develop a model and guide for how community corrections agencies can effectively work with law enforcement and prosecutor partners to address crime and hold offenders accountable.
- Assist teams to develop and track performance measures and an evaluation strategy.
- Document implementation lessons learned.

BJA expects that the TTA provider will develop deliverables, in consultation with BJA, and that potential deliverables will include publications, technical assistance plans, reports, webinars, and other resources that meet the priority needs of policymakers and practitioners in this area.

Consistent with the objectives and deliverables outlined above, applicants should include in their proposals:

⁹ Available at <https://www.ncjrs.gov/pdffiles1/175047.pdf>.

¹⁰ Available at <http://www.theiacp.org/Police-Corrections-Partnerships>.

¹¹ Available at <http://www.theiacp.org/Portals/0/pdfs/Police-Corrections-Partnerships.pdf>.

¹² Available at <http://dx.doi.org/10.1080/23774657.2017.1310004>.

- A summary description of the problem to be addressed through this assistance, progress made by community supervision and partner agencies to date, and the need for further support in this area.
- The selection process and criteria for three community supervision agencies and their partners to receive TTA.
- A description of assistance and training activities to be deployed across sites, including assessing current practices, defining targets for change, facilitating change, and positioning partner agencies for sustainability.
- A plan to develop and disseminate a model and guide based on extant literature, the experiences of the three sites, and other relevant sources.

The required deliverables are:

- A model and guide for community supervision to partner with law enforcement and prosecuting agencies to prevent recidivism and violent crime.
- Dissemination of the guide.

Technical assistance will also be available from the Innovations Suite TTA provider to support action research partnerships.

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

TTA Provider Requirements for Category 2

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

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

In addition, BJA expects the successful TTA provider to make ongoing recommendations to BJA on relevant criminal justice research and ways to improve assistance delivered through this solicitation as well as to coordinate with other BJA TTA providers working on related subject areas or in overlapping jurisdictions to ensure maximum impact of BJA-funded TTA.

Evidence-based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- Improving the quantity and quality of evidence OJP generates.
- Integrating evidence into program, practice, and policy decisions within OJP and the field.
- Improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based.

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

In addition, [A Ten-Step Guide to Transforming Probation Departments to Reduce Recidivism offers](#) information on evidence-based strategies for probation and parole supervision.

Action research partnerships between researchers and practitioners have great potential to improve practice and policy. NIJ recently published findings of the Research-Practitioner Partnerships Study, which documents, synthesizes, and shares what makes partnerships between researchers and practitioners successful. See “[Recommendations for Collaborating Successfully With Academic Researchers. Findings from the Researcher-Practitioner Partnerships Study \(RPPS\).](#)”

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

Information Regarding Potential Evaluation of Programs and Activities

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

B. Federal Award Information

BJA expects to make awards in each category for the following amounts and periods of performance:

- **Category 1:** up to three awards of up to \$650,000 each, with an estimated total amount awarded of up to \$1,950,000.
- **Category 2:** one award of up to \$2,000,000.

BJA expects to make all awards for a 36-month period of performance, to begin on or about October 1, 2018.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

Type of Award

Category 1

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

Category 2

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

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities¹³) must, as described in the Part 200 Uniform Requirements¹⁴ as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and

¹³ For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient (subgrantee) to carry out part of the funded award or program. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

¹⁴ 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.

the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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

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

Budget Information

Category 2 award recipients are expected to pass through \$500,000 per site via subaward grants to the selected sites to assist in implementation. Pass-through funding recipients and amounts must be approved by BJA before being committed.

Unallowable Uses for Award Funds

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

- Prizes, rewards, entertainment, trinkets, or any type of monetary incentive
- Client stipends
- Gift cards
- Vehicles
- Food and beverage

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide.

Cost Sharing or Matching Requirement

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

Award Special Condition – Withholding of Funds for BJA Action Plan

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

- A comprehensive project work plan based on a [Planning and Implementation \(P&I\) Guide](#) provided by BJA's technical assistance provider, the National Reentry Resource Center (NRRRC), which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. A completed P&I Guide will include:
 - A description of the problem and the data that led to its identification.
 - A research and evaluation model that identifies the solution(s) to be tested, intended outcomes, and evaluation metrics, including the research base for proposed strategies.
 - An evaluation plan, to include ongoing analysis, monitoring, and assessment of the overall project impact.
- A contract, memorandum of understanding, or other agreement that clearly delineates the role and responsibilities of the research partner. This document should establish the authority of the research partner to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative.
- Letters of commitment from external agencies or organizations that are expected to participate in the project, to the extent that letters have not already been provided.
- Documentation of executive support and commitment of agency resources to the project.

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

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

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm> for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.¹⁵ The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the Budget Narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

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

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

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

<https://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

¹⁵ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

C. Eligibility Information

For eligibility information, see title page.

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet, Budget Narrative, Letter of Support from the Community Corrections Agency (and lead agency, if different), Assurance to Collect and Submit Recidivism Indicator Data, and résumés/curricula vitae of key personnel.

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

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet," "Timeline," "Résumés") for all attachments. Also, OJP recommends that applicants include résumés in a single file.

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

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

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

Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for "Legal Name" (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP's financial system.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8c exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How To Apply](#) section for more information on SAM and DUNS numbers.

Intergovernmental Review: This solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the "Program is not covered by E.O. 12372.")

2. Project Abstract

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

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.
- **Clearly labeled, including the following information:**
 - Legal name of the grant recipient and the title of the project.
 - Project's purpose, objectives, and deliverables.
 - Program design elements, including the allowable uses of funds that will be incorporated into the project.
 - Mandatory program components.
 - If applicable, the projected number of participants to be serviced through the project and target population characteristics.
 - Baseline recidivism rate.
 - Name of the validated risk assessment tool to be used.

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

3. Program Narrative

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman preferred); have 1-inch margins; and should not exceed 15 pages. Pages should be numbered "1 of 15," "2 of 15," etc. If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative¹⁶:

- a. Description of the Issue
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

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

Performance measures for this solicitation are listed in [Appendix 1: Performance Measures Table](#).

Applicants should visit OJP's performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program.

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

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

Award recipients will be required to submit performance metric data outlined below quarterly through BJA's online Training and Technical Assistance Reporting Portal located at www.bjatrain.org.

¹⁶ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements, likely do not constitute “research.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

“Research,” for purposes of human subjects protection for OJP-funded programs, is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) webpage of the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards,”](#) available through the OJP Funding Resource Center at <https://ojp.gov/funding/Explore/SolicitationRequirements/index.htm>.

Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

4. Budget and Associated Documentation

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

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

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the

percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

Applicants to Categories 1 and 2 must budget funding to travel to DOJ-sponsored grant meetings. Category 2 budgets should additionally include funding for staff from each of the selected sites to attend the meetings. Those funds may come out of the subawards passed through to the sites. Applicants should 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.

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

b. Budget Narrative

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

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

The Budget Narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated **all** costs, and how those costs are necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should describe costs by year.

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

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

Whether an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

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

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

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

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

1. Information on proposed subawards

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

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

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

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

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement. An applicant that (at the time of its application) intends—without competition—to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

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

d. Pre-agreement Costs

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

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

An applicant with a current (unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which

will review all documentation and approve a rate for the applicant entity, or, if the applicant's accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the "de minimis" indirect cost rate. An applicant that is eligible to use the "de minimis" rate that wishes to use the "de minimis" rate should attach written documentation to the application that advises OJP of both—(1) the applicant's eligibility to use the "de minimis" rate, and (2) its election to do so. If an eligible applicant elects the "de minimis" rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the "de minimis" rate.) For additional eligibility requirements, please see Part 200 Uniform Requirements, as set out at https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rgn=div8.

6. Tribal Authorizing Resolution (if applicable)

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

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

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

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk

assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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

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

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

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Additional Attachments

Category 1: Submit a–f and j–l, described below.

Category 2: Submit a, e, and g–l, described below.

- a. **Timeline/Project Plan** outlining key tasks, benchmarks, and persons or entities responsible.
- b. **Letter From Community Supervision Agency Executive** demonstrating agency commitment to the project and to the recommended research partnership. Note that the executive must also sign the Assurance in Appendix 2 that aggregate recidivism indicator data will be submitted as required.

- c. **Letter From Lead Agency** (applicable only if the supervision agency is not the lead agency) demonstrating commitment to the project and to the recommended research partnership.
- d. **Letter From Research Partner, if applicable**, demonstrating commitment to the project.
- e. **Letters of Support From All Other Key Partners (if applicable)** detailing the commitment to work with the applicant to promote the mission of the project.
- f. **Assurance To Collect and Submit Recidivism Indicator Data.** Applications must include an assurance signed by the applicant organization's chief executive (see Appendix 2 for the Assurance form) that all participant recidivism indicator data will be collected and submitted at the end of the grant period. Applications which do not include this assurance will not be considered. Inability or refusal to submit data after award may impact the organization's ability to receive future BJA competitive grant funding.
- g. **Position Descriptions** for key roles. A position description should relate to the role on the proposed project, not the person's role within the applicant organization, and describes the critical competencies and expectations regarding the project responsibilities.
- h. **Résumés or Curricula Vitae (CVs)** for key personnel. Applicants may combine position descriptions and résumés or CVs into a single document; however, please note that they are one of the critical elements for an application (see pages 15 and 33). Applications that do not include these will neither proceed to peer review nor receive further consideration by BJA.
- i. **Examples of Work Products**, including policy briefs, reports, websites, etc.
- j. **Applicant Disclosure of Pending Applications**
Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, **and** (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward ("subgrant") federal funds).

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

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency
- The solicitation name/project name

- The point of contact information at the applicable federal or state funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/Substance Abuse and Mental Health Services Administration	Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

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

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

k. Research and Evaluation Independence and Integrity

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

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

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

investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the

research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

I. Disclosure of Process Related to Executive Compensation

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service (IRS) regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (question 9c in the "OJP Financial Management and System of Internal Controls Questionnaire" located at <http://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> and mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process Related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the

body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the IRS for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

How To Apply

Applicants must register in and submit applications through [Grants.gov](https://www.grants.gov), a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <https://www.grants.gov/web/grants/support.html>. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

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

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

Note on Attachments: Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.) Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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

Characters	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.**

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:

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

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

Applying as an Individual

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity

Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

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

Registration and Submission Steps

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

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at <https://www.dnb.com/>. A DUNS number is usually received within 1-2 business days.

2. **Acquire or maintain registration with SAM.** All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at www.SAM.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/registration.html>.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.812, titled “Second Chance Act Reentry Initiative,” and the funding opportunity number is BJA-2018-13623.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application:

Category 1: BJA-2018-13903

Category 2: BJA-2018-13904

7. **Access Funding Opportunity and Application Package from Grants.gov.** Select “Apply” under the “Actions” column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
8. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on May 1, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

Note: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

E. Application Review Information

Review Criteria

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

Description of the Issue (15 percent)

- Identify the Category of this solicitation, by number and name, under which the applicant is applying.
- Describe and demonstrate understanding of the nature and scope of the problem to be addressed, using data and research as support.
- Describe successful efforts to date to address the needs identified.
- Describe the need for assistance and resources to address the problem.
- Briefly introduce how the applicant proposes to address the problem.

Project Design and Implementation (40 percent)

- Address in detail how the applicant proposes to undertake and accomplish each of the objectives and tasks outlined for the relevant Category (see pages 5–9). Applicants may propose other items or deliverables in addition to the ones listed in this grant announcement, under the specific category for which they are applying, and should provide detailed information on those items, if applicable. Inclusion of a Timeline/Project Plan that identifies the major tasks and deliverables of the proposed project and who is responsible for each activity (see page 23) will contribute to scoring under this criterion.

Capabilities and Competencies (30 percent)

- Provide a detailed description of the capacity of the organization and the key personnel to deliver the required services and perform the key tasks described on pages 5–9.
- Describe how the proposed management structure and staffing of the project will facilitate the delivery of the required services. The management and organizational structure described should match the staffing needs necessary to accomplish the tasks outlined in the Timeline/Project Plan. Information regarding the personnel assigned to these tasks and whether their résumés and role descriptions are included (see page 24) will contribute to the assignment of points relative to this criterion.

Plan for Collecting the Data Required for This Solicitation’s Performance Measures (5 percent)

- Describe the manner in which the data required for this solicitation’s performance measures will be collected, including the system(s) used and the person(s) responsible.
- Describe whether and how other relevant performance metrics will be documented, monitored, and evaluated.

Budget (10 percent)

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).
- Budget narratives should demonstrate generally how the applicant will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the objectives of the project.¹⁷

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”

¹⁷ 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 applicant must not be identified in SAM as excluded from receiving federal awards.

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for BJA include geographic diversity, strategic priorities, and available funding, as well as the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by the applicant. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System, FAPIIS).

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

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

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

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2018. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning and submission of the fully executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under

other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

Category 2

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

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

General Information about Post-Federal Award Reporting Requirements

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

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

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

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103–62, and the GPRA Modernization Act of 2010, Public Law 111–352, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program. Performance measures are also listed as [Appendix 1](#).

G. Federal Awarding Agency Contact(s)

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

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

H. Other Information

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

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

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

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

Provide Feedback to OJP

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

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

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

Appendix 1: Performance Measures Table

Category 1

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA's online Performance Measurement Tool (PMT) located at bjapmt.ojp.gov. A complete list of measures for ISI grantees can be found at <https://bjapmt.ojp.gov/help/SSPMeasures.pdf>.

Category 2

Category 2 recipients will be required to submit performance metric data semi-annually through BJA's online Training and Technical Assistance Reporting Portal. More information on reporting requirements can be found at <https://www.bjatrainng.org/working-with-nttac/providers>.

Objectives	Performance Measure(s)	Data Grantee Provides
Objective 1: Support the development, implementation, and sustainment of probation and/or parole partnerships with other justice agencies to reduce crime and recidivism through training.	Number of trainings conducted	Number of trainings (by type): <ul style="list-style-type: none"> • In person • Web-based • CD/DVD • Peer to peer • Workshop
	Number of participants who attend the training	Number of individuals who: <ul style="list-style-type: none"> • Attend the training (in-person) or started the training (web-based) • Completed the training • Completed an evaluation at the conclusion of the training • Completed an evaluation and rated the training as satisfactory or better • Completed the post-test with an improved score over their pre-test
	Percentage of participants who successfully completed the training	
	Percentage of participants who rated the training as satisfactory or better	
	Percentage of participants trained and subsequently demonstrated performance improvement	

Objectives	Performance Measure(s)	Data Grantee Provides
	Percentage of scholarship recipients surveyed who reported that the training provided information that could be utilized in their job	Number of Individuals who: <ul style="list-style-type: none"> • Received a scholarship • Completed the training • Completed a survey at the conclusion of the training • Reported the training provided information that could be utilized in their job
	Number of curricula developed	Number of training curricula: <ul style="list-style-type: none"> • Developed • Pilot tested • Revised after being pilot tested
	Number of curricula that were pilot tested	
	Percentage of curricula that were revised after pilot testing	
Objective 2: Support the development, implementation, and sustainment of probation and/or parole partnerships with other justice agencies to reduce crime and recidivism through technical assistance.	Percentage of requesting agencies that rated services as satisfactory or better	<ul style="list-style-type: none"> • Number of onsite visits completed • Number of reports submitted to requesting agencies after onsite visits • Number of requesting agencies that completed an evaluation of services • Number of agencies that rated the services as satisfactory or better (in terms of timeliness and quality) • Number of follow-ups with requesting agencies completed 6 months after onsite visit
	Percentage of requesting agencies that were planning to implement one or more recommendations.	

Objectives	Performance Measure(s)	Data Grantee Provides
		<ul style="list-style-type: none"> • Number of agencies that were planning to implement at least one or more recommendations 6 months after the onsite visit
	<p>Percentage of peer visitors who reported that the visit to the other agency was useful in providing information on policies or practices</p>	<ul style="list-style-type: none"> • Number of peer-to-peer visits completed • Number of peer visitors who completed an evaluation
	<p>Percentage of peer visitors who were planning to implement one or more policies or practices 6 months after they were observed at the visited site</p>	<ul style="list-style-type: none"> • Number of peer visitors who reported that the visit was useful in providing information on policies or practices • Number of follow-ups with the requesting peer visitor completed 6 months after the peer-to-peer visit • Number of peer visitors who were planning to implement at least one or more recommendations 6 months after the onsite visit
	<p>Percentage of requesting agencies of other onsite services that rated the services provided as satisfactory or better</p>	<ul style="list-style-type: none"> • Number of other onsite services provided • Number of requesting agencies that completed an evaluation of other onsite services • Number of agencies that rated the services as

Objectives	Performance Measure(s)	Data Grantee Provides
		satisfactory or better
Objective 3: Increase information provided to BJA and the criminal justice community about probation and/or parole partnerships with other justice agencies to reduce crime and recidivism.	Number of conferences or advisory/focus groups held	<ol style="list-style-type: none"> 1. Number of conferences or advisory/focus groups held 2. Number of conference or advisory/focus group attendees who completed an evaluation 3. Number of conference or advisory/focus group attendees who rated the advisory/focus group as satisfactory or better
	Percentage of advisory/focus groups evaluated as satisfactory or better	
	Number of publications developed	<ul style="list-style-type: none"> • Number of publications/resources developed
	Number of publications disseminated	<ul style="list-style-type: none"> • Number of publications/resources disseminated
	Percent of websites developed and maintained	<ul style="list-style-type: none"> • Number of websites developed
	Percentage increase in the number of visits to websites	<ul style="list-style-type: none"> • Number of websites maintained • Number of visits to websites during the current reporting period • Number of visits to websites during the previous reporting period

Objectives	Performance Measure(s)	Data Grantee Provides
	Percentage of information requests responded to	<ul style="list-style-type: none">• Number of information requests• Number of information requests responded to

Appendix 2

Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

I hereby assure that, if awarded grant funds under the Innovations in Supervision Initiative: Building Capacity to Create Safer Communities, Category 1, 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

Appendix 3: Application Checklist

Innovations in Supervision Initiative: Building Capacity to Create Safer Communities

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 30)
- _____ Acquire or renew registration with SAM (see page 30)

To Register with Grants.gov:

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

To Find Funding Opportunity:

- _____ Search for the Funding Opportunity on Grants.gov (see page 31)
- _____ Select the correct Competition ID (see page 31)
- _____ Access Funding Opportunity and Application Package (see page 31)
- _____ Sign up for Grants.gov email [notifications](#) (optional) (see page 28)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 14)

After Application Submission, Receive Grants.gov Email Notifications That:

- _____ (1) application has been received,
- _____ (2) application has either been successfully validated or rejected with errors (see page 31)

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

- _____ contact NCJRS regarding experiencing technical difficulties (see page 31)

Overview of Post-Award Legal Requirements:

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

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of:
 - Category 1: \$650,000
 - Category 2: \$2,000,000

Eligibility Requirement:

Category 1: Eligible applicants are states, units of local government, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

Category 2: Eligible applicants are limited to national-scope private and non-profit organizations (including tribal nonprofit or for-profit organizations) and colleges and

universities, both public and private (including tribal institutions of higher education). All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 15)
- _____ *Project Abstract (see page 16)
- _____ *Program Narrative (see page 17)
- _____ *Budget Detail Worksheet (see page 18)
- _____ *Budget Narrative (see page 19)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 21)
- _____ Tribal Authorizing Resolution (if applicable) (see page 22)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 22)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 23)
- _____ Additional Attachments
 - _____ Timeline/Project Plan (see page 23)
 - _____ *Letter from Community Supervision Agency Executive (see page 23)
 - _____ Letter from Lead Agency (if applicable) (Category 1 only, see page 24)
 - _____ Letter from Research Partner (if applicable) (Category 1 only, see page 24)
 - _____ Other Letters of Support (see page 24)
 - _____ *Assurance to Collect and Submit Recidivism Indicator Data (Category 1 only, see page 24)
 - _____ Position Descriptions (Category 2 only, see page 24)
 - _____ * Résumés or curricula vitarum for key personnel (Category 2 only, see page 24)
 - _____ Examples of work products (Category 2 only, see page 24)
- _____ Applicant Disclosure of Pending Applications (see page 24)
- _____ Research and Evaluation Independence and Integrity (see page 25)
- _____ Disclosure of Process related to Executive Compensation (see page 27)
- _____ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 14)

*** 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.