

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 the Justice Reinvestment Initiative: National Training and Technical Assistance. This program furthers the Department's mission to reduce crime and recidivism by helping state, local, and tribal governments to analyze criminal justice system data, develop and implement policy options, and effectively allocate scarce resources while improving public safety and enhancing capacity to make data-driven policy decisions.¹

Justice Reinvestment Initiative: National Training and Technical Assistance FY 2018 Competitive Grant Announcement

Applications Due: January 7, 2019

Eligibility

Eligible applicants are limited to 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).² The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program.

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

¹ In this solicitation, "state" refers to states, U.S. territories, and the District of Columbia

² For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on January 7, 2019.

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-2018-13603

Release date: November 8, 2018

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Justice Reinvestment Initiative: National Training and Technical Assistance CFDA #16.827

A. Program Description

Overview

Through this solicitation, BJA seeks national training and technical assistance providers and subject experts to help state, local, and tribal jurisdictions pursue a state-level Justice Reinvestment Initiative (JRI) approach, or apply key principles of the JRI approach—data-driven problem analysis and evidence-based solutions—to identify and respond to local crime and other public safety challenges.

BJA has supported justice reinvestment to improve the return on states' public safety investments through a targeted, data-driven policymaking process. JRI is an intensive, data-driven approach that can help state, local, and tribal justice stakeholders analyze, understand, and address key challenges in their justice systems, including violent crime, opioid addiction and mental illness, high correctional costs, and high recidivism rates. The initiative supports a multi-staged process by which a jurisdiction increases the cost-effectiveness of its criminal justice system and reinvests savings into high-performing strategies to increase public safety.

Statutory Authority: Any awards under this solicitation would be made under statutory authority provided by the Consolidated Appropriations Act, 2018, Public Law No. 115-141, 132 Stat 348, 422.

Program-specific Information

BJA is seeking applications under three categories of assistance to support JRI: (1) oversight, coordination, and assessment; (2) jurisdiction-level technical assistance; and (3) training and technical assistance for justice reinvestment site-based projects. The third category represents a new area of assistance designed to apply the JRI approach to efforts to enhance public safety and to help state, territory, local and tribal jurisdictions identify and address a wide range of crime and other challenges across the system, including violent crime, opioid addiction and mental illness, and high recidivism rates.

Objectives and Deliverables

The objectives of JRI are as follows:

- Identify drivers of criminal justice resource consumption.
- Improve jurisdictions' capacity to prevent and respond to violent crime, including by reducing the risk for recidivism (as measured by arrests for new crimes, convictions for new crimes, incarcerations for new crimes, and revocations based on technical violations). Specifically, identify offenders' risks for general and violent recidivism, and related substance use and mental health needs, and mitigate their risk for engaging in violent behavior or being the victims of violent crime.
- Improve public safety through a re-allocation of resources in high performing crime- and recidivism-reduction efforts.

Category 1: Oversight, Coordination, and Assessment (OCA) Technical Assistance, Competition ID: BJA-2018-13989

BJA seeks an entity to provide program oversight, coordination, and assessment technical assistance (TA). The activities and deliverables of OCA assistance include the following:

- Assist BJA in overall coordination and assessment of JRI.
- Provide logistical and substantive support for a Justice Reinvestment Steering Committee composed of funding partners and TA providers.
- Provide technical assistance, in conjunction with BJA, to other TA providers to ensure adherence to the fidelity and basic principles of the justice reinvestment model.
- Review recommendations and assessments from TA providers regarding candidate jurisdictions' readiness for JRI.
- Assess JRI activities and outcomes, to include state-level justice reinvestment efforts, efforts to be undertaken pursuant to Category 3 of this solicitation, and JRI subaward grants made by TA providers to seed jurisdictions' implementation of key strategies and programs that advance JRI objectives and priorities. Assessment activities are expected to include analysis of documentation and data, interviews with state stakeholders and TA providers, and site visits.
- Document assessment activities through, for example, site visit assessment memoranda and synthesis of (1) monthly reports from providers documenting TA activities by site and (2) data tracking implementation performance and outcomes.
- Conduct up to two assessments of policies enacted or implemented as a result of justice reinvestment efforts to measure public safety and other impacts.³
- Develop and maintain up-to-date initiative-wide statistics and presentations showing progress of JRI.
- Coordinate with other BJA-funded projects and TTA providers who are working on violent crime efforts such as Project Safe Neighborhoods (PSN), Public Safety Partnership (PSP), Strategies for Policing Innovation (SPI), and Sexual Assault Kit Initiative (SAKI), when necessary.
- Make ongoing recommendations to BJA on relevant criminal justice research and ways to improve the effectiveness of JRI, including advice and assistance to BJA and TA providers in infusing evidence-based violence reduction practices and improving JRI performance measurement and assessment approaches.

Category 2: State-Level Training and Technical Assistance, Competition ID: BJA-2018-13990

BJA seeks up to two providers for jurisdiction-level training and TA to help jurisdictions use the JRI process – stakeholder engagement, data analysis, policy development, implementation planning and execution, sustainability – to prevent and respond to crime and recidivism. (See Appendix A.) While jurisdictions experience many similar criminal justice system challenges, they vary significantly in the manifestation of these issues, as circumstances, resources, and laws vary across jurisdictions. The JRI process is a data-driven approach designed to unpack and assess the unique problems a jurisdiction is facing and assist them in developing tailored solutions for their particular issues.

³ Examples of such assessments include [Mandatory Reentry Supervision: Evaluating the Kentucky Experience](#) and [Reducing Incarceration for Technical Violations in Louisiana](#).

BJA will evaluate the problem statement of any jurisdiction before accepting it into the JRI. Jurisdictions should seek to address at least one of the Administration's priority areas, such as violent crime or opioids. States may examine criminal codes and associated penalties as needed; and/or they may consider modifications to penalties for opioid- and stimulant-specific cases (e.g., methamphetamine), where incorporating treatment options may be appropriate for offenders whose instant offenses and criminal histories are non-violent, do not involve guns, and drug offenses are limited to personal use. Below are additional examples of the types of problems jurisdictions may address and ways the TA providers may operationalize data to help them reduce violent crime:

1. Create a shared understanding of the issue areas by making crime, corrections, and recidivism data analyzed through JRI available to all criminal justice partners. Support criminal justice agencies with funding and training in order to use data to:
 - a. Inform and help improve their strategic planning and priority setting.
 - b. Enable actionable and targeted interventions on crime types (e.g., gun crimes) and places (e.g., liquor stores, shared jurisdiction/borders).
 - c. Provide context to jurisdictional and local data (e.g., intra-jurisdictional and national comparisons).
 - d. Evaluate opportunities for state, local and cross-agency collaboration in order to more efficiently and effectively use resources to address crime and recidivism.
 - e. Coordinate with other BJA-funded projects and TTA providers who are working on violent crime efforts such as PSP, PSN, SPI, and SAKI when necessary.
2. Enhance data collection and enable meaningful sharing of information across system stakeholders. Support criminal justice agencies with funding and training to:
 - a. Move towards a unique, universal, statewide identification number (e.g., SID) to enable more comprehensive and useful crime and recidivism data.
 - b. Improve collection and information sharing about behavioral health, domestic violence, guns, gangs, and other specific crime types posing a challenge within a jurisdiction.
 - c. Make data sharing between key agencies—corrections, probation and parole, and law enforcement—automated where appropriate, to facilitate better public safety partnerships.
 - d. Develop or improve offender-specific information-sharing protocols to ensure that agencies are aware of high-risk individuals and receive relevant intelligence so they are managed appropriately through detention, reentry, and supervision.
3. Develop analytical capacity to inform more targeted and effective strategies to address specific crime problems. Support criminal justice agencies with funding and training to:
 - a. Build capacity to collect and track data across prosecutors' offices to understand relationships between violent crime and charging and adjudication decisions.
 - b. Provide grant monies for local pilot programs to reduce crime and support effective law enforcement (e.g., funding for overtime, training, and/or analytics).
 - c. Explore the creation and deployment of a data analysis and strategy strike team, a jurisdiction-level team to assist smaller jurisdictions in analyzing their challenges, such as crime spikes, and how to address them.
4. Expand data collection about and resources for victims of crime. Support criminal justice agencies with funding and training to:
 - a. Improve data collection and training about types of victimization, trauma, and related needs in order to develop policies and procedures to maximize benefits

- (e.g., accessing federal resources to aid victims of violent crime) and reduce the collateral effects of violence.
- b. Increase victims' access to and use of compensation programs by expanding eligibility, improving benefits, and reducing administrative barriers.
 - c. Improve victim restitution collection and increase payments to victims (e.g., using a database to track restitution orders and collection, increasing the amount inmates pay toward victim restitution).
5. Focus jurisdiction probation and/or parole agency resources on mitigating the risks of people on supervision engaging in violent behavior or being the victims of violent crime. Support criminal justice agencies with funding and training to:
- a. Ensure a minimum period of supervision for all people convicted of felony offenses leaving prison.
 - b. Provide the most intensive supervision at the beginning of a person's supervision term, when recidivism is most likely. Ensure that agency staffing allows adequate supervision time for highest-risk individuals.
 - c. Implement a risk-needs-responsivity (RNR) framework and support local agencies supervising offenders with higher risks of violence to do the same. Include tools to identify offenders' risks for general and violent recidivism, and related substance use and mental health needs. Supervision activities should be tailored to reflect assessment results and mitigate offenders' risk of engaging in violent behavior or being the victims of violent crime.
 - d. Develop and implement an escalating scale of swift and proportionate sanctions in response to supervision violations or antisocial behavior.
6. Assess and strengthen the ability of law enforcement to use proven approaches to investigate and respond to crime and provide alternatives to resource-intensive activities. Support criminal justice agencies with funding and training to:
- a. Develop or expand Crisis Intervention Team training for law enforcement to safely and effectively deal with people who are experiencing a mental health crisis.
 - b. Establish a legal framework for the design, operation, and regulation of crisis stabilization units to serve people who have presented to law enforcement and who should not otherwise be subject to confinement in jail or prison.
 - c. Strengthen investigations and hold more offenders accountable by improving the performance and timeliness of forensic evidence processing.
7. Prioritize jurisdiction's confinement resources to incapacitate serious, chronic, or violent offenders and ensure that bed space alignment supports the jurisdiction's violent crime reduction goals. Support criminal justice agencies with funding and training to:
- a. Evaluate and revise jail reimbursement processes to ensure they align with public safety interests.
 - b. Evaluate and improve bail and pretrial supervision decision making to promote greater consideration of a defendant's risk of pretrial failure-in-release decisions. For example, states may require the use of a pretrial risk assessment to determine the likelihood a defendant will fail to appear in court or be re-arrested before trial, and administer the risk assessments and provide pretrial supervision for defendants ordered to pretrial supervision by a judge to help ensure pretrial success.

- c. Improve the quality and consistency of parole decision making and preparation for release (e.g., professionalize parole boards, and use an objective risk assessment tool to inform parole decision making).
- d. Assess the correctional population to ensure appropriate bed space usage and, if needed, seek strategies to correct the inmate mix to prioritize bed space for serious, chronic, or violent offenders.

Category 3: Training and Technical Assistance for Justice Reinvestment Site-Based Projects, Competition ID: BJA-2018-13991

BJA seeks a provider to assist grantees selected through a separate, site-based solicitation: BJA FY 2018 Justice Reinvestment: Reducing Violent Crime by Improving Justice System Performance. Under that solicitation, approximately six state, local, territory and tribal grantees will address public safety challenges related to law enforcement, pretrial, prosecution, sentencing, corrections, parole, and related areas.

The training and technical assistance (TTA) provider will be expected to work closely with the sites funded by BJA in order to help them achieve project goals and deliverables. The TTA provider will provide ongoing, intensive coaching to develop a detailed implementation plan, assist the site in executing it, and develop sustainability plans before the end of the sites' award period.

The TTA provider may also be asked by BJA to provide training to the field, prioritizing jurisdictions engaged in Justice Reinvestment, as well as participate in group interactions at conferences or workshops, peer-to-peer consultations, distance learning, and/or web-based assistance.

Objectives and Deliverables

Applicants should propose to accomplish the following objectives and related deliverables:

- Provide education and proactive, comprehensive TTA via teleconferencing, peer-to-peer consultations, onsite assistance, web-based assistance, and follow-up TTA as required by phone and/or email.
- Assign TTA coaches to each site to manage, monitor, and report on TTA needs, including keeping track of site progress, recommending next steps to improve performance, and providing BJA with regular updates. Develop case studies on each grantee's experiences and results of assistance upon completion of engagement to demonstrate how their activities reduce crime and/or make the justice system more effective and efficient.
- Identify and maintain a list of TTA consultants whose expertise and experience can best meet grantees' needs. As needed and with the approval of BJA, assign TTA consultants to assist sites, and report on and monitor TTA provided.
- As needed and with BJA approval, plan for and host distance-learning sessions for sites and the field at large, such as webinars and subject-specific conference calls on topics such as strategic planning, collaboration, and sustainability.
- Develop end-of-engagement materials, such as case studies, to document each grantee's experiences and results of assistance, as well as to demonstrate how activities reduced crime and/or made the justice system more effective and efficient.
- Coordinate with other BJA-funded projects and TTA providers who are working on violent crime efforts, such as PSP, PSN, SPI, and SAKI, when necessary.

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

Evidence-based Programs or Practices

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

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

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

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

Information Regarding Potential Evaluation of Programs and Activities

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

B. Federal Award Information

Category 1

BJA expects to make one award under Category 1 of up to \$800,000 for a 24-month period of performance, to begin on or about April 1, 2019.

Category 2

BJA expects to make up to two awards under Category 2, the amount of which will vary depending on the number of states proposed to be served, and may range from approximately

\$3,500,000 up to \$8,300,000, with an estimated total amount awarded of up to \$11,785,000. In proposing a budget, applicants must set aside \$500,000 as a subaward for each state to be served. The period of performance for Category 2 awards will be 36 months, to begin on or about April 1, 2019.

Category 3

BJA expects to make one award under Category 3 of up to \$1,400,000, for a 36-month period of performance, to begin on or about April 1, 2019.

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

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

Type of Award

BJA expects to make any award under this solicitation in the form of a 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 entities⁴) must, as described in the Part 200 Uniform Requirements⁵ as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient's (and any subrecipient's)] compliance with statutes, regulations, and the terms and conditions of Federal awards.

⁴ 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.

⁵ 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.

- (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

Award recipients under Category 2 are expected to pass through an amount up to \$500,000 per site via subaward grants to state jurisdictions that have enacted JRI policy changes to assist in implementation. Accordingly, budgets for Category 2 must include the maximum amount per site (i.e., Category 2 applications must reserve \$500,000 per site anticipated to be served in implementation). Pass-through funding recipients and amounts must be approved by BJA before being committed.

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.

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.⁶ 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 to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

⁶ 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.

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

C. Eligibility Information

For eligibility information, see title page.

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Program Narrative, Timeline/Task Plan, Budget Detail Worksheet and Budget Narrative, Applicant Disclosure of Proposed Subrecipients, résumés/curricula vitae of key personnel, and examples of work products.

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

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

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and the OJP Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

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

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) 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.
- Include the legal name of the applicant and the project’s title, goals, design elements, and proposed deliverables

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative. BJA requests that the abstract be submitted as a text file, such as Word .doc format.

3. Program Narrative

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman preferred); have no less than 1-inch margins; and should not exceed 20 pages. Pages should be numbered “1 of 20,” “2 of 20,” etc. If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative⁷:

- 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 goals, objectives, and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

Applicants should visit OJP's performance measurement page at www.ojp.gov/performance for an overview of performance measurements at OJP.

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

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 quarterly through BJA's online Training and Technical Assistance Reporting Portal located at www.bjatrain.org.

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").

⁷ 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](#).

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

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the “[Requirements related to Research](#)” webpage of the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#),” available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

4. Budget and Associated Documentation

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

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

a. Budget Detail Worksheet

The Budget Detail Worksheet should be mathematically sound and include clear calculations for the applicant’s estimate of all costs.

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

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

b. Budget Narrative

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

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are

necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

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

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

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

Whether 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 the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

6. 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).

7. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) 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").

8. Additional Attachments

- a. Timeline/Project Plan** outlining key tasks, benchmarks, and persons/entities responsible.

- b. Applicant Disclosure of Proposed Subrecipients.** Attach a list of proposed subrecipients of grant funding, if applicable, that includes the name, organizational affiliation, and location of the proposed subrecipient entity.
- c. Position Descriptions** for key roles. Position descriptions should relate to the role on the proposed project, not the person’s role within the applicant organization, and describe critical competencies and expectations regarding project responsibilities.
- d. Résumés** for key personnel. Applicants may combine position descriptions and résumés into a single document; however, please note that résumés are one of the critical elements for an application, along with the program narrative and budget and budget narrative. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.
- e. Work Product Examples.** Attach two to three examples of relevant products the organization has produced that exemplify high quality product and the ability to communicate effectively with stakeholders (e.g., website, fact sheet, research brief, link to archived webinar, TA final report with recommendations, infographics, etc.). Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.
- f. Applicant Disclosure of Pending Applications**
Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same 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.”

g. 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.

How To Apply

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

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

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

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

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

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

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

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

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

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

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 2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at <https://www.fsd.gov/fsd->

gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183.

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 <https://www.sam.gov/portal/SAM/#1>.

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 16.827, titled "Justice Reinvestment Initiative."
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-2018-13989
Category 2: BJA-2018-13990
Category 3: BJA-2018-13991
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 January 7, 2019.

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

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

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

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

The following conditions generally are insufficient to justify late submissions:

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

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

E. Application Review Information

Review Criteria

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

1. Description of the Issue (15 percent)

- Describe recent trends in violent crime and the appropriate role of state government in setting the stage for successful efforts to reduce state and local violent crime rates. Be specific about policies or strategies that have proven effective and the means by which the state may support those policies or strategies.
- Describe the current state of efforts to increase public safety return on corrections spending.
- Describe in general terms the availability of data at the state and local levels to guide decision making with regard to each state's criminal justice system funding and resource allocation, including the extent of each state's use of budget and prison population impact statements to accompany changes in criminal code and sentencing policy.
- Describe challenges in simulating projections of impact to prison, jail, and community supervision populations based on criminal justice policy recommendations that may result from enactment of JRI policy changes.
- Describe the challenges in calculating costs saved or averted over time.
- Describe the challenges in assessing local public safety impact of state sentencing and corrections policy changes.

2. 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. The application should specify which types of assistance the applicant proposes to provide.
- 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. Detailed information contained in the Timeline/Project Plan (see page 20) will contribute to the assignment of points relative to this criterion.

3. Capabilities and Competencies (30 percent)

- Provide a detailed description of the capacity of the organization to deliver the required services and perform the key tasks described on pages 4-8.
- For **Category 1** only, clearly articulate the organization's history assessing national-, state-, and local-level criminal justice projects.
- For **Category 2** only, clearly articulate the organization's history leading national-scope and state-level criminal justice data analysis, policy recommendation, and implementation projects. Include any subject matter expertise and/or partnerships that can assist states in coordinating with federal entities responsible for enforcement of federal immigration laws.

- For **Category 3** only, clearly articulate the organization's history leading national-, state-, local-, and tribal-level criminal justice data analysis and implementation projects. Include any subject matter expertise and/or partnerships that can assist tribes and local jurisdictions in coordinating with federal entities responsible for enforcement of federal immigration laws and in reducing the number of people under correctional control who do not have legal immigration status. Discuss the staffing resources—whether permanent full-time staff or proposed consultants—that will contribute to effective implementation and oversight of the program.
- Additionally, for **Category 2** only, describe the applicant's ability to, or experience with, managing pass-through funding with appropriate accountability.
- Position title, résumés of key project staff and work product examples will contribute to the assignment of points related to this criterion (see Additional Attachments on page 20).

4. 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 how other performance metrics, including state cost savings and reinvestments, will be documented, monitored, and evaluated.

5. Budget (10 percent)

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).
- Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the objectives of the project.⁸
- Budgets for **Category 2** applications that include proposals to provide implementation and sustainability assistance should allocate \$500,000 for each state that the applicant proposes to provide with implementation assistance. Subawards are subject to BJA approval. For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

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

⁸ 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.

for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

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

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

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

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

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

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

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

1. Applicant financial stability and fiscal integrity
2. Quality of the applicant’s management systems, and the applicant’s ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide

3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

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

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by April 1, 2019. 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.

As stated above, BJA expects that it will make any award under this solicitation 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

for an overview of performance measurement activities at OJP. Performance measures for this program are listed in [Appendix B](#).

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 ojpprsupport@usdoj.gov. (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Appendix A: Justice Reinvestment Initiative Five-Step Process

1. Stakeholder Engagement

The TA provider will work with governmental and non-governmental stakeholders of the state's criminal justice system to: (1) orient them to the justice reinvestment process, including drafting a publication documenting the challenges states seek to address and describing the process to come; (2) seek input on understanding justice system data and processes, and interpreting analytical and qualitative findings; (3) involve and inform stakeholders on implementation activities; and (4) set up processes for continued stakeholder engagement as TA concludes. Stakeholders typically include judges, corrections executives (both institutional and community supervision), prosecutors, defense counsel, law enforcement, parole board members, victims' advocates, business leaders, nonprofit service providers, local private foundations, and leadership from departments that provide behavioral health treatment and recovery services.

2. Data Analysis

TA providers will: (1) conduct a comprehensive analysis of state criminal justice data, including crime and arrest rates, conviction rates, pretrial, probation, parole, and prison and jail populations; (2) conduct a system assessment to ascertain the extent to which policies, procedures, and practices are consistent with evidence-based practices; (3) assess the capability of justice system stakeholders to collect, analyze, and share information for purposes of making data-driven policy decisions related to violent crime, corrections, and sentencing, as well as the extent to which any cost and/or population drivers are attributable to offenders without legal U.S. immigration status; (4) evaluate the cost-effectiveness of state spending on a variety of public safety investments, including corrections and community corrections; and (5) present findings to the state in a clear and concise manner.

This comprehensive analysis and evaluation should include an analysis of the following:

- Reported crime and arrest data across crime types, including violent crime, based on up-to-date local data, as available.
- Felony conviction data to understand sentencing trends by offense types.
- Prison admissions and length-of-stay data over a 3- to 5-year period, allowing state stakeholders to determine the availability of prison beds and treatment resources for those convicted of violent and serious offenses and those at highest risk of reoffending.
- Current capacity and effectiveness of institutional- and community-based risk-reduction supervision to ensure moderate-to-high risk individuals receive appropriate levels of custody and control, and programs such as cognitive behavioral therapy, drug treatment, mental health, and other social services that may reduce recidivism among offenders on community supervision.
- Criminal justice expenditures and the development of practical, data-driven policy initiatives, including high-performing programs that research shows can increase public safety, improve offender accountability, reduce recidivism, and assess the effectiveness of corrections spending to achieve those ends.

3. Policy Development

TA providers will: (1) develop data-driven policy initiatives that can increase public safety and improve accountability and outcomes; (2) model the impact of recommendations, as

data availability will allow, and compare that impact to the cost of maintaining current business practices; and (3) document recommended policies in a publication for both state stakeholders and a national audience. In addition, in states with communities that have experienced violent crime spikes or persistently high levels of violent crime, the TA provider will provide expert guidance on the potential roles of state policy, resources, and collaboration in an effort to reduce violent crime. TA providers will also provide expert guidance on policies which can address criminal justice costs and drivers associated with offenders without legal immigration status.

After policy recommendations are delivered, TA providers may be reengaged to assist with implementation, pending BJA approval.

4. Implementation Planning and Execution

During the orientation to justice reinvestment, TA providers will inform state leaders that the state will be eligible for implementation assistance if state leaders can demonstrate that they have analyzed the data, developed responsive policies, and memorialized criminal justice changes via state legislation or another mechanism. An eligible state will be required to submit an application for assistance to BJA, and BJA expects that the provider will assess and provide recommendations to BJA regarding the state's readiness to receive implementation assistance.

Implementation TA tasks and deliverables include: (1) assisting in developing implementation plans to guide timely implementation of adopted policies; (2) providing technical expertise and guidance regarding operational and programmatic aspects of implementation, as well as stakeholder education regarding the enacted policy changes; and (3) submitting for BJA approval the making and monitoring of subaward grants to seed implementation (setting aside \$500,000 per state). Subawards will provide limited assistance to supplement a state's funding of implementation efforts, and may be requested for the following uses:

- Build state capacity to improve data sharing across probation, parole, and law enforcement agencies to support analysis of local arrest, crime, and supervision data to better understand and respond to precipitous increases in persistently high crime and admissions to prison, and to analyze the effectiveness of community supervision to mitigate risk of recidivism and support crime reduction efforts.
- Provide training of corrections and community corrections, judicial, behavioral health, and other key staff on evidence-based practices for reducing recidivism; provide training to assist jurisdictions in implementing and validating new risk and needs assessment tools; assist in developing quality assurance mechanisms for these practices; and/or provide stakeholder education regarding the enacted policy changes.
- Assist in establishing high-performing programs, including violence reduction programs, initiatives that reduce time to deportation for individuals convicted of crimes who do not have legal immigration status, pretrial programs, and pre- and post-plea diversion programs in order to prioritize confinement space and other criminal justice resources for serious, chronic, or violent offenders.

5. Supporting Sustainability

The provider will work with state stakeholders to establish a sustainability plan to establish objectives and activities for continued data-driven decision making and system improvements in keeping with the objectives of justice reinvestment.

The successful applicant TA provider must complete the following deliverables:

- In consultation with BJA, develop and disseminate to state-level government officials and policymakers materials required for states to indicate their interest in JRI participation.
- Conduct an in-depth review and assessment of each JRI applicant, including site visits and data scoping, and make recommendations to BJA and the JRI Steering Committee (comprising JRI TA providers and funders) of appropriate candidates to participate in JRI.
- Coordinate and collaborate with BJA and the organization responsible for assessing JRI (to be selected) to collect appropriate evaluation and assessment data from participating states in order to determine the effectiveness of the policies and programs implemented with JRI assistance and subaward funding.
- Submit monthly progress reports and performance measurement data to the organization responsible for assessing JRI (to be selected through Category 1).
- Cooperate with the organization responsible for assessing JRI to ensure access to data, state JRI meetings, and state JRI service consumers.
- Publish state-specific reports to document three milestones in the JRI process: (1) upon the state's launch, a publication to lay out the challenges to be addressed through JRI; (2) after policy development and prior to a state's enactment, a publication to memorialize the recommended policy options; and (3) post-implementation, a report on implementation results.
- Make ongoing recommendations to BJA on relevant criminal justice research and ways to continue to improve the effectiveness of JRI.

Appendix B
Performance Measures Table

| Objectives | Performance Measure | Data Grantee Provides |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Objective 1: Support the development, implementation, and sustainment of comprehensive, data-driven, and evidence-based, state-level justice system improvements to increase public safety through training and train-the-trainer events. | 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 who subsequently demonstrated performance improvement | |
| 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 | |

| Objectives | Performance Measure | Data Grantee Provides |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <p>could be utilized in their job</p> |
| <p>Objective 2: Support the development, implementation, and sustainment of comprehensive, data-driven, and evidence-based state-level justice systems improvements to increase public safety through short-term and comprehensive technical assistance.</p> | <p>Number of curricula developed</p> | <p>Number of training curricula:</p> <ul style="list-style-type: none"> • Developed • Pilot tested • Revised after being pilot tested |
| | <p>Number of curricula that were pilot tested</p> | |
| | <p>Percentage of curricula that were revised after pilot testing</p> | |
| | <p>Percentage of requesting agencies that rated services as satisfactory or better</p> | <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 a satisfactory or better (in terms of timeliness and quality) • Number of follow-ups with requesting agencies completed 6 months after onsite visit • Number of agencies that were planning to implement at least one or more recommendations 6 months after the onsite visit |
| | <p>Percentage of requesting agencies that were planning to implement one or more recommendations</p> | |
| | <p>Percentage of peer visitors who reported that the visit to the other</p> | <ul style="list-style-type: none"> • Number of peer-to-peer visits completed |

| Objectives | Performance Measure | Data Grantee Provides |
|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | agency was useful in providing information on policies or practices | <ul style="list-style-type: none"> • Number of peer visitors who completed an evaluation • 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 |
| | 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 | |
| | Percentage of requesting agencies of other onsite services that rated the services provided as satisfactory or better | <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 a satisfactory or better |
| Objective 3: Increase information provided to BJA and the criminal justice community. | Number of conferences or advisory/focus groups held | <ul style="list-style-type: none"> • Number of conferences or advisory/focus groups held • Number of conference or advisory/focus group attendees who completed an evaluation • Number of conference or advisory/focus group attendees who rated the advisory/focus |
| | Percentage of advisory/focus groups evaluated as satisfactory or better | |

| Objectives | Performance Measure | Data Grantee Provides |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | group as satisfactory or better |
| | Number of publications developed | <ul style="list-style-type: none"> • Number of publications/resources developed • Number of publications/resources disseminated |
| | Number of publications disseminated | |
| | Percentage of websites developed and maintained | <ul style="list-style-type: none"> • Number of websites developed • Number of websites maintained • Number of visits to websites during the current reporting period • Number of visits to websites during the previous reporting period |
| | Percentage of increase in the number of visits to websites | |
| Percentage of information requests responded to | <ul style="list-style-type: none"> • Number of information requests • Number of information requests responded to | |

Appendix C: Application Checklist

Justice Reinvestment Initiative: National Training and Technical Assistance

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 25)
- Acquire or renew registration with SAM (see page 25)

To Register with Grants.gov:

- Acquire AOR and Grants.gov username/password (see page 26)
- Acquire AOR confirmation from the E-Biz POC (see page 26)

To Find Funding Opportunity:

- Search for the Funding Opportunity on Grants.gov (see page 26)
- Select the correct Competition ID (see page 26)
- Access Funding Opportunity and Application Package (see page 26)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 24)
- 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 122)

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

- (1) application has been received,
- (2) application has either been successfully validated or rejected with errors (see page 27)

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

- Contact NCJRS regarding experiencing technical difficulties (see title page)

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) described on page 9.

Eligibility Requirement:

- The applicant is a national-scope private and non-profit organization (including tribal nonprofit or for-profit organizations), college, or university (public or private) (including tribal institutions of higher education).

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 133)
- Project Abstract (see page 144)
- Program Narrative* (see page 14)
- Budget Detail Worksheet* (see page 16)

| | | |
|-------|-----------------------------------------------------------------------------|-----------------|
| _____ | Budget Narrative* | (see page 16) |
| _____ | Indirect Cost Rate Agreement (if applicable) | (see page 1919) |
| _____ | Financial Management and System of Internal Controls Questionnaire | (see page 19) |
| _____ | Disclosure of Lobbying Activities (SF-LLL) | (see page 20) |
| _____ | Additional Attachments | |
| _____ | Timeline/Task Plan* | (see page 20) |
| _____ | Applicant Disclosure of Proposed Subrecipients* | (see page 20) |
| _____ | Position Descriptions for Key Roles* | (see page 21) |
| _____ | Résumés of Key Personnel* | (see page 21) |
| _____ | Work Product Examples* | (see page 21) |
| _____ | Applicant Disclosure of Pending Applications | (see page 21) |
| _____ | Research and Evaluation Independence and Integrity | (see page 22) |
| _____ | Request and Justification for Employee Compensation; Waiver (if applicable) | (see page 12) |

***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.