

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 Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities. This program furthers the Department's mission by providing resources to states, units of local government, and federally recognized Indian tribes to develop and implement more effective and evidence-based probation and parole practices that effectively address individuals' needs and reduce recidivism.

Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities FY 2017 Competitive Grant Announcement

Applications Due: March 7, 2017

Eligibility

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

Note: Assessing the outcome of programs funded under the Second Chance Act is a DOJ priority. Applicants should not apply for funding if they cannot track unique identifiers for participants, gain access to recidivism data, and report recidivism data, particularly returns to incarceration during the period one year after release. Applications must include a signed assurance from the chief executive of the applicant organization stating that all participant recidivism indicator data will be collected and submitted. Smart Supervision grantees are required to complete process and/or outcome evaluations. Failure to submit an evaluation report, in accordance with grantees' individually proposed timelines, will impact grantees' ability to be competitive for future awards.

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 subrecipients ("subgrantees").¹ The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient ("subgrantee") in more than one application.

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

BJA may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on March 7, 2017.

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, 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 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 or 606-545-5035, or via email to support@grants.gov. The [Grants.gov](https://www.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 the applicant's control that prevents submission of the application by the deadline may request to submit a late application. To request approval to submit a late application, an applicant must email the National Criminal Justice Reference Service (NCJRS) Response Center at grants@ncjrs.gov **within 24 hours after the application 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 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-2017-11545

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Contents

A. Program Description	4
Overview	4
Program-Specific Information	4
Goals, Objectives, and Deliverables	5
Evidence-Based Programs or Practices	9
B. Federal Award Information.....	10
Type of Award.....	10
Financial Management and System of Internal Controls.....	10
Budget Information.....	11
Cost Sharing or Matching Requirement.....	11
Pre-Agreement Costs (also known as Pre-award Costs).....	12
Limitation on Use of Award Funds for Employee Compensation; Waiver	12
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs	13
Costs Associated with Language Assistance (if applicable)	13
C. Eligibility Information.....	13
D. Application and Submission Information	14
What an Application Should Include	14
How to Apply	25
E. Application Review Information.....	28
Review Criteria.....	28
Review Process	31
F. Federal Award Administration Information	33
Federal Award Notices	33
Administrative, National Policy, and Other Legal Requirements	33
General Information about Post-Federal Award Reporting Requirements	33
G. Federal Awarding Agency Contact(s)	34
H. Other Information.....	34
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a).....	34
Provide Feedback to OJP	35
Application Checklist	36
Appendix.....	38

Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities

CFDA #16.812

A. Program Description

Overview

At yearend 2014, an estimated 4,708,100 adults were under supervision in the community either on probation or parole—the equivalent of about 1 out of every 52 adults in the United States.² Many people on supervision do not successfully complete their community supervision. According to the Bureau of Justice Statistics (BJS), the incarceration rates for probationers and parolees have remained relatively stable. State-level data from BJA's Justice Reinvestment Initiative indicate that in some states, probation and parole revocations account for up to 65 percent of prison and jail admissions annually.³ These failure rates are a key reason prison populations remain high.

The fiscal year (FY) 2017 Smart Supervision Program (SSP) seeks to improve the capacity and effectiveness of community supervision agencies to increase probation and parole success rates and reduce the number of crimes committed by those under probation and parole supervision, which would in turn reduce admissions to prisons and jails and save taxpayer dollars. Funds can be used to improve supervision using evidence-based supervision strategies or to innovate new strategies to improve outcomes for supervisees.

Statutory Authority: This program is funded pursuant to annual appropriation acts for the Department. Signed into law on April 9, 2008, the Second Chance Act ([P.L. 110-199](#)) was designed to improve outcomes for people returning to communities from prisons and jails. This first-of-its-kind legislation authorizes federal grants to government agencies and nonprofit organizations to provide employment assistance, substance use treatment, housing, family programming, mentoring, victims support, and other services that can help reduce recidivism.

Program-Specific Information

BJA's "[Smart Suite](#)" of programs invest in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies and interventions that are effective and economical. This data-driven approach enables jurisdictions to understand the full nature and extent of the crime challenges they are facing and to target resources to the highest priorities. The Smart Suite of programs, which includes the Smart Supervision Program, represents a strategic approach that brings more "science" into criminal justice operations by

²Probation and Parole in the United States, 2014, Bureau of Justice Statistics, <http://www.bjs.gov/content/pub/pdf/ppus14.pdf>.

³ See, e.g., CSG Justice Center, [Tough and Smart: Opportunities for Kansas Policymakers to Reduce Crime and Spending](#) (2007) (In 2007, "65 percent of admissions to prison are people who violated the conditions of their probation or parole."); CSG Justice Center, [Justice Reinvestment in New Hampshire: Analyses & Policy Options to Reduce Spending on Corrections & Increase Public Safety](#), at 4 (Dec. 2012) (probation and parole revocations accounted for 57% of New Hampshire's prison admissions in 2009); CSG Justice Center, [Justice Reinvestment in North Carolina: Analysis and Policy Framework to Reduce Spending on Corrections and Reinvest in Strategies to Increase Public Safety](#) (Apr. 2011) ("Probation revocations accounted for greater than 50 percent of admissions to prison in FY 2009.").

leveraging innovative applications of analysis, technology, and evidence-based practices with the goal of improving performance and effectiveness while containing costs.

The Smart Suite assists criminal justice practitioners in building their capacity to develop research-based strategies and focus on program fidelity to increase chances of success. This requires practitioner agencies to partner with researchers using an “action research” approach to enhance collection and review of data, which in turn can serve as a strong foundation for outcome evaluations of program interventions. In “action research,” researchers work closely with practitioners to most effectively address specific public safety/criminal justice related problems (e.g., high gun violence rate, poor police legitimacy). In addition, research partners work with the agency and/or consortium of partners to assess problems, identify underlying causes of these problems, identify effective strategies to address these problems (e.g., “theory of change”), implement data-driven strategies/programs to address these problems, conduct program assessments (e.g., process and/or outcome evaluations), and provide “real-time” feedback to enhance decision-making. Successful partnerships between practitioners and researchers require investments of planning, time, communication, complementary skills, and adequate resources.

The FY 2017 SSP challenges probation and parole agencies to assess their ability and effectiveness to address the risk and needs of individuals under their supervision, and to thereby reduce recidivism in their jurisdictions. Agencies should propose evidence-based and innovative grant activities to build capacity in one or more areas assessed as needing improvement and utilizing the action research approach. But reducing recidivism requires more than adopting evidence-based practices. It also requires agency-wide commitments to align policies and practices with recidivism reduction goals and continuous quality improvement. Thus, funds can be used to support capacity-building activities, including staff training to meet the rehabilitative and supervision needs of the supervision population; assessing and addressing gaps and/or quality of service provision; standardizing new or existing strategies to promote replication and scaling; and developing and implementing performance metrics.

BJA expects that SSP grantees will develop a researcher-practitioner partnership and use the action research approach to inform and evaluate grant activities.

Successful applicants will receive technical assistance tailored to the proposed activities through the National Reentry Resource Center, which is funded by BJA to assist Smart Supervision Program Grantees.

Goals, Objectives, and Deliverables

The goals of the Smart Supervision Program are to develop and test innovative strategies and implement evidence-based probation and parole approaches that improve supervision success rates, thereby increasing community safety and reducing violent and other crime by effectively addressing individuals’ risks and needs and reducing recidivism.

The objectives of the Smart Supervision Program are to:

- Improve supervision strategies that will reduce recidivism.
- Promote and increase collaboration among agencies and officials who work in probation, parole, pretrial, law enforcement, treatment, reentry, and related community corrections fields.
- Develop and implement strategies for the identification, supervision, and treatment of “high-

risk/high-needs” supervisees, including subsets of this population, which may serve as a model for other agencies throughout the nation.

- Develop and implement developmentally appropriate strategies for the identification, supervision, and treatment of young adult supervisees that may serve as a model for other agencies throughout the nation.
- Develop and implement strategies to identify and enroll uninsured supervisees into Medicaid, or other insurance through health exchanges, and to connect them to treatment and healthcare providers as appropriate.
- Objectively assess and/or evaluate the impact of innovative and evidence-based supervision and treatment strategies.
- Demonstrate the use and efficacy of evidence-based practices and principles to improve the delivery of probation and parole supervision strategies and practices.

This program’s required deliverables are:

- An action plan, comprising a problem analysis, logic model, summary of strategies and intended outcomes, and research base for proposed strategies. The action plan is envisioned as a product of collaboration among the supervision agency, research partner, and technical assistance provider. For more information about the required action plan, see page 11.
- Final analysis and report by the research partner.

The Goals, Objectives, and Deliverables are directly related to the performance measures set out in the table in [Section D. Application and Submission Information](#), under "Program Narrative."

Mandatory Project Components

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

- Demonstrate the supervision agency’s commitment to the proposed initiative. If the lead agency is not the supervision agency, demonstrate the lead agency’s commitment as well.
- Clearly demonstrate the appropriate use and integration of evidence-based principles such as the assessment of risk and needs.
- Document a baseline recidivism rate based on historical data.
- Incorporate a research partner to assist with a) data collection and analysis, b) problem assessment, c) strategy development, and/or d) monitoring and evaluation performance. The research partner can be an independent consultant, or located in an academic institution, a state Statistical Analysis Center, or a research organization. The research partner should have demonstrated expertise conducting the type of work proposed.

Allowable Uses for Award Funds

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

- **Increase the capacity of states, localities, and tribal communities to help probation or parole agencies improve supervision.** Applicants can use grant funds to implement

evidence-based strategies to increase the effectiveness of community supervision, including the incorporation of the following: identification of risk and needs through assessment; assignment of individuals to caseloads based on assessment results; coaching and resources to support coaching; quality assurance and monitoring mechanisms to ensure fidelity to evidence-based practices; and supervision and programming of the appropriate type and dosage, including the use of swift and certain responses to violations. These proposals should include collecting and analyzing community supervision data, expanding technical assistance and training resources to community supervision staff, emphasizing the use of evidence-based principles and practices, and improving interagency coordination of community supervision activities. For a project in this category of allowable funds, the research partner should propose how they will incorporate and help the agency operationalize lessons from implementation science to ensure fidelity to evidence-based practices.

- **Test new policies and strategies in community supervision and treatment to increase public safety and generate savings.** Applicants can use grant funds to test innovative strategies to help agencies better target resources to the continuum of low- to high-risk supervisees (e.g., target a high-risk/high-needs cohort of probationers for intensive intervention and supervision activities). The results of these projects must be documented by an objective third-party evaluation or assessment partner. Successful strategies will be promoted nationally.
- **Test new policies and strategies in community supervision and treatment to respond appropriately to the unique challenges posed by young adult supervisees (e.g., 25 years and younger).** Applicants can use grant funds to test innovative strategies to help agencies better plan to meet the needs of young adult supervisees, particularly those with a history of violent conduct. New strategies may include specialized caseloads for this age cohort, training for probation and parole officers in adolescent brain development, developing appropriate responses to violations of conditions and incentives, and developing programming and treatment that is developmentally appropriate for this cohort. The results of these projects must be documented by an objective third-party evaluation or assessment partner. Successful strategies will be promoted nationally.
- **Develop and/or deploy information technology** to enhance individual accountability, bolster interagency cooperation, or develop and test tools for the field that effectively facilitate reentry by integrating risk assessment of probationers or parolees with information about substance use, mental health, employment, and education needs. Information sharing solutions should propose to implement [National Information Exchange Model \(NIEM\) standards](#) to ensure efficiency and reuse of solution development.
- **Analyze and implement changes to policies and practices that guide community supervision conditions and revocation procedures.** Applicants can use funds to **work with judicial, law enforcement, and prosecutorial counterparts** to identify and revise existing policies and practices or draft new guidance to help determine supervision conditions, incentives and sanctions, and revocation. Applicants should consider basing supervision conditions on risk and criminogenic needs assessments and the use of a range of administrative sanction options.
- **Promote the use of evidence-based programs and strategies by service providers that provide treatment, aftercare, reentry services, and alternatives to incarceration to those on supervision.** Applicants can use funds to assess the extent to which service

providers are using validated risk and needs assessment tools, serving medium- to high-risk supervisees, and implementing evidence-based programs and strategies with fidelity. Funds may also be used to provide training in evidence-based practices to service providers under contract with the applicant.

- **Plan for how expanded options for access to healthcare can enhance health and safety outcomes for supervisees.** Applicants can plan and implement strategies for expanded Medicaid eligibility, behavioral health parity, and connection to subsidized private health insurance options through the health insurance marketplace (also known as exchanges) to increase access to healthcare and utilization of services, as well as enhance the continuity of care from correctional healthcare to community-based healthcare. For example, applicants may propose to meet these goals by providing guidance on the individual mandate for the criminal justice population, including how and when to file for an exemption to the penalty; identifying options and exclusions under Medicaid relating to court-mandated treatment; identifying Marketplace and Medicaid considerations for maximizing healthcare coverage for the criminal justice population in those states opting not to expand Medicaid; and, if applicable, examining strategies and policies relating to suspending and/or terminating Medicaid benefits upon incarceration. In projects for this allowable use, research partners may consider examining whether and to what extent better continuity of care, especially in terms of better access to substance use and mental health treatment, made possible by Medicaid helps achieve parity in access to services⁴ and a decrease in recidivism.
- **Expand collaboration and strategic partnerships between community supervision agencies and law enforcement.** Applicants can design strategies to help state, local, and tribal law enforcement and community supervision agencies consolidate risk assessment tools and share information more effectively. This will include strategies for helping state, local, and tribal law enforcement and probation or parole agencies integrate their resources to supervise “high-risk” supervisees. For example, an applicant may propose use of social network analysis to inform violence-prevention efforts. The most promising strategies identified through these efforts can then be tested and promoted on a national basis.
- **Convene an interagency working group to analyze the jurisdiction’s probation population drivers and make recommendations.** Under this allowable use, applicants must use grant funds to support analysis of data from relevant agencies, e.g., court data and probation case management data. It is recommended under this allowable use that applicants also budget for a full-time coordinator, a staff-person who will support the working group both substantively and administratively. Based on similar work through the Justice Reinvestment Initiative, potential policy recommendations might include a protocol for early termination of probation, an agreement among key stakeholders reducing the length of standard probation terms, or recommendations to amend the state’s criminal code. The lead applicant under this allowable use should have convening authority and capacity to lead an interagency problem-solving collaborative group.
- **Evaluate the results of the new strategies and tools tested through this initiative.** Research activities should be tailored to support, and be integrated with, the project design. At a minimum, evaluations will document and assess implementation of the project, identify

⁴ The Mental Health Parity and Addiction Equity Act (MHPAEA) seeks to improve access to behavioral health services by requiring many insurance plans to offer coverage for those services that is no more restrictive than the coverage for medical or surgical conditions.

any issues or concerns regarding their implementation, and make recommendations for adjustments to the project design to achieve intended results. Evaluations of new strategies and tools will focus on how well the interventions developed and policy changes implemented have helped achieve the objectives of this program.

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](https://www.crimesolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

In addition, applicants can obtain more information on evidence-based strategies for probation and parole supervision from the following resources:

- [*A Ten-Step Guide to Transforming Probation Departments to Reduce Recidivism*](#)
- ["Putting Public Safety First: 13 Strategies for Successful Supervision and Reentry"](#)
- ["Maximum Impact: Targeting Supervision on Higher-Risk People, Places, and Times"](#)

Collaborative partnerships between researchers and practitioners have great potential to improve practice and policy. The National Institute of Justice recently published findings of the Research-Practitioner Partnerships Study, which documents, synthesizes, and shares what makes partnerships between researchers and practitioners successful: "[Recommendations for Collaborating Successfully With Academic Researchers, Findings from the Researcher-Practitioner Partnerships Study \(RPPS\)](#)."

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

Applicants can refer to the following resources for general information about how the Affordable Care Act may impact probation and parole agencies:

- ["State Profiles of Health Care Information For The Criminal Justice System,"](#) including a state-by-state interactive profile map, newsletters, and FAQs, including specific questions for individuals under correctional supervision

- [“Ten Ways Probation & Parole Officers Can Help Link People to New Health Insurance Opportunities”](#)
- [“Mapping the Criminal Justice System to Connect Justice-Involved Individuals with Treatment and Health Care Under the Affordable Care Act”](#)
- [“Resources on the Impact of the Affordable Care Act on the Criminal Justice System”](#)
(general clearinghouse on criminal justice and the Affordable Care Act)

To find out more information about the Health Insurance Marketplace, applicants can visit www.healthcare.gov or call the Health Insurance Marketplace Call Center at 800-318-2596. TTY users should call 855-889-4325. For information about expanded Medicaid coverage, contact your state or local Medicaid agency.

B. Federal Award Information

BJA expects to make up to seven awards of up to \$750,000 each, with an estimated total amount awarded of up to \$5,000,000. BJA expects to make awards for a 36-month period of performance, to begin on October 1, 2017.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, 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 that any award under this solicitation will be made in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁵) must, as described in the Part 200 Uniform Requirements⁶ 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

⁵ 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.

⁶ 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.

should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

(b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.

(c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.

(d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

(e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

Budget Information

Unallowable Uses for Award Funds

In addition to the unallowable costs identified in the [2015 DOJ Grants Financial Guide](#), award funds may not be used for the following:

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

For questions pertaining to budget and examples of allowable and unallowable costs, see the [2015 DOJ Grants Financial Guide](#).

Cost Sharing or Match Requirement

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

Award Special Condition – Withholding of Funds for BJA Action Plan

Once awarded, each grant award will have in place a special condition withholding all but \$200,000, which will allow grantees to establish an action plan within 180 days of receiving final approval of the project’s budget from the Office of the Chief Financial Officer (OCFO). The recipient will not be authorized to obligate, expend, or draw down funds in excess of \$200,000

until BJA has reviewed and approved the action plan and a Grant Adjustment Notice has been issued and approved to remove the special condition. The action plan must include:

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

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

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

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#) 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% 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.⁷ The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). 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.

⁷ 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.

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

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

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the "Civil Rights Compliance" section under “Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards” in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see the title page.

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Program Abstract, Program Narrative, Budget Detail Worksheet, Budget Narrative, Letter Documenting Supervision Agency Executive Commitment, and Assurance to Collect Recidivism Data. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) (below) to be sure applications are submitted in permitted formats.

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

For samples of successful FY 2015 applications, go to

www.bja.gov/funding/ApplicationExamples14.html.

<https://www.bja.gov/Funding/Eighth-Judicial-District-Department-of-Correctional-Services-Project-Nar.pdf>

<https://www.bja.gov/Funding/Multnomah-County-of-Program-Narrative-redacted.pdf>

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). The SF-424 must include the amount requested for the entire 36-month project period.

To avoid processing delays, applicants must include an accurate legal name on their SF-424. Current OJP award recipients, when completing the field for "Legal Name," 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. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. Applicants with current awards must ensure that their GMS profile is current. If it isn't, they should submit a Grant Adjustment Notice updating the information on their GMS profile prior to applying under this solicitation.

New applicants should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. Applicants must attach official legal documents to their applications (e.g., articles of incorporation, 501C3, etc.) to confirm the legal name, address, and EIN entered into the SF-424.

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

The appropriate point of contact (POC) and authorized representative should be two distinct individuals. The authorized representative must have the authority to enter the state, county, municipality, or other eligible unit of local government into a legal contract with the federal government. This person is typically a county commissioner, mayor, city manager, or other similarly designated official. The appropriate POC will serve as the primary point of contact and will be responsible for grant management duties such as the submission of reports. Make sure that the name, contact information, title, and salutation are correct.

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 (Times New Roman) with 1-inch margins
- **Clearly labeled, including the following information:**
 - legal name of the grant recipient and the title of the project;
 - project's purposes, goals, and deliverables;
 - program design elements, including the allowable uses of funds that will be incorporated into the project;
 - mandatory program components;
 - if applicable, the projected number of participants to be serviced through the project and target population characteristics;
 - baseline recidivism rate; and
 - name of the validated risk assessment tool used.

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

All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

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

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

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

BJA recommends that the abstract be submitted as a Microsoft Word document.

3. Program Narrative

The program narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must not exceed 15 pages. Number pages "1 of 15," "2 of 15," etc. If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative⁸:

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Impact/Outcomes, Evaluation, and Sustainment
- e. Plan for Collecting the Data Required for this Solicitation's Performance Measures

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in [Section A. Program Description](#).

To demonstrate program progress and success, as well as to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must regularly provide data to measure the results of their work done under this solicitation. Post award, recipients will be required to submit quarterly performance metrics through BJA's online Performance Measurement Tool (PMT), located at <https://www.bjaperformancetools.org>. Applicants

⁸ 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](#).

should review the complete list of SSP Program performance measures at:
<https://www.bjaperformancetools.org/help/SSPMeasures.pdf>.

BJA does not require SSP applicants to submit performance measure data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data.

Note on Project Evaluations

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

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

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) web page of the “Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017,” available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

4. Budget and Associated Documentation

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year. Applicants must show all computations. The Budget Detail Worksheet should provide itemized breakdowns of all costs. If the computations do not show a sufficient amount of detail or are incorrect, the budgets will be returned for corrections.

Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff members to attend one meeting per year in Washington, D.C. All expenses must be reasonable, allowable, and necessary to the project. The estimates must provide a breakdown of all costs and adhere to the federal per diem.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

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—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

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.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

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 application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as 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. 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. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

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 (that is, 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 (that is, 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 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 <http://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.)

6. Tribal Authorizing Resolution (if applicable)

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

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

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

Every applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

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

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

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

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

9. Additional Attachments

- a. Letter from Community Supervision Agency Executive** demonstrating agency commitment to the project and to the research partnership. (Note also that the Executive must also sign the Assurance in the Appendix that aggregate recidivism indicator data will be submitted as required.)

- b. **Letter from Lead Agency** (applicable only if the supervision agency is not the lead agency), demonstrating commitment to the project and to the research partnership.
- c. **Letter from Research Partner** demonstrating commitment to the project.
- d. **Assurance to Collect and Submit Recidivism Indicator Data**
Applications must include an Assurance signed by the applicant organization’s chief executive (see the Appendix for the Assurance form) that all participant recidivism indicator data will be collected and submitted at the end of the grant period. Applications which do not include this Assurance will not be considered. Inability or refusal to submit data after award may impact the organization’s ability to receive future BJA competitive grant funding.
- e. **Project Timeline** with each project goal, related objective, activity, expected completion date, and responsible person or organization.
- f. **Position Descriptions** for key positions and **Résumés** for personnel in those positions, including Research Partner position(s).
- g. **Letters of Support** from all other key partners detailing the commitment to work with the applicant to promote the mission of the project.
- h. **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 any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

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
SAMPLE		

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 & 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 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 in this application.”

j. 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 www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation 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. 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. Please ensure that all required documents are attached in either Grants.gov category.

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)

Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (')
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	Applicants must use the “&” format in place of the ampersand (&) when using XML format for documents.		

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:

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. If an applicant entity has not fully complied with 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.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

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

- 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.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. 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 www.dnb.com. A DUNS number is usually received within 1-2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-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 16.812, titled "Second Chance Act Reentry Initiative," and the funding opportunity number is BJA-2017-11545.
- 6. 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 March 7, 2017.

Click [here](#) 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 may contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the BJA 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](#) web page.

E. Application Review Information

Review Criteria

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

1. Statement of the Problem/Description of the Issue (15%)
 - Clearly define the scope of the problem that the proposed project seeks to impact.
 - Describe the size and demographic makeup of the population in the jurisdiction currently under community supervision.
 - Describe the current organizational/management structure of the responsible supervising agency/entity, including the number of supervising staff, the staff/supervisee ratio, and any differences in ratios based on specialized caseloads based on risk or other factors.
 - Describe the use of evidence-based strategies including the type of risk/needs assessment instrument utilized and existing efforts to measure and improve fidelity.

- Define and describe the current recidivism rate (and/or revocation rate, translating that into a baseline recidivism rate) that may be used to assess the effectiveness of the project. Clearly articulate how the recidivism rate is calculated. If a revocation rate is used, distinguish between revocations for new crimes and revocations for other violations of supervision conditions.
- Describe the fees the supervision agency will charge the target population for supervision, drug testing, electronic monitoring, or any other relevant fee. Describe any differences between the fees charged to the target population and other supervised populations not part of the project and the reasons for the differences. Discuss any known impact of these fees on successful completion of supervision terms.
- Describe how the applicant anticipates the project's implementation will improve the effectiveness and efficiency of the delivery of supervision.
- Explain the inability to fund the program adequately without federal assistance.

2. Project Design and Implementation (35%)

- Clearly articulate the goals established for this project and connect them to the overarching goals of the solicitation set forth on page 5.
- Describe in detail how the proposed project addresses the Mandatory Project Components outlined on page 6.
- Describe specifically which areas the proposed project will address (refer to the "Allowable Uses for Award Funds" section on pages 6-8).
- Use data to support the project design.
- Describe the roles and responsibilities of the research partner in the SSP and how the role of the research partner is integrated into the SSP strategy. At a minimum, the research partner should assist in drafting the action plan (see page 11); provide ongoing analysis, monitoring, and assessment of the solution's impact; and prepare a final report that thoroughly assesses the results of the project.
- Indicate the number of people under community supervision who would receive services if this proposal is funded. This number will serve as the target for measuring performance of the project through the [Smart Supervision Program performance measures](#).

3. Capabilities and Competencies (25%)

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.
- Demonstrate the capability of the implementing agency and collaborative partners to implement the project effectively, including gathering and analyzing data, engaging and collaborating with partners, developing and implementing a plan and troubleshooting implementation problems, and working with research partners to evaluate a project. Describe and provide evidence of the types and quality of data sources available to the agency to conduct appropriate analysis.
- Describe the qualifications of the SSP research partner and the prior experience of the researcher with "action research," including prior work with probation or parole

agencies and other criminal justice partners. Candidates should be experienced in several different data collection and analytic methods. It is preferable that they have several years of evaluation research experience. Specifically, the application should include the proposed research partner's experience completing the following activities as a member of a task force or implementation team:

- Developing a "theory of change"
- Developing logic models
- Collecting and analyzing criminal justice and public safety data
- Using data to identify criminal justice and public safety related problems
- Ability to work through barriers to research-driven problem solving
- Identifying and proposing proven strategies/interventions to address problems
- Documenting program operations and processes
- Measuring program outcomes
- Using data to determine program effectiveness
- Assessing implementation fidelity
- Regularly presenting findings and conclusions both orally and in written form to a task force/implementation team
- Making recommendations for program improvement
- Developing "real-time" products and resources for strategic decision-making
- Working with the team to develop a sustainability plan
- Communicating with a wide variety of public sector, private, and community individuals – for example, prosecutors, law enforcement leadership and line officers, community members, clergy representatives, funding agency representatives, legislators, city council members, and even justice-involved individuals are some of the audiences research partners may be called upon to present their evaluation findings, conclusions, and recommendations

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

- Describe the process for assessing the project's effectiveness through the collection and reporting of the required performance metrics data (see "Performance Measures," page 16), including who will be responsible and how data will be collected.
- List any additional performance metrics that will be used to assess the project's effectiveness and the process for collecting the information, including who will be responsible and how data will be collected.

5. Impact/Outcomes, Evaluation, and Sustainment (10%)

- Identify goals and objectives for program development, implementation, and outcomes.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented. BJA expects that, with assistance from the research partner, grantees should be able to report timely, complete, and accurate data in the required grant reports.
- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.
- Describe a plan for the evaluation of the project and document a collaborative

relationship with an objective, third-party evaluator such as a local college or university. Specifically identify and describe the partnership and collaboration.

- Discuss how this effort will be integrated into the state or tribal justice system plans or commitments, how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.

6. Budget (10%)

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget Narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.⁹
- Include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment. There is no minimum or maximum requirement regarding what constitutes an appropriate percent; however, the budget designated should be adequate to fund the activities outlined in the application. The Budget Narrative should explain how the amount dedicated to these activities is adequate to support the proposed activities.
- Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for teams of three to attend annual three-day meetings in Washington, D.C., to include representatives from the community supervision agency and the research partner.

Review Process

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

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

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

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

⁹ 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.

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 OJP include underserved populations, 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 applicants. 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. 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 applicants.

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

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

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. 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 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, regulations, and executive orders (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 2017 Awards](#)," available in the [OJP Funding Resource Center](#). 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.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 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 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

General Information about Post-Federal Award Reporting Requirements

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

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

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 web site at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an 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 recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

Notice of Post-Award FFATA Reporting Requirement

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a DUNS number.

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

Application Checklist
FY 2017 Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities

This application checklist has been created as an aid in developing an application. Items marked with an asterisk (*) below 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.

What an Applicant Should Do:

Prior to Registering in Grants.gov:

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

To Register with Grants.gov:

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

To Find Funding Opportunity:

- _____ Search for the Funding Opportunity on Grants.gov (see page 27)
- _____ Download Funding Opportunity and Application Package (see page 27)
- _____ Sign up for Grants.gov email [notifications](#) (optional) (see page 25)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 13)

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

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

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

- _____ contact BJA regarding experiencing technical difficulties (see page 28)

Overview of Post-Award Legal Requirements:

- _____ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of \$750,000.

Eligibility Requirement:

- _____ Lead applicant is a state, unit of local government, or a federally recognized Indian tribal government (as determined by the Secretary of the Interior)

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 14)
- _____ *Project Abstract (see page 15)
- _____ *Program Narrative (see page 16)
- _____ *Budget Detail Worksheet (see page 17)
- _____ *Budget Narrative (see page 18)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 20)
- _____ Tribal Authorizing Resolution (if applicable) (see page 20)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 21)
- _____ Additional Attachments
 - _____ *Letter from Community Supervision Agency Executive (see page 21)
 - _____ Letter from Lead Agency (if applicable) (see page 22)
 - _____ Letter from Research Partner (see page 22)
 - _____ *Assurance to Collect and Submit Recidivism Indicator Data (see page 22)
 - _____ Project Timeline (see page 22)
 - _____ Position Descriptions (see page 22)
 - _____ Other Letters of Support (see page 22)
 - _____ Applicant Disclosure of Pending Applications (see page 22)
 - _____ Research and Evaluation Independence and Integrity (see page 23)
- _____ Request and Justification for Employee Compensation Waiver (if applicable) (see page 12)

Appendix

Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

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

Signature

Title

Date