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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) (OJJDP) is seeking applications for the fiscal year (FY) 2016 Second Chance Act Smart on Juvenile Justice: Community Supervision Implementation initiative. This program furthers the Department's mission by supporting state and local efforts to improve their capacity to reduce recidivism and improve outcomes for youth returning to their communities after out-of-home detention or placement.

## **OJJDP FY 2016 Second Chance Act Smart on Juvenile Justice: Community Supervision Implementation**

**Applications Due: May 13, 2016**

### **Eligibility**

Eligibility is limited to the six award recipients (Connecticut Office of Policy and Management, Indiana Department of Corrections, Guam Judicial Branch, New York State Division of Criminal Justice Services, Georgia Department of Juvenile Justice, and the Massachusetts Department of Youth Services) under the OJJDP FY 2015 Second Chance Act Smart on Juvenile Justice: Community Supervision solicitation.

### **Deadline**

Applicants must register with [OJP's Grants Management System \(GMS\)](#) prior to submitting an application. Registration is required for all applicants, even those previously registered in GMS. Select the "Apply Online" button associated with the solicitation title. See the "How To Apply" section on page 24 for more details. All registrations and applications are due by 11:59 p.m. eastern time (ET) May 13, 2016.

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 Management System Support Hotline at 1-888-549-9901, option 3, or via e-mail to [GMS.Helpdesk@usdoj.gov](mailto:GMS.Helpdesk@usdoj.gov). Hotline hours of operation are Monday-Friday, 6 a.m. to 12 midnight ET, except federal holidays.

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the OJJDP contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under “Experiencing Unforeseen GMS Technical Issues” in the [How To Apply](#) section.

For assistance with any other requirements of this solicitation, contact Dennis Mondoro, Senior Policy Advisor, by telephone at 202-514-3913 or by e-mail at [Dennis.Mondoro@usdoj.gov](mailto:Dennis.Mondoro@usdoj.gov).

Release date: March 1, 2016

Updated: March 11, 2016

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# **OJJDP FY 2016 Second Chance Act Smart on Juvenile Justice: Community Supervision Implementation (CFDA #16.812)**

## **A. Program Description**

### **Overview**

As many as 100,000 youth younger than 18 years old are released from juvenile correctional facilities every year. These young people often return to their communities with complex needs, such as physical and behavioral health issues and barriers to education and employment. In FY 2015, OJJDP awarded planning grants to support states, local governments, and federally recognized Native American/Alaskan Native tribes and communities as they developed comprehensive juvenile community supervision strategic plans. Under this grant program, OJJDP will select FY 2015 grantees that apply to receive awards to implement their strategic plans. Funding decisions for implementation grants will be competitive, and OJJDP will consider the quality and comprehensiveness of the strategic plan and associated deliverables developed under the FY 2015 planning grant.

This program is authorized pursuant to Section 101 of the Second Chance Act, Pub. L. No. 110-199.

### **Program-Specific Information**

Under the OJJDP FY 2015 Second Chance Act Smart on Juvenile Justice: Community Supervision program, OJJDP asked grantees to complete a 12-month planning phase to develop: (1) collaborative cross-disciplinary teams of state or local stakeholders providing community supervision services; (2) a plan to assess current policies, practices, and training for juvenile community supervision; (3) strategies to strengthen systematic continuity of care throughout the phases of the reentry continuum; and (4) strategies to develop quality oversight and improvement in data collection methods to reduce the jurisdiction's historical baseline juvenile recidivism rate.

This solicitation supports the implementation phase and will address the following: (1) critical programmatic functions in day-to-day juvenile community supervision practice, including the use of a comprehensive assessment of risk for reoffending, strengths, and needs; (2) cognitive-behavioral interventions; (3) family engagement; (4) release readiness; (5) permanency planning; and (6) staffing and workforce competencies. Community supervision efforts that include all six functions operating in tandem exemplify best practices for supporting youth returning to their communities from out-of-home placements.

OJJDP will expect grantees to work with the OJJDP training and technical assistance provider to complete a planning and implementation guide for community supervision reform to address how the jurisdiction's strategy will include graduated sanctions and incentives; realistic and enforceable post-release conditions; and links to community-based resources

and noncorrectional youth-serving systems, such as education, child welfare, employment, housing, behavioral health, and physical and mental health services.

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

The goals of this program are to:

- Promote and increase collaboration among agencies and officials who work in probation, pretrial, law enforcement, and related community corrections fields.
- Implement strategies for the identification, supervision, and treatment of medium to high-risk/needs youth that may serve as a model for other agencies throughout the nation.
- 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 community supervision strategies and practices.

**Target population.** This solicitation will support the implementation of a comprehensive juvenile community supervision reform plan to reduce juvenile recidivism rates and improve positive youth outcomes. As a result, applicants should identify a large enough target population of youth to impact state or local outcomes and focus on youth assessed as medium to high risk for reoffending.

Award recipients must admit targeted youth to the program prior to their 18th birthday. However, they may continue to implement a juvenile reentry plan for these individuals beyond their 18th birthday. OJJDP does not have a set timeline for terminating these services; they can continue as long as is deemed therapeutically beneficial.

**Mandatory project components.** OJJDP requires all projects to include the following components within their proposal materials:

1. A juvenile community supervision strategic plan, hereafter referred to as the strategic plan, that describes the state's long-term reform strategy, including measurable annual and 5-year performance outcomes relating to the long-term goals of increasing public safety and reducing recidivism. Performance outcomes should also address increased education opportunities, reduction in violations of conditions of supervised release, and percentage of youth identified in substance abuse and mental health services. One goal of the plan shall be a 50-percent reduction in the rate of recidivism over a 5-year period.<sup>1</sup>
2. The strategic plan must include an implementation schedule and sustainability plan for the program.
3. Documentation reflecting the establishment of a juvenile community supervision reform task force comprised of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and

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<sup>1</sup> Per 42 USC 3797w(j)(2)(A) reduction in recidivism rates shall be reported in accordance with the measure selected by the Bureau of Justice Statistics Director under 42 USC 17541(d)(3)(B).

other key stakeholders. As part of the implementation phase, the task force should continue to examine ways to pool resources and funding streams and collect data and best practices in juvenile reentry from stakeholder agencies and organizations. OJJDP notes that this task force and the strategic plan requirement above provides a key opportunity for policymakers to work together to identify and address local obstacles to juvenile reentry, including policy or procedural barriers.

4. Discussion of the role of local government agencies, nonprofit organizations, and community stakeholders that the applicant will coordinate and collaborate with on the juvenile community supervision reform strategy and certification of the involvement of such agencies and organizations. Participants in the creation of the strategy should include representatives from public safety, corrections, housing (including partnerships with public housing authorities), health, education, substance abuse, children and families, victims' services, employment, and business.
5. Extensive evidence of collaboration with state and local government health, mental health, housing, child welfare, education, substance abuse, victim services, child support, and employment services and local law enforcement agencies.
6. An extensive discussion of the role of state juvenile justice departments, community supervision agencies, and local secure confinement systems in ensuring successful reentry of youth into their communities. Applications must include letters of support from officials at youth facilities.
7. Documentation that reflects explicit support of the chief executive officer of the applicant state, unit of local government, territory, or Indian tribe and how this office will remain informed and connected to the activities of the project.
8. A description of the evidence-based methodology and outcome measures that the applicant will use to evaluate the program and a discussion of how the applicant will use such measurements to assess the impact of the program.

**Priority considerations.** OJJDP will give priority consideration to applicants who can demonstrate that their proposal will:

1. Focus their initiative on geographic areas with a disproportionate population of youth released from juvenile facilities.
2. Include input from nonprofit organizations in any case where it is available and appropriate to the grant application, consultation with crime victims and youth released from youth facilities, and coordination with families of justice-involved youth.
3. Demonstrate effective case assessment and management abilities to provide comprehensive and continuous reentry, including planning while youth are in a facility, prerelease transition housing, and community release; establishing prerelease planning procedures to ensure that the youth's eligibility for federal or state benefits upon release is established prior to release, subject to any limitations in law, and to ensure that returning youth obtain all necessary referrals for reentry services; and delivery of continuous and appropriate drug treatment, medical care, job training and placement, educational services, or any other service or support needed for reentry.

4. Review the process by which the applicant adjudicates violations of parole, probation, or supervision following release from a youth facility, taking into account public safety and the use of graduated, community-based sanctions for minor and technical violations of parole, probation, or supervision (specifically those violations that are not otherwise, and independently, a violation of law).
5. Provide for an independent evaluation of reentry programs that include, to the maximum extent possible, random assignment and controlled studies to determine the effectiveness of such programs.
6. Target high-risk, justice-involved youth for reentry programs through validated assessment tools.

**Family engagement.** OJJDP envisions a transformed juvenile justice system that recognizes and builds upon the strengths, values, and diversity of families and communities to best serve the children and youth who come into contact with the system and to improve both safety and quality of life for all. This system will honor and support families before, during, and after their children have contact with the system. Applicants should describe how the proposed program will include a family engagement component.

### **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.ojp.gov/crimesolutions) website and OJJDP's [Model Programs Guide](https://www.ojjdp.gov/model-programs-guide) website are two resources that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Additional Resources**

OJJDP encourages applicants to review the recommendations from the [Attorney General's National Task Force on Children Exposed to Violence](https://www.ojjdp.gov/national-task-force-on-children-exposed-to-violence) and the [Attorney General's Advisory Committee on American Indian/Alaska Native Children Exposed to Violence](https://www.ojjdp.gov/committee-on-american-indian-alaska-native-children-exposed-to-violence) and the

National Research Council's [Reforming Juvenile Justice: A Developmental Approach](#) and [Implementing Juvenile Justice Reform](#) and consider incorporating the recommendations into their applications, where applicable.

## **B. Federal Award Information**

OJJDP expects to make as many as four awards of as much as \$650,000 for an estimated total of \$2.6 million for a 24-month project period, beginning on October 1, 2016.

OJJDP may, in certain cases, provide supplemental funding for 1 additional year for a 36-month project period. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of 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<sup>2</sup>**

OJJDP expects to make any award from this solicitation in the form of a grant.

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>3</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the recipient’s (and any subrecipient’s) compliance with statutes, regulations, and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.

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<sup>2</sup> See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

<sup>3</sup> For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.



- (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.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

## Budget Information

### Cost Sharing or Match Requirement

The Second Chance Act requires a match for all applications. Federal funds awarded under this program may not cover more than 50 percent of the total costs of the project being funded. Applicants must identify the source of the 50 percent nonfederal portion of the total project costs and how they will use match funds. Grant recipients must provide a minimum of 25 percent of the total project cost in cash match and they may make as much as 25 percent of the total project cost through in-kind contributions of goods or services directly related to the purpose of the grant. Grantees shall use federal funds that they receive and their cash match to supplement, not supplant, nonfederal funds that would otherwise be available for the activities funded under this section.

Applicants must identify the source of the 25 percent nonfederal cash portion of the budget and how they will use both cash and in-kind match funds.

Note: Once incorporated into the OJP-approved budget, the match becomes mandatory and subject to audit. Further, if a successful applicant's proposed match exceeds the required match amount, the match amount that is incorporated into its OJP-approved budget is mandatory and subject to audit. (Match is restricted to the same uses of funds as allowed for the federal funds.)

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

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

**Example:** For a federal award amount of \$100,000, calculate match as follows:

$$\frac{\$100,000}{50\%} = \$200,000 \qquad 50\% \times \$200,000 = \$100,000 \text{ match}$$

**Match waiver.** The Attorney General may waive the match requirement upon a determination of fiscal hardship. To be considered for a waiver of match, the applicant must submit a letter of request signed by the authorized representative with the application defining the fiscal hardship. Fiscal hardship may be defined in terms related to reductions in overall correctional budgets, furloughing or reductions in force of correctional staff, or other similar documented actions that have resulted in severe budget reductions. Applicants must submit a match waiver request as a separate attachment—titled “Match Waiver”—to their applications.

For additional cost sharing and match information, see the [Financial Guide](#).

### **Preagreement Cost Approvals**

Preagreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does not typically approve preagreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, preagreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting Federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as preagreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [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, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>4</sup> The 2016 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. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the [OJP policy and guidance](#) on conference approval, planning, and reporting. OJP policy

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<sup>4</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

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 and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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

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

For additional information, see the "Civil Rights Compliance" section under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

### **C. Eligibility Information**

For additional eligibility information, see the title page.

For additional information on cost sharing and match requirement, see Section [B. Federal Award Information](#).

#### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, OJJDP will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How To Apply](#).

### **D. Application and Submission Information**

#### **What an Application Should Include**

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, do not request funding within the funding limit, or that do not include the application elements that OJJDP has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, OJJDP has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet or Budget Narrative.

Applicants should review the "Note on File Names and File Types" under [How To Apply](#) to be sure that they submit their applications in the 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.*

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

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

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate 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.

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

The abstract should briefly describe the project’s purpose, the population to be served, and the activities that the applicant will implement to achieve the project’s goals and objectives. The abstract should describe how the applicant will measure progress toward these goals. The abstract should indicate whether the applicant will use any portion of the project budget to conduct research as described in Note on Project Evaluations on page 17. All project abstracts should follow the [detailed template](#).

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

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

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

### 3. Program Narrative

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative should be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use a standard 12-point font, preferably Times New Roman. Pages should be numbered “1 of 30,” etc. The tables, charts, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced and will count in the 30-page limit. Material required under the Budget and Budget Narrative and Additional Attachments sections will not count toward the program narrative page count. Applicants may provide bibliographical references as a separate attachment that will not count toward the 30-page program narrative limit. If the program narrative fails to comply with these length-related restrictions, OJJDP may consider such noncompliance in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) statement of the problem; (2) goals, objectives, and performance measures; (3) program design and implementation; and (4) capabilities/competencies. The applicant should clearly delineate the connections between and among each of these sections. For example, the applicant should derive the goals and objectives directly from the problems to be addressed. Similarly, the project design section should clearly explain how the program’s structure and activities will accomplish the goals and objectives identified in the previous section.

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

- a. **Statement of the Problem.** Applicants should briefly describe the nature and scope of the problem that the program will address (e.g. supervision, underage drinking, drug abuse, truancy, youth employment, school performance, etc.). The applicant should use data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document the effects of the problem on the target population and the larger community. Applicants should describe the target population and any previous or current attempts to address the problem.

Applicants should describe any research or evaluation studies that relate to the problem and contribute to the applicant’s understanding of its causes and potential solutions. While OJJDP expects applicants to review the research literature for relevant studies, they should also explore whether unpublished local sources of research or evaluation data are available.

- b. **Goals, Objectives, and Performance Measures.** Applicants should describe the goals of the proposed program and identify its objectives. When formulating the program’s goals and objectives, applicants should be cognizant of the performance measures that OJJDP will require successful applicants to provide.

**Goals.** Applicants should describe the program’s intent to change, reduce, or eliminate the problem noted in the previous section and outline the project’s goals. **Program Objectives.** Applicants should explain how the program will accomplish its goals. Objectives are specific, quantifiable statements of the project’s desired results. They should be clearly linked to the problem identified in the preceding section and measurable. (Examples of measurable objectives include the following: to provide school-based and community services for 40 youth returning from commitment, to increase the percentage of youth who successfully complete their current academic grade, or to expand counseling services to cover an additional 50 at-risk youth.)

**Performance Measures.** 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 provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. OJJDP will require award recipients to submit semiannual performance metrics of relevant data through the [Data Reporting Tool](#). Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Description	Data Grantee Provides
Provide youth with appropriate evidence-based services, including addressing individual criminogenic needs—based on a community supervision plan that relies on a risk/needs assessment that reflects the risk of recidivism for that individual.	Number of released youth served by reentry program.	The intent of this indicator is to measure the change in the number of youth who are <b>enrolled</b> in reentry services. The number of youth <b>enrolled</b> represents the number of youth who actually end up in the program.  Program records are the preferred data source.	Number of youth <b>enrolled</b> in the reentry program during the reporting period.
	Number of program youth served during the reporting period.	An unduplicated count of the number of youth <b>served</b> by the program during the reporting period. The number of youth served for a reporting period is the number of program youth carried over from previous reporting period, <b>plus</b> new admissions during the reporting period.	Number of program youth carried over from the previous reporting period.  New admissions during the reporting period.  Number of youth served by race and ethnicity.

		<p>Number of youth served by race and ethnicity should also be identified.</p> <p>Program records are the preferred data source.</p>	
	<p>Number and percentage of youth served with whom an evidence-based best practice model was used.</p>	<p>The number and percentage of youth with whom a best practice was used. Best practice models include program models that have been shown, through rigorous evaluation and replication, to be effective at preventing or reducing juvenile delinquency or related risk factors, such as substance abuse. Model programs can come from many valid sources (e.g., Blueprints for Violence Prevention, OJJDP's Model Programs Guide, SAMHSA's Model Programs, State model program resources, etc.).</p>	<p>Number of youth served using an evidence-based best practice model or program during the reporting period.</p> <p>The number of youth served during the reporting period.</p>
	<p>Number of services provided to youth.</p>	<p>This measure is designed to assess both need and program capacity. Report the number of youth who are <b>assessed</b> as needing various types of services during the reporting period, and also the number of youth who <b>actually receive</b> various services during the reporting period.</p>	<p>Number of youth assessed as needing substance use counseling/services during the reporting period.</p> <p>Number of youth enrolled in substance use counseling/services during the reporting period.</p> <p>Number of youth assessed as needing mental health services during the reporting period.</p> <p>Number of youth enrolled in mental health services during the reporting period.</p> <p>Number of youth assessed as needing housing services during the reporting period.</p> <p>Number of youth who successfully found housing during the reporting period.</p> <p>Other.</p>
	<p>Number of drug/alcohol tests performed</p>	<p>The number of drug and alcohol tests performed on juveniles served by the</p>	<p>Number of drug and alcohol tests performed during the reporting period.</p>

	(mandatory for co-occurring only).	program during the reporting period. Tests could be urinalysis, blood tests or other proven reliable forms of drug and alcohol testing. Report the <b>number of tests conducted</b> , rather than the number of people tested (it is understood that one person may be tested several times, or tested using several methods during a reporting period).	Of the number of drug/alcohol tests performed, the number of positive tests recorded.
	Number and percentage of program youth who were adjudicated (short term and long term).	The number and percent of participating program youth who were adjudicated <b>for a new delinquent offense</b> during the reporting period (short term) or 6-12 months after the program (long term). This does NOT include technical violations and is appropriate for any youth-serving program. A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages. Official records (police, juvenile court) are the preferred data source.	Number of program youth who were committed to a juvenile residential facility as a result of a new adjudication.  Number of youth sentenced to an adult prison as a result of a new adjudication.  Number of youth given some other sentence as a result of a new adjudication.  Number of program youth tracked for adjudications.
	Number and percentage of program youth who had technical violations during the reporting period (short and long term).	The number and percent of program youth who had a violation of the terms of their supervision (commonly referred to as a technical violation) during the reporting period (short term) or 6-12 months after the program (long term). A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages. Program records are the preferred data source.	Number of program youth who were committed to a juvenile residential facility as a result of a technical violation.  Number of youth who were sentenced to adult prison as a result of a technical violation.  Number of youth who received some other sentence as a result of a technical violation.  Number of program youth tracked for technical violations.



	Number and percentage of youth completing program requirements (short term).	The number and percentage of program youth who have <b>successfully</b> fulfilled all program obligations and requirements. This does not include youth who are still in ongoing programs. Program obligations will vary by program, but should be a predefined list of requirements or obligations that clients must meet before program completion. The total number of youth (the "B" value) includes those youth who have exited successfully and unsuccessfully. Program records are the preferred data source.	Number of program youth who exited the program having completed all program requirements during the reporting period.  Total number of youth who exited the program during the reporting period (either successfully or unsuccessfully).
	Number and percent of youth re-enrolled in school (short and long term).	The number and percent of program youth who have re-enrolled in school during the reporting period (short term) or 6-12 months after the program (long term).	Number of program youth served during the reporting period who have re-enrolled in school.  Total number of youth eligible for educational services.
	Number and percentage of youth exhibiting desired change in target behavior (short and long term).	The number and percentage of program youth who have exhibited a desired change in the target behavior during the reporting period (short term) or 6-12 months after the program (long term).	Number of program youth served during the reporting period with the noted behavioral change.  Total number of youth receiving services for target behavior.

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

OJJDP encourages award recipients to use information from existing program records to fulfill performance measures reporting requirements rather than initiating new data collection activities for this purpose.

**Note on Project Evaluations**

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute "research" for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to

meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the [“Research and the Protection of Human Subjects”](#) section of the [OJP Funding Resource Center](#) webpage. Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

- c. **Project Design and Implementation.** Applicants should detail how the project will operate throughout the funding period and describe the strategies that they will use to achieve the goals and objectives identified in the previous section. Applicants should describe how they will complete the deliverables stated in the Goals, Objectives, and Deliverables section on page 5. OJJDP encourages applicants to select evidence-based practices for their programs.

This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project and discuss plans for sustainability beyond the grant period.

**Logic Model.** Applicants should include a logic model that graphically illustrates how the performance measures are related to the project’s problems, goals, objectives, and design. See sample logic models [here](#). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 21.

**Timeline.** Applicants should submit a realistic timeline or milestone chart that indicates major tasks associated with the goals and objectives of the project, assigns responsibility for each, and plots completion of each task by month or quarter for the duration of the award, using “Year 1,” “Month 1,” “Quarter 1,” etc., not calendar dates (see “Sample Project Timelines” [here](#)).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 21. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

- d. **Capabilities and Competencies.** This section should describe the experience and capability of the applicant organization and any contractors or subgrantees that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing projects of similar design or magnitude. Applicants should highlight their experience/capability/capacity to manage subawards, including details on their system for fiscal accountability. Management and staffing patterns should be clearly connected to the project design described in the previous section. Applicants should describe the roles and responsibilities of project staff and explain the program’s organizational structure and

operations. Applicants should include a copy of an organizational chart showing how the organization operates, including who manages the finances; how the organization manages subawards, if there are any; and the management of the project proposed for funding.

**Letters of Support/Memoranda of Understanding.** Applicants should provide signed and dated letters of support or memoranda of understanding for all key partners participating in the implementation of the strategic plan, including the following:

- Expression of support for the program and a statement of willingness to participate and collaborate with it.
- Description of the partner's current role and responsibilities in the planning process and expected responsibilities when the program is operational.
- Estimate of the percentage of time that the partner will devote to the planning and operation of the project.

- e. Agreement to work extensively with training and technical assistance provider.** Applicants must demonstrate their capacity and willingness to work with OJJDP's training and technical assistance provider.

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

Applicants should provide a budget that (1) is complete, allowable, and cost-effective in relation to the proposed activities; (2) shows the cost calculations demonstrating how they arrived at the total amount requested; and (3) provides a brief supporting narrative to link costs with project activities. The budget should cover the entire award period.

Applicants should budget for travel to at least one annual cluster meeting to be held in conjunction with the American Probation and Parole Association's annual meeting.

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

- a. Budget Detail Worksheet.** Find a sample Budget Detail Worksheet [here](#). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.
- b. Budget Narrative.** The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

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

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

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

- c. Noncompetitive Procurement Contracts In Excess of Simplified Acquisition Threshold.** If an applicant proposes to make one or more noncompetitive procurements of products or services, where the noncompetitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).
- d. Preagreement Cost Approvals.** For information on preagreement costs, see Section [B. Federal Award Information](#).

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

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant 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).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant Federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

In order to use the *de minimis* indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the *de minimis* rate) and its election. If the applicant elects the *de minimis* method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>5</sup>

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<sup>5</sup> See 2 C.F.R. § 200.414(f).

## 6. Applicant Disclosure of High Risk Status

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

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

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

## 7. Additional Attachments

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their applications. While the materials listed below are not assigned specific point values, peer reviewers will, as appropriate, consider these items when rating applications. For example, reviewers will consider résumés and/or letters of support/ memoranda of understanding when assessing “capabilities/competencies.” Peer reviewers will not consider any additional information that the applicant submits other than that specified below.

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

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

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

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

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

Applicants should include the table as a separate attachment to their application. The file name should be “Disclosure of Pending Applications.”

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

- b. Research and Evaluation Independence and Integrity.** If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.
- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
- a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by OJJDP grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either

personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would 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 applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the

organization 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.

- c. Logic model (see page 18).
- d. Timeline or milestone chart (see page 18).
- e. Résumés of all key personnel.
- f. Job descriptions outlining roles and responsibilities for all key positions.
- g. letters of support/memoranda of understanding from partner organizations (see page 19).

## 8. Financial Management and System of Internal Controls Questionnaire

In accordance with the Part 200 Uniform Requirements as set out at [2 C.F.R. 200.205](#), federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

## 9. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

### How To Apply

Applicants must submit applications through the [Grants Management System \(GMS\)](#), which provides support for the application, award, and management of awards at OJP. Applicants **must register in GMS for each specific funding opportunity**. Although the registration and submission deadlines are the same, OJP urges applicants to **register promptly**, especially if this is their first time using the system. Find complete instructions on how to register and submit an application in GMS at [www.ojp.gov/gmscbt/](http://www.ojp.gov/gmscbt/). Applicants that experience technical difficulties during this process should email [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888-549-9901 (option 3), Monday–Friday from 6 a.m. to midnight, ET, except federal holidays. OJP recommends that applicants **register promptly** to prevent delays in submitting an application package by the deadline.

**Note on File Types: 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."

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. If an applicant organization has not fully complied with the requirements by the time the federal awarding



agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

All applicants should complete the following steps:

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for Federal funds include a DUNS number in their application for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for Federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about Federal financial assistance applicants, recipients, and subrecipients. OJP requires that all applicants (other than individuals) for Federal financial assistance maintain current registrations in the SAM database. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

- 3. Acquire a GMS username and password.** New users must create a GMS profile by selecting the “First Time User” link under the sign-in box of the [GMS](http://GMS) home page. For more information on how to register in GMS, go to [www.ojp.gov/gmscbt](http://www.ojp.gov/gmscbt).
- 4. Verify the SAM (formerly CCR) registration in GMS.** OJP requests that all applicants verify their SAM registration in GMS. Once logged into GMS, click the “CCR Claim” link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
- 5. Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the “Funding Opportunities” link on the left side of the page. Select OJJDP and the OJJDP-2016-9010.
- 6. Register by selecting the “Apply Online” button associated with the funding opportunity title.** The search results from step 5 will display the funding opportunity title along with the registration and application deadlines for this funding opportunity. Select the “Apply Online” button in the “Action” column to register for this funding opportunity and create an application in the system.
- 7. Follow the directions in GMS to submit an application consistent with this solicitation.** Once submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for

GMS approval before submitting an application. OJP urges applicants to submit the application **at least 72 hours prior** to the application due date.

**Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, OJJDP will review only the most recent system-validated version submitted. See Note on “File Names and File Types” under [How to Apply](#).

**Experiencing Unforeseen GMS Technical Issues**

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline must contact the [GMS Help Desk](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then the applicant must email by e-mail at [Dennis.Mondoro@usdoj.gov](mailto:Dennis.Mondoro@usdoj.gov) **within 24 hours after the application deadline** and request approval to submit their application. The email must describe the technical difficulties and include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any GMS Help Desk or SAM tracking number(s). **Note: OJJDP does not approve requests automatically.** After the program office reviews the submission, and contacts the GMS Help Desk to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant’s request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or GMS in sufficient time. (SAM registration and renewal can take as long as 10 business days to complete)
- Failure to follow GMS instructions on how to register and apply as posted on the GMS website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant’s computer or information technology environment, including firewalls.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding [webpage](#).**

## **E. Application Review Information**

### **Selection Criteria**

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, Statement of the Problem, is worth 10 percent of the entire score in the application review process.

1. Statement of the Problem (10 percent)
2. Goals, Objectives, and Performance Measures (10 percent)
3. Project Design and Implementation (50 percent)
4. Capabilities and Competencies (20 percent)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>6</sup> (10 percent)

See What an Application Should Include, page 11, for the criteria that the peer reviewers will use to evaluate applications.

### **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. OJJDP 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 applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as critical elements.
- Applicants will be checked against the System for Award Management (SAM).

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

OJJDP may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection 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

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<sup>6</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior OJJDP and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the [Financial Guide](#).
3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

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

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP sends award notification 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 how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves 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 agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ, or other federal regulations that will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>7</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements that may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

### **General Information about Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

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<sup>7</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative obligations of the recipient or the program.

## **G. Federal Awarding Agency Contact(s)**

For Federal Awarding Agency Contact(s), see the title page.

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

## **H. Other Information**

### **Provide Feedback to OJP**

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

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

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

# Application Checklist

## FY 2016 Second Chance Act Smart on Juvenile Justice: Community Supervision Implementation

This application checklist has been created to assist in developing an application.

### What an Applicant Should Do:

#### *Prior to Registering in GMS:*

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

#### *To Register with GMS:*

- For new users, acquire a GMS username and password\* (see page 25)
- For existing users, check GMS username and password\* to ensure account access
- Verify SAM registration in GMS (see page 25)
- Search for and select correct funding opportunity in GMS (see page 25)
- Register by selecting the “Apply Online” button associated with the funding opportunity title (see page 25)
- Read [OJP policy and guidance](#) on conference approval, planning, and reporting

\*Password Reset Notice: While password reset capabilities exist, this function is only associated with points of contact designated within GMS at the time the user established the account. Neither OJP nor the GMS Help Desk will initiate a password reset unless the authorized official or a designated point of contact associated with an award or application requests it.

### General Requirements:

- Review “[Other Requirements](#)” webpage.

### Scope Requirement:

- The federal amount requested is within the allowable limit(s) of \$650,000.

### Eligibility Requirement:

- Connecticut Office of Policy and Management, Indiana Department of Corrections, Guam Judicial Branch, New York State Division of Criminal Justice Services, Georgia Department of Juvenile Justice, or the Massachusetts Department of Youth Services.

### What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 12)
- Program Abstract (see page 12)
- Program Narrative (see page 13)
- Budget Detail Worksheet and Narrative (see page 19)
- Indirect Cost Rate Agreement (see page 20)
- Applicant Disclosure of High Risk Status (see page 21)
- Additional Attachments (see page 21)
  - Applicant Disclosure of Pending Applications
  - Research and Evaluation Independence and Integrity

- \_\_\_\_\_ Logic model
- \_\_\_\_\_ Timeline or milestone chart
- \_\_\_\_\_ Résumés of all key personnel
- \_\_\_\_\_ Job descriptions outlining roles and responsibilities of all key positions
- \_\_\_\_\_ Letters of support/memoranda of understanding from partner organizations
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL), if applicable (see page 24)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 24)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 10)