



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) is seeking applications for the Swift and Certain Sanctions (SAC) Training and Technical Assistance Resource Center. This program furthers the Department's mission by providing resources for state, local, and tribal governments to establish or enhance programming focused on modifying and reducing criminal behavior and enhancing public safety.

Swift and Certain Sanctions (SAC) Training and Technical Assistance Resource Center FY 2014 Competitive Grant Announcement

Eligibility

Eligible applicants are limited to any national nonprofit organization, for-profit (commercial) organization (including tribal nonprofit or for-profit organizations), or institution of higher learning (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee. Applicants must show that they have expertise and experience in implementing and managing training and technical assistance (TTA) for multifaceted SAC sanctions focused initiatives in community corrections, including pretrial, probation, and parole. In addition, the applicant must show they have the experience and the capacity to provide technical expertise to the judiciary, court personnel, community corrections, law enforcement, and public defenders in implementing SAC initiatives.

BJA welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for conducting and leading the resource center.

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

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 19) All applications are due by 11:59 p.m. eastern time on May 30, 2014. (See "Deadlines: Registration and Application," page 4.)

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

Contact Information

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified below **within 24 hours after the application deadline** and request approval to submit their application.

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

Grants.gov number assigned to this announcement: BJA-2014-3895

Release date: April 15, 2014

Contents

Overview	4
Deadlines: Registration and Application	4
Eligibility	4
SAC TTA Resource Center—Specific Information	5
Performance Measures	9
What an Application Should Include	11
Information to Complete the Application for Federal Assistance (SF-424)	11
Project Abstract	12
Program Narrative	12
Budget Detail Worksheet and Budget Narrative	13
Indirect Cost Rate Agreement (if applicable)	14
Applicant Disclosure of High Risk Status	14
Additional Attachments	15
Accounting System and Financial Capability Questionnaire	16
Selection Criteria	16
Review Process	18
Additional Requirements	18
How To Apply	19
Provide Feedback to OJP	22
Application Checklist	23
References	25

Swift and Certain Sanctions (SAC) Training and Technical Assistance Resource Center (CFDA #s 16.828 and 16.812)

Overview

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

Through this FY 2014 grant announcement, BJA will select a national training and technical assistance (TTA) partner to work with BJA, its federal partners, states, tribes, and local jurisdictions to provide training, technical assistance, and coaching to jurisdictions interested in establishing SAC initiatives. The TTA provider will:

- Develop a process to accept, review, and approve requests for assistance in coordination with BJA.
- Provide need-based onsite assistance, developing and facilitating web-based trainings, hosting public webinars, and providing office-based assistance to parties interested in the HOPE model, or other versions of SAC.
- Establish a web-based resource center where information related to HOPE and SAC strategies can be maintained, shared, discussed, and used as a resource to support jurisdictions interested in implementing these models.
- Help jurisdictions build their capacity to implement their SAC approach with fidelity.
- Develop relevant materials and resources for the field.

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

Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern standard time on May 30, 2014. See “How To Apply” on page 19 for details.

Eligibility

Refer to the title page for eligibility under this program.

SAC TTA Resource Center—Specific Information

Hawaii's HOPE program, which started in 2004, was one of the first successful large-scale implementations of SAC sanctions. The HOPE model was designed by Judge Steven Alm in response to what he considered to be a failure of the status quo to effectively change the behavior of their primarily methamphetamine-using probationers. Compared to its predecessors, the HOPE program dramatically improved the swiftness and certainty of sanctions deliverable by the Hawaii criminal justice system by adding regular random drug tests; delivering sanctions within days of the detected violation; and imposing short-term jail stays as sanctions (sometimes as short as three days).

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

The outcomes of a 2009 evaluation of Hawaii HOPE (Hawken & Kleiman, 2009) showed that close monitoring of probation conditions—coupled with swift and certain responses to detect violations—improved compliance with terms of probation and enhanced desistance from drug use. Specifically, about half of the HOPE probationers never tested positive after their initial warning hearing (and didn't require a sanction). Furthermore, when compared to the control group after 1 year, HOPE probationers were:

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

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

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

The 24/7 Sobriety project, initiated in South Dakota in 2005, was created in reaction to the state having the highest rates of drunken driving and roadside fatalities in the United States. 24/7 Sobriety requires individuals arrested for or convicted of alcohol-involved offenses to submit to breathalyzer tests twice per day or wear an alcohol monitoring bracelet at all times. Positive tests result in swift and certain, though modest, penalties, such as a day or two in jail. The

approach was based on the idea that the certainty and rapidity, rather than the severity, of the punishment would more effectively deter problem drinking. A study by Kilmer et al. (2013) found strong support for the hypothesis that frequent alcohol testing with swift, certain, and modest sanctions could reduce problem drinking and improve public health outcomes.

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

Finally, in 2013, Grommon et al. conducted a randomized control trial to study the relapse and recidivism outcomes of parolees that were frequently and randomly drug tested with consequences for use. The authors' sample consisted of 529 offenders released on parole, in a large urban county within a Midwestern industrialized state. Grommon et al. (2013) found that frequent monitoring of drug use with randomized testing protocols, immediate feedback, and certain consequences was effective in lowering rates of relapse and recidivism. These findings lend support to the use of randomized testing with swift and certain sanctions with parolees. Given this growing body of research and practice reinforcing the potential of models that employ the SAC concepts, BJA is issuing this solicitation to identify a national partner to support the translation of these promising approaches to the field through the provision of TTA, including efforts to document the model and to implement the model with fidelity.

Goals, Objectives, and Deliverables

This solicitation is aimed at providing TTA resources for state, local, and tribal governments to establish or enhance alternatives to incarceration that are focused on modifying and reducing criminal behavior and enhancing public safety—through the use of HOPE SAC sanction initiatives. The specific objective of this solicitation is to identify and support a highly qualified team of experts to establish a TTA resource center to assist jurisdictions across the United States that are interested in developing, enhancing, and/or improving the fidelity of their SAC efforts.

Consistent with this objective, BJA seeks a TTA provider to provide training, technical assistance, coaching, and SAC-fidelity oversight to interested parties so they can appropriately assess their needs, develop focused strategies, understand the importance of each component of a SAC model, encourage collaboration, and implement their strategy with fidelity. While the TTA provider will not be able to provide intensive “onsite” assistance to every jurisdiction in need, the TTA provider will be expected to work closely with the SAC sites funded by BJA under the “FY2014 Swift and Certain Sanctions (SAC)/Replicating the Concepts Behind Project HOPE Program Announcement” (up to 10 jurisdictions); and to also work closely with 10-15 other jurisdictions to help them establish and implement their SAC initiative with fidelity.

Implementation fidelity is important to the success of SAC initiatives—identifying and adopting what works is not enough to achieve successful outcomes. Only when effective practices are implemented with fidelity should positive outcomes be expected. The TTA provider will be responsible for assisting jurisdictions with identifying, assessing, and adhering to the key components of the SAC approach they are implementing. The TTA provider will also help

develop plans and provide coaching for jurisdictions to monitor fidelity of implementation, to understand adaptation and prevent program “drift,” and to measure implementation and outcomes. This assistance is critical to support the effective implementation of swift and certain initiatives.

The TTA provider will also be expected to provide more general training for the field through webinars, group interactions at national conferences or workshops, teleconferences, peer-to-peer consultations, distance-learning, and/or web-based assistance.

Specific deliverables must include, but are not limited to:

- Providing a plan to assess and approve requests from jurisdictions requesting TTA.
- Providing after-action reports for each onsite TTA engagement.
- Developing a series of web-based orientations and trainings for SAC.
- Developing protocols to help jurisdictions have a clear understanding of SAC program elements and related issues.
- Developing a process and materials to ensure that the SAC model is implemented and maintains essential fidelity with key the standards.
- Working with BJA staff to develop materials and resources to help the field implement SAC models with fidelity.

Evidence-Based Programs or Practices

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

- improving the quantity and quality of evidence OJP generates;
- integrating evidence into program, practice, and policy decisions within OJP and the field; and
- improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP’s CrimeSolutions.gov web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

Amount and Length of Awards

BJA anticipates that it will award one cooperative agreement of up to \$1,125,000 for a 24-month project period. Future funding may be available to support this project, contingent upon successful performance during the initial phase of the project.

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

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver

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

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

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

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

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

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" web page at www.ojp.usdoj.gov/funding/other_requirements.htm.

Unallowable Uses for Award Funds During Both Planning and Implementation Phases

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

be used for the following:

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

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

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.

Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Post award, recipients will be required to submit quarterly performance metrics through BJA’s online Training and Technical Assistance Reporting System (TTARS), located at www.bjatools.org. Applicants should review the BJA TTA reporting matrix at: ttars.bjatools.org/tta2/View/BJATTARSReportingMatrix.pdf. Sample performance measures appear below:

Objectives	Performance Measure	Data Grantee Provides
Provide training, technical assistance, and coaching to jurisdictions interested in establishing “Swift and Certain” initiatives	<p>Number of trainings conducted</p> <p>Number of participants who attend the training</p> <p>Percentage of participants who successfully completed the training</p> <p>Percentage of participants who rated the training as satisfactory or better</p> <p>Percentage of participants trained and subsequently demonstrated performance improvement</p>	<p>For the current reporting period:</p> <p>Number of trainings (by type):</p> <ul style="list-style-type: none"> • In-person • Web-based • CD/DVD • Peer-to-peer • Workshop <p>Number of individuals who:</p> <ul style="list-style-type: none"> • Attended the training (in-person) or started the training (web-based) • Completed the training • Completed an evaluation at the conclusion of the training • Completed an evaluation and rated the training as satisfactory or better • Completed the post-test with an improved score over their pre-test

	<p>Percentage of requesting agencies who rated services as satisfactory or better</p> <p>Percentage of requesting agencies that were planning to implement one or more recommendations</p> <p>Percentage of requesting agencies of other onsite services who rated the services provided as satisfactory or better</p>	<p>For the current reporting period:</p> <ul style="list-style-type: none"> • Number of onsite visits completed • Number of reports submitted to requesting agencies after onsite visits • Number of requesting agencies who completed an evaluation of services • Number of agencies who rated the services a satisfactory or better <ul style="list-style-type: none"> • a) in terms of timeliness • b) quality • Number of follow-ups with requesting agencies completed 6 months after onsite visit. • Number of agencies that were planning to implement at least one or more recommendations 6 months after the onsite visit • Number of other onsite services provided • Number of requesting agencies who completed an evaluation of other onsite services • Number of agencies who rated the services a satisfactory or better
<p>Develop materials and resources to help the field implement SAC models with fidelity</p>	<p>Number of publications developed</p> <p>Number of publications disseminated</p> <p>Percentage of information requests responded to</p>	<p>For the current reporting period:</p> <ul style="list-style-type: none"> • Number of publications/resources developed • Number of publications/resources disseminated • Number of information requests • Number of information requests responded to

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page 11 for additional information.

Note on Project Evaluations

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” web page (www.ojp.usdoj.gov/funding/other_requirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

What an Application Should Include

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated to be critical, will neither proceed to peer review nor receive further consideration.

Under this solicitation, BJA has designated the following application elements as critical:

- Project Abstract
- Program Narrative
- Budget Detail Worksheet and Budget Narrative
 - Budget Summary Page
 - The Budget Detail Worksheet and Budget Narrative may be combined in one document. However, if only one document is submitted, it must contain **both** narrative and detail information.
- Letters of Commitment and Resumes from all partners included in the application

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

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

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

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.

The abstract should provide an overall summary of the project and include **the following clearly labeled and delineated information:**

- Legal name of the grant recipient and the title of the project;
- Project's purposes, goals, and deliverables;
- Program design elements including the allowable uses of funds that will be incorporated into the project;
- Mandatory program components; and
- Subcontract agreements with all key partners (if applicable).

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

OJP suggests that the abstract be submitted as a Word document labeled "Abstract."

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

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

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

3. Program Narrative

The program narrative must respond to the solicitation and should address the Selection Criteria (1-4) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and should not exceed 30 pages. Please number pages "1 of 30," "2 of 30," etc.

If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

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

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

3. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. Applicants that submit their budget in a different format should include all the budget categories listed in the sample budget worksheet. Applicants should utilize the following approved budget categories to label the requested expenditures:

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Consultants/Contracts (specific information for each consultant and/or contract must be included in the budget narrative)
- Other Costs, and
- Indirect Costs

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

The budget summary page must reflect the amounts in the budget categories as included in the budget detail worksheet. These amounts should mirror the amounts in the budget narrative.

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

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.

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

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

4. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf.

5. 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 at the time of application submission:

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

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

included, if necessary, in award documentation.

6. Additional Attachments

Ensure that the following documents are completed properly titled (i.e., “Project Timeline”, “Resumes”) and attached:

- **Project Timeline** with project goal, related objective, activity, expected completion date, and responsible person or organization.
- **Position Descriptions** for key positions
- **Letters of Commitment** from all key partners/contractors, detailing the commitment to work with the application to promote the mission of the project.
- **Team Member Resumes** from partnering consultants/contractors – indicating experience and expertise in the proposed work
- **Applicant Disclosure of Pending Applications**
Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

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

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

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

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

Applicants should include the table as a separate attachment, with the file name “**Disclosure of Pending Applications,**” to their application. Applicants that DO NOT have pending applications as described below 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.”).

7. Accounting System and Financial Capability Questionnaire

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

Selection Criteria

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 below after each individual criteria. For example, for the first criteria, “Statement of the Problem,” this section is worth 20 percent of the entire application in the review process.

1. Statement of the Problem (20 percent)

- Describe the history of HOPE and SAC initiatives and their potential to improve individual and criminal justice system outcomes. Summarize the research base for these strategies.
- Demonstrate an understanding of the key elements, components, and team members of SAC approaches.
- Describe the key collaborative relationships needed to successfully implement SAC models.
- Describe the core partners and competencies needed for a jurisdiction to successfully implement SAC approaches.
- Provide an estimate of the current number of HOPE and other SAC approaches that are being implemented in the United States. If possible, indicate how many of these initiatives are specifically focused in the area of pretrial, probation, parole, and other areas.
- Describe potential issues with maintaining fidelity to a SAC model.

2. Project Design and Implementation (35 percent)

- Describe the goals, objectives, and deliverables needed to effectively assist jurisdictions, through TTA, to implement SAC initiatives.
- Describe the plan to let interested parties know this TTA and information are available.
- Describe a plan to develop a process to assess, review, and approve requests for assistance in collaboration with BJA.
- Describe a plan for assessing TTA needs and providing TTA (onsite, web-based, etc.).
- Describe how information and technical assistance will be provided.
- Describe how the team would develop plans and provide coaching for jurisdictions to: (a) assess, monitor, and enhance fidelity of implementation, (b) understand adaptation and prevent program “drift,” and (c) measure implementation and outcomes.

3. Capabilities and Competencies (30 percent)

- Describe the organization’s ability to provide proactive, comprehensive, user-friendly TTA by developing protocols for the assessment and delivery of technical assistance.

- Describe the organization's expertise in offering TTA on HOPE and SAC sanction initiatives.
- Describe the organization's expertise using research to enhance the implementation and effectiveness of HOPE and other SAC sanction initiatives.
- Provide examples of the organization's experience in using TTA strategies that include developing tools and resources, using distance learning, peer-to-peer consultations, and onsite and offsite technical assistance.
- Demonstrate your organization's experience helping a state, tribe, county, or city assess, monitor, and enhance fidelity to a criminal justice-related program model.
- List the consultants or partners with whom the organization plans to work with to deliver TTA and coaching services. For each consultant or partner include a letter of commitment and a resume as an attachment.
- Describe the management structure and outline the organization's ability to conduct the individual activities through the organization's and staff's experience, and recruit and partner with individuals and other organizations with the expertise to enhance the organization's and staff's experience in developing and providing TTA.
- Include position descriptions for key positions (as attachment).

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

- Describe the process for measuring project performance, including meeting timelines and deliverables, and obtaining input and feedback from customers and stakeholders.
- Identify who will collect the data, who is responsible for performance measurement, how the data will be stored, how any personally identifiable information (PII) will be protected, and how the information will be used to guide the program.

5. Budget (8 percent)

- Provide a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.¹
- The budget must support the strategies and approaches outlined in the project design, and include a narrative to describe the expenditures under each cost area and how it will contribute to the overall program goals.
- Provide budget details and narrative on subcontract agreements with all key partners confirming their work commitment and involvement with the proposed work, if the applicant is awarded.
- Refer to the additional Budget and Budget Narrative requirements on page 13 for more detailed information.
- Note: Consultant rates in excess of \$450 per day or \$56.25 per hour must receive prior approval from BJA post-award through a Grant Adjustment Notice (GAN).

¹ 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.

- Sole source contracts in excess of \$100,000 must receive prior approval from BJA post-award through a GAN. The justification must demonstrate that the item or service is available only from a single source; a true public exigency or emergency exists; or after competitive solicitation, competition is considered inadequate.

Review Process

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

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

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

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

Additional Requirements

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

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality

- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Non-profit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

How To Apply

Applicants must register in, and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can**

take several weeks for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (‘)
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	When using the ampersand (&) in XML, applicants must use the “&amp;” format.		

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

All applicants are required to complete the following steps:

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

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

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance numbers for this solicitation are 16.828, titled "Swift and Certain Sanctions/Replicating the Concepts Behind Project HOPE" and 16.812, titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2014-3895.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

Note: Duplicate Applications

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

Experiencing Unforeseen Grants.gov Technical Issues

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

The following conditions are generally insufficient to justify late submissions:

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

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

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.

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

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

Application Checklist

FY 2014 Swift and Certain Sanctions (SAC) Training and Technical Assistance Resource Center

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNs Number (see page 20)
- _____ Acquire or renew registration with SAM (see page 20)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 21)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 21)

To Find Funding Opportunity:

- _____ Search for the funding opportunity on Grants.gov (see page 21)
- _____ Download Funding Opportunity and Application Package (see page 21)
- _____ Sign up for Grants.gov email notifications (optional) (see page 20)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)

General Requirements:

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

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of \$1,125,000.

Eligibility Requirement:

- _____ Applicant agency meets eligibility requirements (see page 1)

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 11)
- _____ *Project Abstract (SF-424) (see page 12)
- _____ *Program Narrative (see page 12)
- _____ *Budget Detail Worksheet (see page 13)
- _____ *Budget Narrative (see page 13)
- _____ Employee Compensation Waiver request and justification (if applicable) (see page 8)
- _____ Read OJP policy and guidance on "conference" approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm (see page 8)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 21)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 14)
- _____ Applicant Disclosure of High Risk Status (see page 14)
- _____ Additional Attachments
 - _____ Project Timeline (see page 15)
 - _____ *Team Member Resumes (see page 15)

- _____ Position Descriptions (see page 15)
- _____ *Letters of Commitment (see page 15)
- _____ Disclosure of Pending Applications (see page 15)
- _____ Accounting System and Financial Capability Questionnaire (if applicable)
(see page 16)

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

References

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