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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 evaluation of the Juvenile Justice Reform and Reinvestment Initiative. This program furthers the Department's mission by evaluating an evidence-based juvenile justice reform initiative to improve outcomes and the allocation of limited juvenile justice funds at the local and state levels.

## **OJJDP FY 2012 Evaluation of the Juvenile Justice Reform and Reinvestment Initiative**

### **Eligibility**

Eligible applicants are limited to states (including territories), units of local government (including federally recognized tribal governments as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), and institutions of higher education (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee. (See Eligibility, page 3.)

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

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. (See How To Apply, page 11.) All applications are due by 11:59 p.m. eastern time on August 23, 2012. (See Deadlines: Registration and Application, page 3.)

### **Contact Information**

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

For assistance with any other requirements of this solicitation, contact the Justice Information Center (JIC) at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com), or by [live Web chat](#). JIC 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: OJJDP-2012-3356

**Release Date: July 24, 2012**

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# OJJDP FY 2012 Evaluation of OJJDP's Juvenile Justice Reform and Reinvestment Initiative (CFDA # 16.821)

## Overview

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) will conduct a comprehensive process and outcome evaluation of the Juvenile Justice Reform and Reinvestment Initiative. This new initiative is made possible through the Partnership Fund for Program Integrity Innovation (the Partnership Fund that the Office of Management and Budget (OMB)) administers.<sup>1</sup> The initiative will fund as many as three sites to develop and implement an integrated set of research-based and cost-measurement tools to help them realign juvenile justice services and costs. The evaluator will track the implementation and outcome of activities and determine whether the initiative has had the intended effect. The evaluator will identify and adapt, as necessary, all measurement tools for the evaluation, including cost measurement tool(s) at the site level.

This Program is authorized by Pub. L. 111-117, 123 Stat. 3034, 3171 and Pub. L. 112-74, 125 Stat. 786, 898.

## 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, applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on August 23, 2012. See How To Apply, page 11, for details.

## Eligibility

Eligible applicants are limited to states (including territories), units of local government (including federally recognized tribal governments as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), and institutions of higher education (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee.

OJJDP welcomes joint applications from two or more eligible applicants; however, one applicant must be clearly indicated as the primary applicant (for correspondence, award, and management purposes) and the others indicated as co-applicants.

## Project-Specific Information

This initiative is made possible by the Partnership Fund for Program Integrity Innovation ([www.partner4solutions.gov](http://www.partner4solutions.gov)), which seeks innovative ideas to improve the stewardship of federal

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<sup>1</sup> See [partner4solutions.gov/](http://partner4solutions.gov/) for more information.

dollars to create an efficient, effective government model for the 21st century. Since 2010, OMB has administered the Partnership Fund to support pilot projects to streamline operations and strengthen program integrity in federal assistance programs in cooperation with the states. Partnership Fund pilots test high-return-on-investment innovations that have potential to significantly impact multiple programs. OMB has made funds available for OJJDP to conduct a demonstration program to test evidence-based decisionmaking<sup>2</sup> and cost realignment in juvenile justice programming at the local level.

The demonstration program builds on more than 30 years of OJJDP research in juvenile justice and youth development and program evaluations about what works and what does not in serving youth and reforming juvenile justice at the state and local levels. As the agency that has sponsored the majority of this research and offers continuous training and technical assistance to the juvenile justice field, OJJDP is in a unique position to work with selected states and communities to pilot this project.

In addition to an evaluator, under a separate solicitation, OJJDP will select three sites and a training and technical assistance provider for this demonstration program. OJJDP anticipates that all participants will collaborate to develop, implement, and test integrated tools that enable state and local agencies that administer the juvenile justice system to make informed decisions about resources and services for justice-involved youth. These tools incorporate the best research-based information regarding youth development, risks and needs, program effectiveness and cost to inform decisions around outcomes, quality, and costs of services for youth in the juvenile justice system.

Find the solicitation for the demonstration program at [www.ojjdp.gov/grants/solicitations/FY2012/JJRRRI.pdf](http://www.ojjdp.gov/grants/solicitations/FY2012/JJRRRI.pdf).

## **Purpose**

This initiative will conduct a comprehensive process and outcome evaluation of an innovative new OJJDP demonstration program. The evaluator will:

- Identify, adapt, and implement all measures for the evaluation at the site level.
- Evaluate the implementation and outcomes of the demonstration program in three sites.
- Conduct a comprehensive cost benefit analysis for each site implementing this initiative and overall findings across the three sites.
- Prepare a comprehensive evaluation and cost benefit report as a final deliverable.

OJJDP seeks to generate evidence on the effectiveness of this approach to promote juvenile justice reform at the local and state levels. Results of the evaluation will inform future reform efforts and support realignment and reinvestment of funding at the local and state levels.

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<sup>2</sup> [cjjr.georgetown.edu/pdfs/ebp/pres\\_AZspeg2010.pdf](http://cjjr.georgetown.edu/pdfs/ebp/pres_AZspeg2010.pdf)

**Research Questions.** The primary research questions for the evaluation will focus on the implementation of this initiative and usage of the initiative's tools and protocols. Key research questions include:

- Does the use of risk assessment tools and the SPEP<sup>3</sup> protocol result in more appropriate linkage of youth needs to services and improved quality of services for youth? What gaps remain in appropriately serving youth?
- Does the use of risk assessment tools and the SPEP protocol appropriately place youth in the least restrictive environment? Do these practices prevent juvenile recidivism and improve related outcomes?
- Does the use of the risk assessment tools and the SEP protocol improve the cost-effectiveness of the juvenile justice system's response to youth at each location? What are the gains in terms of cost-savings to the jurisdiction, other affected levels of government, and other partners providing services?
- What are the best ways to track service costs, and how can the tracking of these costs be integrated with other decisionmaking activities (such as linkage of youth to services). What are the critical cost elements that must be tracked?
- Does the use of risk assessment tools and the SPEP protocol affect disproportionate minority contact with the juvenile justice system? What changes are seen in disproportionate minority contact with use of the tools and protocol?
- How are these practices best used to realign costs appropriately within juvenile justice?

Applicants should acknowledge that they will focus on the primary research questions listed above in carrying out the evaluation and outline additional proposed research questions in their application to OJJDP.

**Evaluation Design.** As part of the proposal, applicants must fully describe the design they propose to use to carry out the evaluation. This should include a detailed description of the measures they will use, how they intend to track the implementation and outcomes of the initiative, and the economic model they propose to use to assess benefits and costs. Benefit-cost measures should include standard financial statistics: net present values, benefit-cost ratios, and rates of return on investment. Three themes should guide the evaluation design:

- Identifying best practices and process improvements at the site level as a result of the implementation of the assessment and tools;

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<sup>3</sup> The Standardized Program Evaluation Protocol is a tool for comparing juvenile justice programs to what the research has found to be effective. The tool was designed based on Lipsey's large (2009) meta-analysis of evaluation studies and although it is focused on recidivism, the programs found in the meta-analysis to be effective for reducing recidivism also had positive effects on other outcomes, such as family and peer relations, mental health symptoms, and school attendance. See Lipsey, M., Howell, J., Kelly, M., Chapman, G., and Carver, D. 2010. *Improving the Effectiveness of Juvenile Justice Programs: A New Perspective on Evidence-Based Practice*. Washington, DC: Center for Juvenile Justice Reform/Georgetown Public Policy Institute.

- Development of case studies of selected sites to look at the effect the initiative has on juvenile justice decisionmaking and outcomes, and
- Recommendations regarding how best to implement the tools after this evaluation, to include taking the initiative to scale.

OJJDP is committed to assessing promising program approaches to: (1) identify effective strategies and interventions and (2) determine when widely used approaches are not producing the intended outcomes for youth. OJJDP encourages applicants proposing to conduct impact analyses to use the most rigorous evaluation design feasible to maximize the likelihood the investigation will produce definitive results regarding program outcomes.

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

**Goals.** The overall goal of this evaluation is to test the effectiveness of an integrated approach that incorporates risk assessment, a research-based program assessment and other decision making support, and cost measurement tools to better serve juvenile justice youth and realign costs at the local system level.

**Objectives/Major Tasks.** OJJDP will expect the successful applicant for this solicitation to accomplish the following tasks:

- **Collaborate with OJJDP, selected sites, and the technical assistance provider to implement the evaluation.** As cost measurement and realignment is a primary component of this initiative, OJJDP will seek applicants with previous experience in conducting cost-benefit studies in juvenile and criminal justice programming. Applicants should identify existing evaluation measures, cost measurement tool(s),<sup>4</sup> and/or protocols that they propose adapting for this initiative. Applicants must demonstrate an ability to work with local and state agencies and include examples of this experience in their applications.
- **Meet or surpass the required timeframe of activity and expected results for this initiative.** In accordance with pilot criteria laid out in OMB Memorandum M-11-01, the Partnership Fund has established a timeline for this initiative that requires the evaluator to submit an interim report describing preliminary findings within 18 months of the receipt of funding in addition to a final evaluation at the end of the project period. OJJDP will require the three selected sites and the training and technical assistance provider to begin full implementation of all protocols and tools by March 1, 2013. The evaluator should accomplish the following activities within the timeframes indicated:
  - Participate in a kickoff meeting/teleconference with OJJDP, the Center for Juvenile Justice Reform (CJJR), and the selected sites by November 1, 2012.
  - Work with OJJDP, CJJR, and the sites to identify and begin adaptation of the appropriate cost measurement tool(s) by January 15, 2013.

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<sup>4</sup> OJJDP seeks to build on existing work going on in states and localities to examine the cost effectiveness of juvenile justice programming and will rely on the applicant to propose the best method(s) for cost tracking and analysis. Applicants are also encouraged to build on existing efforts currently in process at the state and local levels to reform juvenile justice practices, improve decisionmaking, and realign costs. Proposals should describe how their work will further, rather than duplicate, these efforts.

- Complete training on cost measurement tool(s) to project sites and the training and technical assistance provider by February 1, 2013.
- Carry out a process evaluation of the initiative (documenting site implementation, assessing fidelity, recording lessons learned, identifying challenges, etc.).
- Conduct an outcome evaluation of the program to measure its effectiveness in providing appropriate research-based programming to juvenile justice youth and realigning costs in the system.
- Submit an interim evaluation report to OJJDP by March 1, 2014, summarizing preliminary findings of the process and outcome evaluations to date.

**Deliverables.** Applicants should propose that the primary audience for the outcomes of this evaluation consist of public (federal, state, local) and private (e.g., foundation) program funders and state and local juvenile justice practitioners. Deliverables for this project will include:

- **Detailed progress reports to OJJDP twice a year.** These reports will describe the status of the evaluation, methodological and implementation issues, progress toward the project goals, findings of the process and outcome evaluations, and other issues relevant to the completion of the study.
- **Interim (18 month) evaluation report.** By March 1, 2014, the evaluator should submit a report that summarizes the results to date of both the process and outcome evaluations.
- **Final evaluation report.** At the end of the project period, the evaluator must submit a final report that summarizes in detail the entire project and includes both process and outcome evaluation information and final findings. In addition to addressing the research questions identified, the final report should include:
  - final tools and protocols that are generalizable in other localities that wish to implement a similar initiative.
  - Any recommended changes to the SPEP assessment process, decisionmaking protocols, and cost tracking methods, as appropriate.
  - lessons learned regarding additional information or data that may be of use in future efforts to measure the impact of these tools and protocols, including administrative data that localities collect on recidivism.

OJJDP also encourages the evaluators to seek publication in refereed journals.

### **Amount and Length of Awards**

OJJDP expects to make one award of as much as \$700,000 for a 36-month project period. The amount is for the entire award period. OJJDP will make no additional awards to successful applicants in subsequent years.

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

OJJDP will enter into a cooperative agreement with the successful applicant. In furtherance of the goals and objectives described above, OJJDP's role will include the following tasks:

- reviewing and approving major work plans, including changes to such plans, and key decisions pertaining to project operations.
- reviewing and approving major project-generated documents and materials used in the provision of project services.
- providing guidance in significant project planning meetings and participating in project sponsored training events or conferences.

### **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, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a higher 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 limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Administrator of OJJDP. An applicant requesting a waiver should include a detailed justification in the budget narrative of its 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 its budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service being provided, 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.

**Minimization of Conference Costs.** No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be obtained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP website at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

**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 by individuals with limited English proficiency may be allowable costs. 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 ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

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

## Performance Measures

To assist the Department in fulfilling its responsibilities under the Government Performance and Results Act (GPRA) of 1993, 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. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Description	Data Grantee Provides
To conduct comprehensive process and outcome evaluations of OJJDP's Juvenile Justice Reform and Reinvestment Initiative.	Number of materials developed.  Number of OJJDP-sponsored events held.	The number of OJJDP-published research and development products and publications based upon grant funded research or evaluation studies or training curricula development, during reporting period. Agency records are preferred data source.	Number of OJJDP-published research and development materials developed on: <ul style="list-style-type: none"> <li>• grant-funded research</li> <li>• evaluation studies</li> <li>• training curricula.</li> </ul> Number of OJJDP-sponsored conferences or sessions held at professional meetings.
	Percentage of deliverables (e.g., reports, curricula, manuscripts) completed on time.		Number of deliverables to be submitted to OJJDP.  Number of deliverables completed on time.
	Number of deliverables that meet OJJDP's		Number of deliverables that meet OJJDP's

	expectations for depth, breadth, scope and quality of study, and pertinence (As determined by OJJDP program manager and management).		expectations for depth, breadth, scope and quality of study, and pertinence.
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Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section What an Application Is Expected To Include on page 13 for additional information.

## Human Subjects and Confidentiality Requirements

The following requirements must be met for all applications that propose to conduct research and include human subjects. Research is defined as follows:

Research means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research for the purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities. 28 C.F.R. § 46.102(d).

DOJ regulations (28 C.F.R. Part 46) protect the human subjects of federally funded research. In brief, 28 C.F.R. Part 46 requires that most research involving human subjects that is conducted or supported by a federal department or agency be reviewed and approved by an Institutional Review Board (IRB), in accordance with the regulations, before federal funds are expended for that research. As a rule, persons who participate in federally funded research must provide their "informed consent" and must be permitted to terminate their participation at any time. Funding recipients, before they will be allowed to spend OJP funds on any research activity involving human subjects, must submit appropriate documentation to OJP showing compliance with 28 C.F.R. Part 46 requirements, as requested by OJP.

DOJ regulations (28 C.F.R. Part 22) require recipients of OJP funding to submit a Privacy Certificate as a condition of approval of any grant application or contract proposal that contains a research or statistical component under which "information identifiable to a private person" will be collected, analyzed, used, or disclosed. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect the confidentiality of identifiable data. 28 C.F.R. § 22.23. The Department's regulations provide, among other matters, that: "Research or statistical information identifiable to a private person may be used only for research or statistical purposes." 28 C.F.R. § 22.21. Moreover, any private person from whom information identifiable to a private person is collected or obtained (either orally or by means of written questionnaire or other document) must be advised that the information will only be used or disclosed for research or statistical purposes and that compliance with the request for information is voluntary and may be terminated at any time. 28 C.F.R. § 22.27.

Applicants selected for an award will be required to submit all appropriate IRB and privacy documents prior to spending OJP funds for research-related activities.

## Notice of Post-Award FFATA Reporting Requirement

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

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

### How To Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, call the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov). Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

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 renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of 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. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Note,

however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.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](http://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 there can be more than one AOR for the organization.
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 number for this solicitation is 16.821, titled "*Juvenile Justice Reform and Reinvestment Demonstration Program*," and the funding opportunity number is OJJDP-2012-3356.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit an 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 validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). 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."

**Note: Duplicate Applications.** If an applicant submits multiple versions of an application, OJJDP will review the most recent version submitted.

### **Experiencing Unforeseen Grants.gov Technical Issues**

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must email the Justice Information Center (see Page 1 for contact information) **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the

complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) the applicant has received. **Note: Requests are not automatically approved by OJJDP.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced 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](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## **What an Application Is Expected To Include**

Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by OJJDP 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, and Budget Detail Worksheet or a Budget Narrative.

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

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

The SF-424 is a standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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). Instructions on completing the SF 424 are available at [www.grants.gov/assets/SF424Instructions.pdf](http://www.grants.gov/assets/SF424Instructions.pdf).

### **2. 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 evaluation. 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 project abstract, 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, noncompliance may be considered in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) project abstract; (2) statement of the problem; (3) goals, objectives, and performance measures; (4) project design and implementation; and (5) 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. **Project Abstract.** Applicants should include a project abstract as the first page of the program narrative, and it is included in the page limitation specified above. The abstract should not exceed 200 words and briefly describe the project’s purpose, the primary research questions, and proposed methods of the evaluation. The abstract should summarize the activities that the applicant will implement to achieve the project’s goals and objectives. These goals and objectives should focus on short-term and intermediate outcomes (see Goals, Objectives, and Performance Measures, below). The abstract should describe how the applicant will measure progress toward these goals.

**Permission to Share Abstract and Contact Information with Private Funders.** It is unlikely that OJJDP will be able to fund all competitive applications, but may have the opportunity to share unfunded competitive application information with private foundations. Applicants should indicate whether they give OJJDP permission to share their abstract and contact information for both the authorized representative and point of contact with potentially interested private foundations. Granting this permission will not affect OJJDP’s funding recommendations, and if the application is not funded, it will not guarantee that information will be shared, nor does it guarantee funding from any other source.

- b. **Statement of the Problem.** Applicants should briefly describe the nature and scope of the problem that the program will address. This section should focus on reasons for reforming the juvenile justice system and the economic needs for reinvestment and funding realignment at the local and state levels.

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.

The applicant should provide a synthesis of prior research conducted on juvenile justice reform and reinvestment, and evidence-based and cost-benefit studies in the juvenile justice field. Applicants should discuss the challenges to conducting this type of research and how they will overcome those challenges.

- c. Goals, Objectives, and Performance Measures.** Applicants should describe the goals of the proposed evaluation and identify its objectives. When formulating the project's goals and objectives, applicants should be cognizant of the performance measures that OJJDP will use to measure the project's progress.

**Goals.** Applicants should describe the project's intent to change, reduce, or eliminate the problem noted in the previous section and outline the project's goals.

**Project Objectives.** Applicants should explain how the project 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. This section should focus on how and when the applicant will accomplish the tasks outlined on pages 6 and 7 of this solicitation.

**Performance Measures.** OJJDP requires award recipients to report data in support of mandated performance measures for this solicitation (see Performance Measures, page 9.) OJJDP does not require applicants to submit performance measures data with their applications. 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.

- d. Project Design and Implementation.** Applicants should detail how they will implement this evaluation project 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 6. This section should also detail the specific research questions of the evaluation and the proposed measures and methods the applicant will use.

This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project.

**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. Sample logic models are available at [oijdp.gov/grantees/pm/logic\\_models.html](http://oijdp.gov/grantees/pm/logic_models.html). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 17.

**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” at [ojjdp.gov/grantees/timelines.html](http://ojjdp.gov/grantees/timelines.html)).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 17. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

- e. Capabilities and Competencies.** Applicants should describe the roles and responsibilities of project staff and explain the program’s organizational structure and operations. Management and staffing patterns should be clearly connected to the project design described in the previous section. This section should describe the experience and capability of the applicant’s organization and any contractors 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.

**Letters of Support/Memoranda of Understanding.** If submitting a joint application, as described under Eligibility, page 3, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners that include the following:

- an expression of support for the program and a statement of willingness to participate and collaborate with it;
- a description of the partner’s current role and responsibilities in the planning process and expected responsibilities when the program is operational; and
- an estimate of the percent of time that the partner will devote to the planning and operation of the project.

### 3. 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.

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](http://www.ojp.usdoj.gov/financialguide/index.htm).

- a. Budget Detail Worksheet.** A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants who submit the budget in a different format should include the budget categories listed in the sample budget worksheet. The budget detail worksheet should be mathematically sound.
- b. Budget Narrative.** The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost-effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures the applicant provides 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.

#### **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.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's 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. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

#### **5. Tribal Authorizing Resolution (if applicable)**

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions (or comparable legal documentation).

If an applicant is unable to obtain and submit with its application a fully-executed (i.e., signed) copy of a tribal resolution or other, comparable legal documentation as may be consistent with the tribe's governance structure, then, at minimum, the applicant should submit an unsigned, draft version of such legal documentation as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the fully-executed tribal resolution or other, comparable legal documentation.

#### **6. Additional Attachments**

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their application. 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.

- logic model (see Logic Model, page 15)

- timeline or milestone chart (see Timeline, page 15)
- résumés of all key personnel
- job descriptions outlining roles and responsibilities for all key positions
- letters of support/memoranda of understanding from partner organizations (see Letters of Support/Memoranda of Understanding, page 16)
- evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service
- evidence of for-profit status, e.g., a copy of the articles of incorporation.

## 7. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms.

- [Standard Assurances](#). Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#). Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.
- [Accounting System and Financial Capability Questionnaire](#). (Required for 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; this form must be downloaded, completed, and submitted.)

## 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 15 percent of the entire score in the application review process. Consideration may be given to applicants with demonstrated experience in the use of administrative and aggregate data for evaluation purposes.

1. Statement of the Problem (15 percent)
2. Goals, Objectives, and Performance Measures (10 percent)
3. Project Design and Implementation (30 percent)
4. Capabilities and Competencies (35 percent)
5. Budget (complete; reasonable and allowable; cost-effective, and necessary for project activities)(10 percent)

See What an Application Is Expected To Include, page 13, 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. OJJDP may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications under this solicitation. 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. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. 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 OJJDP, conducts a financial review of 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.

All final award decisions will be made by the Administrator of OJJDP, who also may give consideration to 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 strongly 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](http://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
- 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
- Nonprofit Organizations
- For-Profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

## **Provide Feedback to OJP on This Solicitation**

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

## Appendix: Application Checklist

### OJJDP FY 2012 Evaluation of OJJDP's Juvenile Justice Reform and Reinvestment Initiative

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

#### Eligibility Requirements:

- State or territory
- Unit of local government, including federally recognized tribal government
- Nonprofit and for-profit organization, including tribal nonprofit and for-profit organization
- Institution of higher education, including tribal institution of higher education
- The federal amount requested is within the allowable limit of \$700,000.

#### What an Application Should Include:

- Disclosure of Lobbying Activities, (SF-LLL) (see page 12)
- Application for Federal Assistance (SF 424) (see page 13)
  
- Program Narrative (see page 13)
  - Format (double spaced, 12-point standard font, 1" standard margins, narrative is 30 pages or less)
  - Abstract
  - Statement of the Problem
  - Goals, Objectives, and Performance Measures
  - Project Design and Implementation
  - Capabilities/Competencies
  
- Budget Detail Worksheet and Budget Narrative (see page 16)
- Indirect Cost Rate Agreement (if applicable) (see page 17)
- Tribal Authorizing Resolution (if applicable) (see page 17)
  
- Additional Attachments (see page 17)
  - logic model
  - timeline or milestone chart
  - résumés of all key personnel
  - job descriptions for all key positions
  - letters of support/MOUs from partner organizations
  - evidence of nonprofit status e.g., copy of articles of incorporation, if applicable
  - evidence of for-profit status e.g., copy of tax exemption letter from the Internal Revenue Service, if applicable
  
- Other Standard Forms, Certifications, and Other Components, (see page 18) including:
  - DUNS number
  - CCR registration
  - Certifications
  - Accounting System and Financial Capability Questionnaire