

U.S. Department of Justice
Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) (OJJDP) is seeking applications for funding under the fiscal year (FY) 2017 Smart on Juvenile Justice: Systemwide Reform and Reinvestment Initiative. This initiative furthers the Department's mission by supporting systemwide juvenile justice reform efforts to reduce reoffending, improve outcomes for youth, and reduce racial and ethnic disparities.

OJJDP FY 2017 Smart on Juvenile Justice: Systemwide Reform and Reinvestment Initiative

Applications Due: June 29, 2017

Eligibility

This initiative is composed of two categories. Eligibility differs by category.

Category 1: Systemwide Juvenile Justice Reform Planning Grants. Eligible applicants are limited to states (including territories and the District of Columbia). Award recipients of the FY 2016 Smart on Juvenile Justice Category 1: Systemwide Juvenile Justice Reform Planning Grants are not eligible to apply. *Applicants must submit letters of support, on agency letterhead, from key stakeholders and task force members who will participate in the planning and strategizing, demonstrating a commitment to participate in and support the reform planning process.*

Category 2: Systemwide Reform Implementation Training and Technical Assistance. Eligible applicants are limited to nonprofit organizations¹ 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 (as well as other recipients) must forgo any profit or management fee.

OJJDP welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").² The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the

¹ See <https://ojp.gov/funding/Explore/SolicitationRequirements/OrganizationalRequirements.htm> for additional information on demonstrating nonprofit status.

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

entire program. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (“subgrantee”) in more than one application.

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

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due by 11:59 p.m. eastern time (ET) on June 29, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How To Apply](#) in Section D. Application and Submission Information.

Contact Information

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

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the National Criminal Justice Reference Service Response Center (Response Center) at grants@ncjrs.gov **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the How to Apply section.

For assistance with any other requirements of this solicitation, contact the Response Center by telephone at 800–851–3420 or TTY: 301–240–6310 (hearing impaired only), by email at grants@ncjrs.gov, or by [web chat](#). Response Center hours of operation are 10 a.m. to 6 p.m. ET, Monday through Friday, and 10 a.m. to 8 p.m. ET on the solicitation close date. Answers to frequently asked questions that may assist applicants are posted at <https://www.ojjdp.gov/grants/solicitations/FY2017/FAQ/SJJReform.pdf>.

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Contents

A. Program Description	4
Overview	4
Program-Specific Information	4
Goals, Objectives, and Deliverables	4
Evidence-Based Programs or Practices	11
B. Federal Award Information	12
Type of Award	12
Financial Management and System of Internal Controls	12
Budget Information	13
Cost Sharing or Match Requirement	13
Preawardment Costs (also known as Preaward Costs)	13
Limitation on Use of Award Funds for Employee Compensation; Waiver	13
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs	14
Costs Associated With Language Assistance (if applicable)	14
C. Eligibility Information	15
D. Application and Submission Information	15
What an Application Should Include	15
How To Apply	32
E. Application Review Information	35
Review Criteria	35
Review Process	36
F. Federal Award Administration Information	37
Federal Award Notices	37
Administrative, National Policy, and other Legal Requirements	38
General Information About Post-Federal Award Reporting Requirements	39
G. Federal Awarding Agency Contact(s)	39
H. Other Information	40
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)	40
Provide Feedback to OJP	40
Application Checklist	41

OJJDP FY 2017 Smart on Juvenile Justice: Systemwide Reform and Reinvestment Initiative (CFDA 16.827)

A. Program Description

Overview

OJJDP envisions a nation where our children are healthy, educated, and free from violence. If they come into contact with the juvenile justice system, that contact should be rare, fair, and beneficial to them. This program will support state efforts to develop systemwide juvenile justice reform strategic plans and provide training and technical assistance (TTA) to implement systemwide strategic reform strategies.

Statutory Authority: This program is authorized pursuant to the Department of Justice Appropriations Act, 2017 (Pub. L. 115-31).

Program-Specific Information

Goals, Objectives, and Deliverables

OJJDP is committed to promoting juvenile justice reform through the adoption of data-driven decisionmaking; evidence-based programs and practices (see [OJJDP's Model Program Guide](#)); and a developmentally appropriate, trauma-informed approach to juvenile justice (see the National Research Council's [Reforming Juvenile Justice: A Developmental Approach](#)). In recognition of a growing body of research on effective community-based approaches to juvenile justice and delinquency prevention, and the limited effect that secure confinement has on reducing juvenile offending and recidivism, OJJDP's Smart on Juvenile Justice Strategy is focused on developing and implementing juvenile justice reforms that:

- Enhance public safety.
- Reduce reoffending and improve youth outcomes while holding youth appropriately accountable.
- Reduce preadjudicatory detention and out-of-home placements and strengthen diversion and community-based alternatives.
- Ensure equitable treatment of all justice-involved youth.
- Maximize cost savings and cost aversion.
- Support the strategic reinvestment of these savings toward sustainable, systemic change.

The Smart on Juvenile Justice Strategy reflects OJJDP's commitment to reducing children's exposure to violence and the traumatic effects of violence by promoting recovery and the well-being of children, youth, and families who have been exposed to violence. The Smart on Juvenile Justice reinvestment approach refers to a data-driven approach that (1) analyzes juvenile justice trends to understand the factors that are driving secure confinement

and disparities within the juvenile justice system, (2) develops and implements policy options to manage juvenile justice expenditures through cost savings/cost aversion and increase the effectiveness of current spending and investment to increase public safety and improve youth accountability, and (3) measures the impact of the policy changes and reinvestment resources.

The Smart on Juvenile Justice Strategy consists of the following action steps:

1. Engage stakeholders across branches of government, political parties, and key stakeholder groups, such as victim advocates, prosecutors, courts, law enforcement, school systems, community-based organizations, youth, and families.
2. Analyze data to identify juvenile justice populations and cost drivers.
3. Assist states with the implementation of systemwide reform strategies and enacted legislation through effective, data-driven, evidence-based programs and strategies to reduce secure confinement and associated costs, eliminate disparities, and increase public safety.
4. Support sustainability through measurement of the implementation of the Smart on Juvenile Justice Strategy and reinvestment efforts.

The overarching goals of the Smart on Juvenile Justice Initiatives are as follows:

1. Identify drivers of secure confinement/out-of-home placement and costs.
2. Prevent unnecessary confinement/out-of-home placement and reduce reoffending while improving youth outcomes.
3. Ensure equitable treatment of all justice-involved youth.
4. Improve allocation of resources to yield more cost-beneficial impacts on public safety.

Category 1: Systemwide Juvenile Justice Reform Planning Grants

This program will support states' efforts to develop planning tools and resources that will support systemwide juvenile justice reform strategies. Selected states will (1) develop strategies to improve public safety and outcomes for youth, their families, and the communities in which they live; (2) develop strategies to reduce the use of out-of-home placement and increase the use of effective community-based alternatives, including early intervention, diversion, and evidence-based programs; (3) develop strategies to ensure sustainability of reform efforts; and (4) develop strategies for reinvestment of cost savings/cost aversion realized through reform efforts. As the number of youth in out-of-home placement is reduced, OJJDP encourages states to close underutilized large juvenile justice facilities and invest funding in evidence-informed community programs and small, home-like facilities that are more likely to reduce recidivism and improve youth outcomes.³

Selected applicants will engage in the following planning activities:

- Convene and collaborate with a diverse committee of critical stakeholders, including state-level or local-level decisionmakers, juvenile court judges, juvenile justice agency leaders (including juvenile probation, detention, and corrections), policymakers, mental health professionals, community advocates, schools, prosecutors, law enforcement, youth- and family-serving community-based or faith-based organizations, justice-involved youth and their families, and others concerned with the fair administration of

³ Mendel, R.A. 2010. *The Missouri Model: Reinventing the Practice of Rehabilitating Youthful Offenders*. Baltimore, MD: Annie E. Casey Foundation.

juvenile justice. The stakeholders should represent urban, suburban, rural, and tribal communities, as appropriate.

- Develop strategies to ensure that the strategic plans are transparent and thoroughly vetted across essential stakeholder groups.
- Build coalitions and develop agreements to formalize roles and responsibilities of the reform planning committee.
- Develop strategies to collect, share, and examine data and decisions related to juvenile arrest, detention, referral to court, diversion, adjudication, disposition to probation, out-of-home-placement, other sanctions or services, and aftercare as part of a formal and transparent review of the juvenile justice system.
- Identify data gaps and provide recommendations to improve the quality of data collection and measurement practices.
- Convene working groups of key stakeholders to discuss policy options and forge consensus on recommendations for a systemwide juvenile justice reform strategic plan.
- Develop tools and systems that will assist the jurisdiction with collecting and sharing data.
- Develop a strategic plan with assistance from an OJJDP-approved TTA provider that will (1) identify drivers of justice-involved youth populations and costs, (2) discuss ways to reduce out-of-home placement and/or the unnecessary confinement of juveniles, and (3) discuss ways to allocate resources to yield more cost-beneficial impacts on public safety and the reduction of recidivism.
- Attend OJJDP's TTA-sponsored activities, including one or more meetings with representatives from other Smart on Juvenile Justice Programs.
- Work collaboratively and share information, as requested, with OJJDP-approved TTA providers.
- Develop a systemwide, multicomponent, juvenile justice reform strategic plan during the 24-month project period.
- Work closely with and receive TTA from OJJDP-approved TTA providers.

The program narrative should reflect how the applicant will accomplish these activities and deliverables, including specific plans and capabilities for assessing the efficacy and efforts to ensure equitable treatment of all justice-involved youth. The program narrative should demonstrate the applicants' commitment to working closely and sharing information with OJJDP-approved TTA providers. Program narratives should include a position for an on-the-ground, jurisdictionwide coordinator to serve as the state or locality primary liaison with OJJDP and OJJDP-approved TTA providers. In addition, if applicants are currently engaged in juvenile justice system reform activities (i.e., community supervision, juvenile defense systems), the program narrative should discuss how the state's current reform activities will be coordinated with proposed activities under this solicitation.

Applicants should include memoranda of understanding or signed letters of support, on official letterhead, from partners and/or key stakeholders that explain the partner or stakeholder level of support, role, and commitment to the proposed project.

Category 2: Systemwide Reform Implementation Training and Technical Assistance

OJJDP will support a TTA provider to assist up to seven selected states that have completed a juvenile justice systemwide reform strategic plan and/or have recently enacted policy changes intended to reform the state's juvenile justice system and are seeking TTA that focuses on implementing juvenile justice reforms to enhance public safety, hold youth appropriately

accountable, reduce reoffending, maximize cost savings, and support strategic reinvestment of the savings while supporting systemwide change. The TTA provider will provide TTA to assist the selected states in effectively implementing systemwide, multicomponent, juvenile justice system reform through the following action steps:

Stakeholder Engagement

The TTA provider will work with governmental and nongovernmental stakeholders of the state's juvenile justice system to (1) orient them to the justice reinvestment process, including drafting a publication documenting the challenges states accepted for TTA seek to address and describing the process to come; (2) seek input on understanding justice system data and processes, interpreting analytic and qualitative findings, and assessing feasibility and providing information on the potential impact of policy recommendations; (3) involve and inform stakeholders in implementation in an ongoing way; and (4) set up processes for continued stakeholder engagement as technical assistance concludes. Such stakeholders typically include legislators, gubernatorial advisors, judges, corrections executives (both institutional and community supervision), prosecutors, defense counsel, law enforcement, parole board members, victims' advocates, business leaders, nonprofit service providers, local private foundations, and leadership from departments that provide behavioral health treatment and recovery services.

Data Analysis

The TTA that will be provided to state stakeholders includes (1) conducting a comprehensive analysis of state juvenile justice data, including crime and arrest rates, pre- and postadjudication rates, community supervision, out-of-home placement, and confinement populations; (2) conducting a system assessment to ascertain the extent that policies, procedures, and practices adhere to the principles of effective correctional interventions; (3) assessing the capability of the juvenile justice system stakeholders to collect, analyze, and share information for purposes of making data-driven policy decisions related to out-of-home placement/confinement and sentencing; (4) evaluating the cost effectiveness of state spending on out-of-home placement/confinement and community supervision; and (5) presenting findings to the state in a comprehensible, clear, and concise manner.

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

- Reported crime and arrest and referral data.
- Postadjudication data to understand the percent of adjudicated juveniles who are sentenced to out-of-home placement or confinement.
- Out-of-home placement admissions and length-of-stay data over a 3- to 5-year time period to determine which cohorts of juveniles are driving the growth of the population.
- Development of a juvenile population projection using a simulation model to test the impact of various policy changes.
- Current capacity and quality of institutional and community-based risk-reduction programs such as juvenile drug treatment programs, mental health, and other social services to reduce recidivism among juveniles on community supervision.
- Juvenile justice expenditures and the development of practical, data-driven policy options, including high-performing programs that research shows can increase public safety, improve juvenile accountability, reduce recidivism, and manage the growth of corrections spending.

Policy Development

The TTA provider will (1) assist the state in implementing data-driven juvenile justice systemwide reform strategies that can increase public safety and improve juvenile accountability and outcomes for states and (2) assist the state with analyzing the impact of reform strategies on juvenile populations and community supervision populations, as appropriate.

Implementation Planning and Guidance

- The TTA provider will inform state leaders that the state will be eligible for implementation assistance if state leaders can demonstrate that they have analyzed data, developed responsive policies, and memorialized juvenile justice system reform changes via state legislation, an OJJDP-approved systemwide juvenile justice strategic plan, or other mechanisms. An eligible state will be required to submit to the appropriate TTA provider an application, in such form and manner and at such time as specified by guidelines established jointly with OJJDP. OJJDP and the TTA provider will select states that show a commitment and readiness to implement comprehensive systemwide juvenile justice system reform efforts. The goal of this assistance is to increase the state's capacity to meet its justice reinvestment goals, which may include providing evidence-based programming and supervision, developing risk-based programs that focus on juveniles most likely to recidivate, and improving juvenile justice system accountability.
- The TTA provider will provide targeted and intensive TTA to states to support the implementation of comprehensive systemwide reform plans, with the long-term goal of reinvesting the cost savings into early intervention, diversion, and community-based programming. TTA tasks related to implementation will include (1) assisting in planning to ensure timely and faithful implementation of previously adopted policies and (2) providing technical expertise and guidance regarding operational and programmatic aspects of implementation as well as stakeholder education regarding the enacted policy changes.
- The TTA provider will assist state policy, judicial leaders, and agency staff in implementing any enacted legislation changes. Potential activities and deliverables will be tailored to the specific state and may include:
 - Providing training of law enforcement, probation staff, school administrators, attorneys, judicial, behavioral health, and other key staff on evidence-based practices for reducing recidivism and training to assist jurisdictions in implementing and validating new risk and needs assessment tools, assist in developing quality assurance mechanisms for these practices, and/or assist in stakeholder education regarding the enacted policy changes.
 - Assisting in the establishment of high-performing programs, including preadjudication programs; diversion programs; substance abuse and mental health treatment programs; juvenile drug court programs; family drug court programs; programs that address criminogenic needs; programs that address adolescent brain development; programs that address children exposed to violence and the impact of trauma on youth; case management services; programs that ensure swift, certain, and fair legal representation for juveniles; and programs that provide incentive funding for local community supervision agencies that successfully reduce status offense violations and recidivism.

- Supporting newly established policies and practices that will avert growth in the juvenile justice system and, as a result, avert the need to appropriate funds for the construction or operation of new juvenile detention facilities.
- Developing, adopting, and/or validating risk and needs assessment instruments or structured decisionmaking tools for agency use; cost-tracking and realignment mechanisms, tools, and/or processes and overseeing the agency's implementation of them; and ongoing quality assurance processes to monitor implementation of the adopted reform(s), including conducting additional analysis and data support, as needed.
- Assisting policymakers in identifying funding costs to be saved/averted and reinvested, and ensuring commitment to such obligations at the onset of reform implementation, such as establishing performance incentive funding systems.
- Assisting states in developing the capacity to measure the performance of their programs and overall juvenile justice system, where possible. Activities include enhancing the state's capacity to track, interpret, and report on key performance metrics of the recently adopted reforms and the overall performance of the juvenile justice system. This includes both interim and long-term outcome measures, e.g., reductions in arrests, school referrals, and out-of-home placement; and increases in diversion.

Supporting Sustainability

Concurrent with the implementation assistance described above, TTA will aim to enhance sustainability of enacted legislation changes and will include development of robust performance and outcome measures, including measurement of costs saved or averted and amounts reinvested. The TTA provider will also support a state-level, interbranch group tasked with oversight of the state's implementation of justice reinvestment policies. The group will be headed by the jurisdiction's chief executive (e.g., governor) and leading judicial and legislative officials, and staffed by a cross-section of juvenile justice and youth-serving agencies within the jurisdiction. This task force will undertake a comprehensive review of the state's newly implemented juvenile justice reform strategies, oversee implementation activities, and develop a strategy for tracking short- and long-term reform outcomes after the state stops receiving TTA from OJJDP.

This assistance will enable the state to identify and reinvest saved/averted corrections costs into high-performing programs that enhance public safety by strengthening the criminal justice system and provide the capacity to measure performance of policies and programs enacted or established as a result of reform activities and the reinvestment of cost savings. Finally, upon conclusion of the TTA, the TTA provider will work with state stakeholders to establish a sustainability plan to establish goals, benchmarks, and activities for continued data-driven decisionmaking and system improvements in keeping with the goals of justice reinvestment. The TTA provider will establish a decisionmaking framework for determining when a state should formally stop receiving TTA from OJJDP and for identifying any followup TTA that may be needed and available to them.

In addition to the deliverables described above, the successful applicant must complete the following deliverables:

- In consultation with OJJDP, develop and disseminate materials required for states to indicate their interest in receiving comprehensive juvenile justice systemwide reform implementation TTA from OJJDP. The materials will be disseminated to state officials with decisionmaking authority over the state's juvenile justice system.
- In consultation with OJJDP, develop an application process for potential states that will provide an in-depth review and assessment of applications received that will enable OJJDP to select appropriate candidates to receive implementation TTA.
- Provide OJJDP with information to be used to inform a decision about the jurisdictions that will be selected to receive TTA.
- Coordinate and collaborate with OJJDP and the organization responsible for assessing Smart on Juvenile Justice programs (to be selected) to collect appropriate evaluation and assessment data from participating states in order to determine the effectiveness of the policies and programs implemented.
- Submit monthly progress reports and performance measurement data to the organization responsible for assessing the Smart on Juvenile Justice programs (to be selected).
- Cooperate with the organization responsible for assessing the Smart on Juvenile Justice programs (to be selected) to ensure access to data, state meetings, and other relevant information.
- Publish state-specific reports to document TTA milestones in the implementation of comprehensive systemwide juvenile justice reform activities: (1) upon the states' launch, a publication to lay out the challenges to be addressed through TTA and (2) a report on the states' implementation results and the overall benefits of implementation TTA that was provided to the states.

The program narrative should reflect how the applicant will accomplish these activities and deliverables, including specific plans and capabilities for assessing the efficacy and efforts to ensure equitable treatment of all justice-involved youth.

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

Equitable Access to OJJDP-funded Programs

OJJDP promotes an unbiased juvenile justice system in which all youth are treated fairly and have equal access to the services and programs they need. Research indicates that failure to provide equitable treatment may perpetuate and exacerbate a cycle of arrest and incarceration that disproportionately impacts vulnerable youth. OJJDP may give priority consideration to applications that document the applicant's capacity to serve all vulnerable youth. Such capacity may be documented by articulating a plan for meeting the needs of all youth or by demonstrating a record of such service. Applicants should also review the OJP Standard Assurances for information about the applicable nondiscrimination provisions.

Evidence-Based Programs or Practices

With respect to both categories of this solicitation, OJP strongly emphasizes the use of data and evidence in policymaking and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

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

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

OJJDP training and technical assistance awardee standards. OJJDP has developed the Core Performance Standards for Training, Technical Assistance, and Evaluation to promote among providers the consistency and quality of OJJDP-sponsored training and technical assistance and to advance common expectations of performance excellence. The standards present minimum expectations that providers must meet for effective practice in the planning, coordination, delivery, and evaluation of training. Award recipients must coordinate with OJJDP's National Training and Technical Assistance Center (NTTAC) in the assessment and delivery of services to ensure the effective use of OJJDP grant funding. For additional information, go to OJJDP's NTTAC website.

Requirements related to coordination of activities will include, but are not limited to:

- **Coordination with OJJDP NTTAC.** OJJDP requires all training and technical assistance projects to coordinate their activities with OJJDP NTTAC by complying with all OJJDP/NTTAC protocols to ensure coordinated delivery of services among providers and the effective use of OJJDP grant funding. OJJDP reserves the right to modify these protocols at any time with reasonable notice to the grantee prior to project completion.
- **OJJDP-funded webinars.** The award recipient must comply with OJJDP's Webinar Guidelines, as described in the core performance standards. Minimally, OJJDP training and technical assistance providers will submit information to OJJDP NTTAC in advance of all events for the online calendar, use the approved OJJDP presentation template, and record events and upload the files onto NTTAC's Online University.
- **Training information sharing.** OJP will collect information from its program offices on OJP-funded training and technical assistance events. Award recipients must use OJJDP's standard electronic training request form, submit information to NTTAC on all training events

(e.g., name of requestor, description of request, dates of event) 30 days in advance of the event date, and report additional data, as OJJDP requires.

B. Federal Award Information

Under Category 1, OJJDP estimates that it will award three planning grants of up to \$300,000 each for a performance period of 24 months, to begin on October 1, 2017.

Under Category 2, OJJDP estimates that it will award one cooperative agreement of up to \$1,200,000 for a performance period of 24 months, to begin on October 1, 2017.

OJJDP expects to make up to three awards under Category 1 and one award under Category 2 of this solicitation, with an estimated total amount awarded of \$2,100,000.

OJJDP anticipates that it may provide up to 12 months of supplemental funding in future years under Category 2 for up to \$1,000,000, depending on the number of applications from states that are requesting implementation TTA for systemwide reform efforts. In making decisions regarding additional or supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports) and the progress of the work funded under the award.

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

Type of Award

OJJDP expects that any awards under Category 1 of this solicitation will be made in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

OJJDP expects that any awards under Category 2 of this solicitation will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁴) must, as described in the Part 200 Uniform Requirements⁵ as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is

⁴ For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient ("subgrantee") to carry out part of the funded award or program.

⁵ The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R. Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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

Budget Information

Cost Sharing or Match Requirement

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

Preagreement Costs (also known as Preaward Costs)

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

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

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary

payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.⁶ The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with nonfederal funds. (Nonfederal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he or she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

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

Costs Associated With Language Assistance (if applicable)

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

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

⁶ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

C. Eligibility Information

For eligibility information, see the title page.

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

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that 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 award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

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

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

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

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for “Legal Name,” should use the same legal name that appears on the prior year award document, which is also the legal name stored in OJP’s financial system. On the SF-424, enter the legal name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with current, active awards must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice (GAN) updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3), etc.) to confirm the legal name, address, and EIN entered into the SF-424.

Category 1: Intergovernmental Review: This funding opportunity is subject to [Executive Order 12372](#). An applicant may find the names and addresses of state Single Points of Contact (SPOC) at the following website: <https://ojp.gov/funding/Apply/Resources/eo12372spoc.pdf>. If the state appears on the SPOC list, the applicant must contact the state SPOC to find out about, and comply with, the state's process under E.O. 12372. In completing the SF-424, an applicant whose state appears on the SPOC list must make the appropriate selection in response to question 19 once the applicant has complied with its state E.O. 12372 process. (An applicant whose state does not appear on the SPOC list should answer question 19 by selecting the response that the "Program is subject to E.O. 12372 but has not been selected by the state for review.")

Category 2: Intergovernmental Review: This funding opportunity (program) is **not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant must answer question 19 by selecting the response that the "Program is not covered by E.O. 12372.")

2. Project Abstract

Applications should include a high-quality abstract that summarizes the proposed project in 400 words or less. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.

The abstract should briefly describe the project's purpose, the category the applicant is applying under, the population to be served, and the activities that the applicant will implement to achieve the project's goals and objectives. The abstract should describe how the applicant will measure progress toward these goals. The abstract should indicate whether the applicant will use any portion of the project budget to conduct research, as described in Note on Project Evaluations on page 23. All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

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

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

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

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

3. Program Narrative

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

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

The following sections should be included as part of the program narrative:⁷

- a. **Statement of the Problem.** Applicants should briefly describe the nature and scope of the problem that the program will address. The applicant should address why this initiative will strengthen the target juvenile justice system(s) and the current challenges that necessitate this initiative. Applicants should also describe any previous or current attempts to address the problem. Applicants should describe relevant outcomes and research or evaluation studies that relate to subject-matter expertise outlined in the solicitation and contribute to the applicant's understanding of how this information can be used to inform the provision of training and technical assistance.
- b. **Goals, Objectives, and Performance Measures.** Applicants should incorporate into their applications the goals, objectives, and deliverables of the proposed program. When formulating the program's goals and objectives, applicants should be cognizant of the

⁷ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

performance measures that OJJDP will require successful applicants to provide. Applicants should comprehensively address the overall initiative’s goals and objectives in the narrative (see pages 4 and 5).

Goals. Applicants should describe and explain their program goals in detail.

Program Objectives. Applicants should explain how the program will accomplish the goals and objectives specified in this solicitation. 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.

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

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under “Data Recipient Provides,” should it receive funding. OJJDP does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that OJJDP will require successful applicants to submit specific data as part of their reporting requirements.

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.

OJJDP will require award recipients to submit semiannual performance metrics of relevant data through the [Data Reporting Tool](#). Performance measures for this solicitation are as follows:

Category 1:

Objective	Performance Measure(s)	Description	Data Recipient Provides
Awardees must assess their current juvenile justice systems and develop systemwide, multicomponent, juvenile justice system reform strategic plans.	<p>Number of memoranda of understanding (MOUs) developed.</p> <p>Number of working group meetings convened.</p>	<p>Establish cross-system relationships and MOUs with key stakeholders to appropriately and effectively share case-specific and aggregate data and information between partner agencies.</p> <p>Develop systematic processes to meaningfully use data to track impacts on public</p>	<p>Number of MOUs developed.</p> <p>Number of working group meetings convened.</p> <p>Number of grantees with MOUs established with the following groups:</p>

		<p>safety, recidivism, and other youth outcomes. Tools should track crucial data on youth characteristics, including race and ethnicity, at various stages of the system.</p>	<p>a) Governor's office. b) Legislature. c) Judicial branch. d) Law enforcement. e) Prosecutors. f) Other key stakeholders.</p> <p>Relevant juvenile justice data, including juvenile arrest, detention, referral to court, diversion, adjudication, disposition to probation, out-of-home placement, other sanctions or services, and aftercare.</p>
	Percent of grantees with an approved strategic plan.	<p>Percent of grantees with an approved systemwide juvenile justice reform strategic plan.</p> <p>Grantees are required to have an approved systemwide juvenile justice reform strategic plan in place to help guide program Implementation.</p>	<p>Number of grantees.</p> <p>Number of grantees with an approved strategic plan.</p> <p>Identify if you have an approved systemwide juvenile justice reform strategic plan in place to help guide program Implementation.</p> <p>Please respond: Yes or No</p>
	Percent of project plan outcomes met.	Number and percent of project tasks completed during the reporting period.	<p>Number of project tasks.</p> <p>Number of project tasks completed.</p>
	Number of deliverables that	Number of deliverables that meet OJJDP	Number of deliverables that

	meet expectations as determined by OJJDP.	expectations as defined in the solicitation or agreed upon in the grantee project plan.	meet expectations as determined by OJJDP.
	Percent of grantees that use data to inform local decisionmaking.	Number and percent of grantees that use data and research to validate community safety issues. Juvenile justice data may include juvenile arrest, detention, referral to court, diversion, adjudication, disposition to probation, out-of-home placement, other sanctions or services, and aftercare. Official records are the preferred data source.	Number of grantees that report using data and research to validate juvenile crime and related community safety issues. Number of grantees that report using data and research to develop a strategy focused on drivers of juvenile crime.
	Number of analytic or assessment reports produced.	Number of analytic or assessment reports produced during the reporting period.	Number of analytic or assessment reports produced.
	Number of analytic or assessment reports submitted.	Number of analytic or assessment reports submitted during the reporting period.	Number of analytic or assessment reports delivered to policymakers.

Category 2:

Objective	Performance Measure(s)	Description	Data Recipient Provides
Provide direct training and technical assistance to states, territories, and tribes undertaking systemwide, multicomponent, juvenile justice reform planning and implementation.	Number of training requests received.	Number of training requests received during the reporting period. Requests can come from individuals or organizations served.	Number of training requests received during the reporting period.
	Number of technical assistance	Number of technical assistance requests received during the reporting period. Requests	Number of technical assistance requests received during the reporting period.

	requests received.	can come from individuals or organizations served.	
	Number of planning or training events held during the reporting period.	Number of planning or training activities held during the reporting period. Planning and training activities include creation of task forces or interagency committees, meetings held, needs assessments undertaken, etc. Program records are the preferred data source.	Number of planning or training activities held during the reporting period.
	Number of people trained.	Number of people trained during the reporting period. The number is the raw number of people receiving any formal training relevant to the program or their position as program staff. Include any training from any source or medium received during the reporting period as long as receipt of training can be verified. Training on cultural or racial and ethnic issues should also be identified. Training does not have to have been completed during the reporting period. Program records are the preferred data source.	Number of people trained. Number of people trained on cultural or racial and ethnic diversity during the reporting period.
	Percent of participants trained who reported an increase in knowledge, skills, and/or abilities.	Number and percent of participants who exhibit an increased knowledge of the program area after participating in training or technical assistance.	Number of participants trained who reported an increase in knowledge, skills, and/or abilities as a result of participation in training and technical assistance (as determined by pre- and post-testing).
	Number of program	Number of program technical assistance	Number of program technical assistance

	materials developed.	materials that were developed during the reporting period. Include only substantive materials, such as program overviews and implementation and planning guides. The number of program materials related to cultural or racial and ethnic diversity should also be identified. Program records are the preferred data source.	materials developed. Number of program materials related to cultural or racial and ethnic diversity developed during the reporting period.
	Number of planning activities conducted.	Number of planning or training activities held during the reporting period. Planning and training activities include creation of task forces or interagency committees, meetings held, needs assessments undertaken, etc. Program records are the preferred data source.	Number of planning activities conducted.
	Percent of deliverables (e.g., reports, curricula, manuscripts) completed on time.	Number and percent of deliverables completed on time.	Number of deliverables completed on time. Number of deliverables to be submitted to OJJDP. Deliverables will differ depending on the specific project and should be outlined in the application.
	Number of program policies changed, improved, or rescinded during the reporting period.	Number of cross-program or agency policies or procedures changed, improved, or rescinded during the reporting period. A policy is a plan or specific course of action that guides the general goals and directives of programs and/or agencies. Include policies that are	Number of program policies changed during the reporting period. Number of program policies rescinded during the reporting period.

		relevant to the topic area of the program or that affect program operations. Program records are the preferred data source.	
	Number of program materials disseminated during the reporting period.	Number of program materials disseminated during the reporting period.	Number of program materials disseminated during the reporting period.

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations 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 measures data reporting requirements, likely do not constitute “research.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

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

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

- c. Program Design and Implementation.** Applicants should detail how the project will operate throughout the funding period and describe the strategies that they will use to achieve the goals and objectives identified in the previous section. Specifically, applicants should:
- Address in detail how they propose to accomplish the tasks and challenges listed under the Statement of the Problem section.
 - Provide a descriptive list of proposed deliverables (e.g., activities, publications, tools, resources, and a strategic reform plan) for this project.
 - Provide a detailed project plan that includes key benchmarks with their application.

- Describe how the proposed management structure and project staffing will facilitate the delivery of the activities or services described in the proposed plan.

Logic Model. Applicants should include a logic model that graphically illustrates how the performance measures are related to the project’s problems, goals, objectives, and design. See sample logic models [here](#). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 29.

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

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 29. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

The program narrative should reflect how the applicant will accomplish these activities and deliverables, including specific plans and capabilities for assessing the efficacy and efforts to ensure equitable treatment of all justice-involved youth.

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

This section of the application must address the following:

- Why the applicant is uniquely positioned to undertake this project.
- Details regarding the capacity of the organization to deliver the required activities and/or services and perform the key tasks.
- A description of the organization’s history of involvement with state-level juvenile justice data (including budget) analysis, system assessment, policy development, comprehensive reform efforts, assistance to senior level policymakers, and implementation.

Letters of Support/Memoranda of Understanding. Category 1 applicants must submit letters of support or memoranda of understanding, on agency letterhead, from key stakeholders and task force members who will participate in the planning and strategizing, demonstrating a commitment to participate in and support the reform planning process. If applicants under Category 2 are submitting an application with

subrecipients, as described under Eligibility, page 1, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners that include the following:

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

Letters of support may be addressed to the OJJDP Administrator. Only letters of support that are submitted by the due date and with the full application will be considered during the review process.

4. Budget and Associated Documentation

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.

Category 1 applicants should set aside at least \$5,000 to attend OJJDP-approved TTA activities and meetings.

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

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

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 award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

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

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

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

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

In general, the central question is the relationship between what the third party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other nonfederal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a subaward or is instead a procurement contract under an award.

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

1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by

federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a noncompetitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement “contract” that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

d. Preagreement Costs

For information on preagreement costs, see [Section B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (i.e., unexpired), federally approved indirect cost rate, or
- (b) The recipient is eligible to use, and elects to use, the *de minimis* indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (that is, unexpired) federally approved indirect cost rate must attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant's accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, contact the OCFO Customer Service Center at 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.gov/funding/Apply/Resources/IndirectCosts.pdf.

Certain OJP recipients have the option of electing to use the *de minimis* indirect cost rate. An applicant that is eligible to use the *de minimis* rate and that wishes to use the *de minimis* rate should attach written documentation to the application that advises OJP of both (1) the applicant's eligibility to use the *de minimis* rate and (2) the applicant's election to do so. If an eligible applicant elects the *de minimis* rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The *de minimis* rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the *de minimis* rate.)

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

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

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

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

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

7. Disclosure of Lobbying Activities

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

8. Additional Attachments

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

a. Applicant Disclosure of Pending Applications

Each applicant must disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant must disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) federal funds).

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

Each applicant that has one or more pending applications as described above must provide the following information about pending applications submitted within the last 12 months:

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

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov

Health and Human Services/Substance Abuse & Mental Health Services Administration	Drug-Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov
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Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant legal name on the application must match the entity named on the Disclosure of Pending Applications statement.

Any applicant that does not have any pending applications as described above must submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.”

b. Research and Evaluation Independence and Integrity

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant must document research and evaluation independence and integrity by including one of the following two items:
 - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any coprincipal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any coprincipal investigators, and any subrecipients—that could affect the independence or integrity of the research,

including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation, each applicant must address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant must also include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

- c. Logic model (see page 24).
- d. Timeline or milestone chart (see page 24).
- e. Résumés of all key personnel.
- f. Job descriptions outlining roles and responsibilities for all key positions.
- g. **Required for Category 1:** Letters of support/memoranda of understanding from partner organizations (see page 24).

How To Apply

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

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

OJP strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

Note on Attachments: Grants.gov has two categories of files for attachments: "mandatory" and "optional." OJP receives all files attached in both categories. Ensure that all required documents are attached in either Grants.gov category.

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

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

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

All applicants are required to complete the following steps:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System (DUNS) number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

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

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

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1–2 business days.

- 2. Register with SAM.** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant

must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations other entities, go to <https://apply07.grants.gov/apply/OrcRegister>. Individuals registering with Grants.gov should go to www.grants.gov/web/grants/applicants/individual-registration.html.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.827, titled "Justice Reinvestment Initiative," and the funding opportunity number is OJJDP-2017-10982.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

Category 1: Systemwide Juvenile Justice Reform Planning Grants. **Competition ID: OJJDP-2017-12340.**

Category 2: Systemwide Reform Implementation Training and Technical Assistance. **Competition ID: OJJDP-2017-12940.**

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 two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov and to correct in a timely fashion any problems that may have caused a rejection

notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. p.m. ET on June 29, 2017.

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

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues—beyond the applicant's control—which prevent the applicant from submitting the application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the Response Center at grants@ncirs.gov **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

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

The following conditions generally are insufficient to justify late submissions:

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

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

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria with the different weight given to each based on the percentage

value listed after each individual criterion. For example, the first criterion, Statement of the Problem, is worth 20 percent of the entire score in the application review process.

1. Statement of the Problem/Description of the Issue (20%)
2. Goals, Objectives, and Performance Measures (10%)
3. Project Design and Implementation (40%)
4. Capabilities and Competencies (20%)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.⁸ (10%)

See What an Application Should Include, page 15, 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 making awards. OJJDP reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

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

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

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. OJJDP may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity,

⁸ Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the nonpublic segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIIS").

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

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

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

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

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9 p.m. ET on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards,”](#) available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

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

The webpages accessible through the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards”](#) are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, OJJDP expects that awards under Category 2 of this solicitation will be made as a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the “substantial federal involvement” in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

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 to provide project services.
- Providing guidance in significant project planning meetings and participating in project-sponsored training events or conferences.

In addition to a condition that sets out the “substantial federal involvement” in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

General Information About Post-Federal Award Reporting Requirements

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

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

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP website at <http://ojp.gov/funding/FAPIS.htm>.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103–62, and the GPRA Modernization Act of 2010, Public Law 111–352, OJP will require any recipient, post award, to provide the data listed as “Data Recipient Provides” in the performance measures table in [Section D. Application and Submission Information](#) under “Program Narrative,” so that OJP can calculate values for this solicitation's performance measures.

G. Federal Awarding Agency Contact(s)

For OJP contact(s), see the title page.

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

H. Other Information

Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement-sensitive information.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, email your résumé to ojpeerreview@lmsolas.com. (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist

OJJDP FY 2017 Smart on Juvenile Justice: Systemwide Reform and Reinvestment Initiative

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in Grants.gov:

_____ Acquire a DUNS Number (see page 33)

_____ Acquire or renew registration with SAM (see page 33)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 34)

_____ Acquire AOR confirmation from the E-Biz POC (see page 34)

To Find Funding Opportunity:

_____ Search for the Funding Opportunity on Grants.gov (see page 34)

_____ Select the correct Competition ID (see page 34)

_____ Download Funding Opportunity and Application Package (see page 34)

_____ Sign up for Grants.gov email [notifications](#) (optional) (see page 32)

_____ Read [Important Notice: Applying for Grants in Grants.gov](#)

_____ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 14)

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

_____ (1) Application has been received

_____ (2) Application has either been successfully validated or rejected with errors (see page 34)

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

_____ Contact Grants.gov and/or SAM regarding technical difficulties. Refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 35)

_____ Contact the Response Center at grants@ncjrs.gov to request to submit the application after the deadline because of unforeseen technical issues. Refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 35)

Overview of Post-Award Legal Requirements:

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

Scope Requirement:

_____ The federal amount requested is within the allowable limit(s) of \$300,000 for Category 1 applicants and \$1,200,000 for Category 2 applicants.

Eligibility Requirement:

Category 1: Systemwide Juvenile Justice Reform Planning Grants. Eligible applicants are limited to states (including territories and the District of Columbia). Award recipients of the FY

2016 Smart on Juvenile Justice Category 1: Systemwide Juvenile Justice Reform Planning Grants are not eligible to apply.

Category 2: Systemwide Reform Implementation Training and Technical Assistance.

Eligible applicants are limited to nonprofit organizations and for-profit organizations (including tribal nonprofit and for-profit organizations) and institutions of higher education (including tribal institutions of higher education).

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 15)
- _____ Intergovernmental Review for Category 1 (see page 16)
- _____ Project Abstract (see page 16)
- _____ Program Narrative (see page 17)
- _____ Budget Detail Worksheet (see page 25)
- _____ Budget Narrative (see page 25)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 27)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 28)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 29)
- _____ Additional Attachments (see page 29)
 - _____ Applicant Disclosure of Pending Applications
 - _____ Research and Evaluation Independence and Integrity
 - _____ Logic model
 - _____ Timeline or milestone chart
 - _____ Résumés of all key personnel
 - _____ Job descriptions outlining roles and responsibilities for all key positions
 - _____ **Required for Category 1:** Letters of support/memoranda of understanding from partner organizations

- _____ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 13)