

**FY 2004 Protecting Inmates
and Safeguarding Communities
Discretionary Grant Program**

GMS Registration Deadline: June 1, 2004

GMS Submission Deadline: June 4, 2004

These deadlines are firm and will not be extended.
Document upload can be time consuming; please plan accordingly.

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About OJP

The Office of Justice Programs (OJP), U.S. Department of Justice, was created in 1984 to provide federal leadership in developing the nation's capacity to prevent and control crime, administer justice, and assist crime victims. OJP carries out this mission by forming partnerships with other federal, state, and local agencies, as well as national and community-based organizations. OJP is dedicated to comprehensive approaches that empower communities to address crime, break the cycle of substance abuse and crime, combat family violence, address youth crime, hold offenders accountable, protect and support crime victims, enhance law enforcement initiatives, and support advancements in adjudication. OJP also works to reduce crime in Indian Country, enhance technology's use within the criminal and juvenile justice systems, and support state and local efforts through technical assistance and training.

About BJA

The Bureau of Justice Assistance (BJA), a component of the Office of Justice Programs, U.S. Department of Justice, supports innovative programs that strengthen the nation's criminal justice system. Its primary mission is to provide leadership and a range of assistance to local criminal justice strategies to make America's communities safer. BJA accomplishes this mission by providing funding, training, technical assistance, and information to state and community criminal justice programs and by emphasizing the coordination of federal, state, and local efforts. BJA's specific goals are to help communities reduce and prevent crime, violence, and drug abuse and to improve the functioning of the criminal justice system .

The Prison Rape Elimination Act of 2003

On September 4, 2003, President George W. Bush signed into law the Prison Rape Elimination Act of 2003 (P.L. 108-79). The purpose of the Act is to:

- (1) Establish a zero-tolerance standard for the incidence of prison¹ rape in prisons in the United States;
- (2) Make the prevention of prison rape a top priority in each prison system;
- (3) Develop and implement national standards for the detection, prevention, reduction, and punishment of prison rape;
- (4) Increase the available data and information on the incidence of prison rape, consequently improving the management and administration of correctional facilities;
- (5) Standardize the definitions used for collecting data on the incidence of prison rape;

¹Under the Act, "prison" is defined as "any confinement facility of a federal, state, or local government, whether administered by such government or by a private organization on behalf of such government, and includes any local jail or police lockup and any juvenile facility used for the custody or care of juvenile inmates."

- (6) Increase the accountability of prison officials who fail to detect, prevent, reduce, and punish prison rape;
- (7) Protect the Eighth Amendment rights of federal, state², and local prisoners;
- (8) Increase the efficiency and effectiveness of federal expenditures through grant programs such as those dealing with health care; mental health care; disease prevention; crime prevention, investigation, and prosecution; prison construction, maintenance, and operation; race relations; poverty; unemployment; and homelessness; and
- (9) Reduce the costs that prison rape imposes on interstate commerce.

Section 6 of the Prison Rape Elimination Act provides for the establishment of a federal grant program to protect inmates, in part, by: “undertaking efforts to more effectively prevent prison rape; investigating incidents of prison rape; or prosecuting incidents of prison rape.”

The Act specifically delineates activities to be conducted among several components of the U.S. Department of Justice and its affiliated agencies. Such provisions include the: (1) statistical review and analysis of the incidence and aftermath of prison rape; (2) establishment of a U.S. Department of Justice Review Panel, a national clearinghouse, and a National Prison Rape Reduction Commission; (3) publication of national standards for enhancing the detection, prevention, reduction, and punishment of prison rape; and (4) authorization for grants to protect inmates and safeguard communities. BJA is responsible for the processing and management of grant awards to the state applicants.

Further, the goal of the Prison Rape Elimination Act is to eradicate sexual assaults in all of the correctional facilities in this country, be they federal, state, or local in nature. Nevertheless, the statutory focus for this grant program is state and local correctional facilities.

About the Protecting Inmates and Safeguarding Communities Discretionary Grant Program

Overview

In fiscal year 2004, the U.S. Department of Justice received an appropriation of approximately \$20 million to make grants to states to support efforts to protect male and female inmates in adult and juvenile correctional facilities from prison rape and safeguard the communities to which inmates return. This program is divided into two parts: (1) Protecting Inmates and (2) Safeguarding Communities. Applicants can apply for the Protecting Inmates portion, the Safeguarding Communities portion, or both. Within each part, specific goals and objectives are delineated pursuant to the enhancement of control and support services for both victims and perpetrators of sexual assault and prison rape. It is recognized that potential applicants may have some, but not all of the organizational resources and services presented in the goals and objectives listed in this solicitation. Applicants are encouraged, though not required, to address both

²Definition of “state” includes the District of Columbia, the Commonwealth of Puerto Rico, and any other territory or possession of the United States.

parts of the initiative focusing on at least one or two of the goal areas and the corresponding objectives. No applicant is expected to address all of the goals and objectives in both parts of the solicitation. Applicants are asked, however, to describe their existing systems with regard to services suggested in the solicitation design. This will provide an understanding for what will need to be done currently and in the future to provide an appropriate and effective response to the problem of sexual assault and prison rape in state and local correctional settings including jails and lock-ups. For additional information regarding this program, please visit the BJA home page at www.ojp.usdoj.gov/BJA.

I. Protecting Inmates

This part focuses on providing funding to state and local agencies for the costs of personnel, training, technical assistance, and data collection. To this end, the grant funds may be used to address the following goals and objectives related to the institution based efforts.

A. Goals of the Initiative

Develop appropriate strategies, partnerships, and detailed protocols that:

1. Assess adult and juvenile offenders' vulnerabilities to, or predatory interests in, potential sexual abuse and rape;
2. Affect placement decisions and support services (i.e., protective and control) as well as provide the necessary equipment for the prevention, investigation, and prosecution of prison rape and the provision of appropriate services and treatment for both the victim and perpetrators within the inmate populations. There are many challenges to management of sexual victimization within correctional settings.

B. Objectives of the Initiative

1. Under-reporting:

- To identify targets of prison rape or other sexual victimization who may be reluctant to disclose victimization to correctional officials;
- To enhance the investigation and prosecution of prison rape;
- To expand the understanding and the scope and nature of the problem;
- To design effective and responsive prevention efforts.

2. Organizational Structure, Culture and Correctional Climate:

- To create an administrative awareness of the serious impact of sexual victimization within the correctional setting;

- To design and develop an environment that will be conducive to primary, secondary, or tertiary prevention efforts.

3. *Lack of Specialized Training:*

- To identify needed specialized training for investigators, medical, mental health, and other correctional staff involved in the management of these cases;
- To develop specialized training that explains how to:
 - preserve the crime scene; eliminating contamination or sanitation that often occurs prior to investigation;
 - provide appropriate oversight and quality control over investigation processes;
 - develop appropriate interviewing strategies and forensic medical evidence collection/analysis, particularly with respect to male victims;
 - develop appropriate and adequate crisis responses when victims disclose.

4. *Response Time:*

- To ensure the timely response to reports of prison rape and to expedite the subsequent investigation and prosecution of these cases and delivery of services to victims;
- To develop specialized training to assure that delays do not occur between:
 - Assault and disclosure;
 - Disclosure and medical examination;
 - Disclosure and formal investigation by law enforcement;
 - Incident and completion of investigative reports/processes;
 - Investigative report and referral for prosecution;
 - Referral for prosecution and court proceedings;
 - Disclosure and access to acute or ongoing mental health services.

5. *Type of Victim:*

- To ensure that the veracity of the legal process will not be affected by the type of individual who is victimized;
- To develop specialized training for corrections staff and prosecutors to:
 - reduce the fear of retaliation;
 - enhance credibility of victims of sexual assault among prosecutors.

6. *Climate/Culture Cooperation:*

- To promote cooperation among individuals, organizations, and agencies within the community to prioritize cases of sexual victimization that occur within correctional settings. These issues can be demonstrated in the following ways:
 - swift and aggressive investigation of these cases by law enforcement;
 - expeditious processing and filing of prison rape cases by prosecutors;

- recognition among jurors of the seriousness and significant consequences of inmate on inmate rape.

7. *Promotion of Coordination and Partnerships:*

- To provide training and technical assistance regarding policies and procedures for correctional and institutional officials and community-based officials to best manage these cases (e.g., custody staff, medical and mental health professionals, substance abuse treatment providers, faith-based organizations, family services/counseling personnel, victims services, investigators, prosecutors, and courts);
- To ensure appropriate transfer of cases and effective transition in custody, evidence, and provision of services.

8. *Appropriate Housing Options for Vulnerable or Victimized Populations:*

- To provide the effective and safe reassignment of victims following disclosure and:
 - transfer of personal property;
 - access to personal funds;
 - approved visitor and phone contacts;
 - access to the full range of services afforded to other inmates;
 - provision of protective custody to prevent inmates from being identified as sexual assault victims.

9. *Facility Design:*

- To enhance physical plant and equipment usage to improve line of sight observation;
- To reduce “blind spots” in housing units, community and work areas;
- To use cameras and other surveillance equipment;
- To utilize linear unit/wing designs;
- To eliminate barracks housing and solid cell doors.

10. *Classification:*

- To develop appropriate inmate classification protocols to more effectively identify victims or potential perpetrators;
- To provide appropriate housing to protect potential victims and control perpetrators.

11. *Staffing Concerns:*

- To prepare institutional staff to effectively prevent and intervene in activities relating to sexual assault and prison rape. Institutional and community-based corrections systems should ensure:
 - Sufficient staffing patterns;
 - Appropriate staff training;
 - Continuous and consistent oversight of inmates;
 - Open lines of communication, interaction, and supervision within the institutional setting.

12. Inmate/Institutional Culture:

- To develop policies, procedures, and practices that ensure correctional staff can maintain effective control and supervision of the inmate population.

13. Ensuring Sustainability of Effort and Effective Practice:

- To implement a sustainable strategic resource plan;
- To continue to evaluate and make mid-course correction to the strategy as necessary;
- To maintain the interest of the stakeholders and encourage new or enhanced partnerships.

II. Safeguarding Communities

This part focuses on assisting the states in developing and implementing strategies when making release decisions without compromising public safety. It suggests developing and utilizing analyses of prison populations and risk-assessment instruments to inform and educate state and local governments' understanding and responsibilities related to the inmate population preparing for community reentry and evaluating the effort by using results-based outcomes.

A. Goals of the Initiative

Develop appropriate strategies, partnerships, and detailed protocols that bridge correctional institutions and community based programs that are managing the returning populations:

1. Assess communities' risks and the corresponding needs for support and control services for both the victims and the sexual aggressors who were involved in prison sexual abuse and rape while in the correctional institutions;
2. Identify and map the reentry locations on a community-by-community basis of the specific returning offenders known to be victims and/or sexual aggressors involved in sexual abuse and rape;
3. Develop collaborative efforts with appropriate state and local governments and public and private service systems to understand and address the needs/risks involved when the inmates, victims, and sexual aggressors involved in sexual abuse and rape, reenter a community;
4. Develop and implement policies and programs that reduce spending on prisons by effectively reducing rates of parole and probation revocation and corresponding re-incarceration of the victims and aggressors involved in sexual abuse and rape, without compromising public safety;
5. Assess and identify, upon intake and release as well as periodically throughout their incarceration, each prisoner's medical status regarding transmission of HIV, hepatitis, and other diseases (some of which cannot be treated) within and outside the prison system.

B. Objectives of the Initiative

1. *Prevention and Intervention:*

- To dedicate personnel who are specifically trained and assigned to address issues of sexual assault and other violence within the institution and to assist communities in preparing for the reentry of inmates involved in sexual assault and related violence;
- To require the participation of institutional and community-based correctional staff in pre-service and in-service training programs in how to prevent and intervene effectively to reduce the potential of sexual violence in institutions, promote a zero-tolerance expectation, improve institutional culture, and educate staff about the impact of inmate-on-inmate violence;
- To develop and implement specific “no tolerance” policies to guide key administrators at the state and local levels in how to respond in a timely basis to all reported cases;
- To develop appropriate policies, procedures and practices that promote appropriate and effective communication between inmates and staff members, thus creating an institutional culture based on respect, honesty, and clearly defined roles;
- To develop protocols that facilitate the reporting of criminal acts to correctional staff, law enforcement investigators, and/or prosecutors;
- To develop and aggressively implement explicit inmate orientation programs that include clear definitions of sexual assault and how to report it, as well as how to identify and respond to potential threats;
- To develop classification systems/protocols that identify inmates who may be more likely than other inmates to be perpetrators or victims of sexual assault or prison rape (e.g., the Institutional Character Profile, which provides information about institutional climate);
- To communicate regularly with inmates and correctional staff regarding:
 - the importance of awareness, prevention, and prosecution of sexual assault and rape;
 - the policy that sexual assault should not occur during an inmate’s institutional experience;
 - public service announcements (PSAs), and communications to correctional staff emphasizing the expectation of a safe custodial environment.
- To establish specialized correctional units within the institution where particularly vulnerable populations can be housed without fear of victimization or labeling;
- To develop and implement an assessment protocol that identifies the special needs and focuses on the provision of services for vulnerable populations (e.g., juveniles);
- To map within institutional settings areas of particular risk for sexual assault and rape;

- To establish an information system to collect incidence data related to prison rape and sexual assault and identify targets for change;
- To forward notice of all sexual assault reports to key members of the agency's leadership;
- To develop policies, procedures, and practices that foster direct supervision of housing units and provide for the ongoing strong presence of officers within housing units, rather than the management of offenders from a secure control center, promoting "natural" opportunities for communication and intelligence gathering.

2. *Investigation:*

- To develop policies, procedures, and practices that:
 - facilitate reporting by victims (e.g., third party reporting; a visible, credible and responsive grievance system);
 - ensure that every report is considered seriously and followed appropriately, including administrative review of all critical incidents;
 - create an investigative entity that has autonomy, authority, and credibility to implement comprehensive and consistent investigative protocols (e.g., interviewing, forensic medical exams, rape kits, and DNA collection) by specially trained investigators, and specialized personnel to review and provide quality oversight for the investigations.
- To develop and implement cooperative agreements and partnerships among correctional, law enforcement, and community agencies (e.g., law enforcement, hospitals and clinics, rape crisis centers, victim advocates, mental health centers) to facilitate the comprehensive and timely investigation of these cases and the provision of appropriate victim services;
- To develop and implement policies and procedures to ensure close communication, coordination, and collaboration between investigators and prosecutors;
- To develop lines of communication between institutional staff and inmates' families, welcoming information that may reveal abuses that have not been reported;
- To separate alleged perpetrators and victims in order to prevent retaliation or further victimization.

3. *Prosecution:*

- To facilitate close communication, coordination, and collaboration between investigators and prosecutors;
- To develop internal responses (e.g., disciplinary hearings, administrative or disciplinary segregation) for cases that either fail to meet the threshold for pursuing prosecution or are otherwise not filed or pursued;
- To train prosecutors regarding the dynamics and impact of sexual victimization in prison and how to pursue these cases within the institutional setting.

4. *Victim Services:*

- To develop and implement training and technical assistance for public and private victim service providers to inmates within correctional settings regarding:
 - the dynamics of victimization within the correctional setting;
 - standardized protocols for crisis response and the provision of effective services for victims of sexual assault;
 - medical/mental health services for victims in prisons that mirror the resources and services available to victims in the community;
 - expansion of the role of victim services personnel within correctional agencies (e.g., training on crisis intervention and follow-up counseling);
 - partnerships with victim advocacy groups and treatment services in the community so that they can serve as resources for inmate victims upon release (e.g., the faith-based community, child protective services, and child welfare agencies; parents and families; schools; and mentoring organizations);
 - advocacy and supportive services to assist victims from the point of disclosure through potential court proceedings;
 - mental health services in the form of crisis intervention immediately following the disclosure of sexual victimization, and ongoing mental health services to address the short- and long-term emotional and psychological impact of such victimization (e.g., rape trauma syndrome, Post-Traumatic Stress Disorder);
 - victim-sensitive medical examinations and treatment of physical injuries following the assault, including the assessment and treatment of sexually transmitted and other communicable diseases;
 - assignment to safekeeping/protective custody, if necessary;
 - interventions for offenders who have mental illnesses;
 - expedited transfer of inmate information (i.e., records) when victims are moved for safekeeping purposes;
 - involvement of families in the provision of services to victims, where appropriate.

5. *Identifying Post-Release Prisoners Who Pose a Public Safety Threat*

- To identify, implement, and adopt a dynamic instrument to assess the risks an offender presents and an offender's needs in order to inform the release decision and level of post-release supervision;
- To identify the inmate population that the instrument will target;
- To incorporate comments and counsel from various groups who have a stake in the release decision (e.g., victims, law enforcement, prosecutors, service providers, community leaders);
- To validate the instrument.

6. *Providing Direct Treatment and Continuity of Services for Juveniles and Adults*

- To provide access to benefits and services in the institutions and through transition into the community;
- To ensure case management transition and continuity from the institution through the community;
- To provide services to special needs populations, such as the dually diagnosed;
- To strengthen family support systems, which may include adults in relationship to family or juveniles in placement into foster care and permanent placements;
- To identify housing through placement that may be transitional or permanent;
- To provide pre-employment educational skills or job training, search, and placement assistance.

7. *Developing Effective Collaboration, Coordination, and Outreach*

- To build capacity through faith-based and community-based partnerships;
- To ensure offender monitoring accountability through effective communication and coordination among various groups who have a stake in the release decision (e.g., victims, law enforcement, prosecutors, community leaders, etc.);
- To leverage support through coordination with other initiatives;
- To continue evaluation of effort using results-based outcomes.

8. *Identifying and Understanding Communities To Which Offenders Return*

- To assess the need for an organized network of community-based services and support for people released from corrections facilities;
- To prepare crime and resource mapping that illustrates (e.g., block-by-block) the:
 - Concentration of people released from prison/jail and under community supervision in particular neighborhoods;
 - Availability of services and supports in neighborhoods receiving people released from prison/jail;
 - Allocation of resources by supervision and law enforcement agencies, children and welfare, labor, and health and human service agencies.
- To identify collaborative, problem-solving groups that bring together institutional and community corrections, law enforcement, service providers, and community leaders to analyze and understand implications of maps and opportunities for improved coordination;
- To identify faith- and community-based organizations to provide support services to the target neighborhoods.

9. Enhancing the Institutional Corrections Administrators' Role in Increasing Community Safety

- To develop, articulate, and promote specific strategies that invest corrections administrators in safeguarding communities that receive people who have been victims or perpetrators of sexual assault and rape in prisons, jails, and lock-ups;
- To conduct strategic planning among corrections administrators and other leaders in the criminal justice and public and private human service systems (e.g., law enforcement, courts, welfare, mental health, education, housing etc.) to articulate and initiate reforms in policy, procedures, and practices that corrections administrators must adopt to assume their new roles and responsibilities in the criminal justice system;
- To prepare materials that promote such policies and procedures;
- To initiate partnerships between corrections and other community-based organizations that address returning offenders who were victims or perpetrators of sexual assault and rape and to gauge the impact of such partnerships on community safety.

10. Ensuring Sustainability of Effort and Effective Practice

- To expand a model of effective practice;
- To implement a sustainable strategic resource plan;
- To develop policies and programs that reduce spending on prisons by effectively reducing rates of parole and probation revocation without compromising public safety.

Eligibility

Eligible applicants are states that are interested in: (1) protecting inmates by undertaking efforts to more effectively prevent, investigate, and prosecute prison rape incidents and providing the appropriate victim services and treatment, and/or (2) safeguarding communities through various media such as intergovernmental collaboration, assessment, training, and technical assistance. Applicants who are in varying stages of developing a prison rape initiative are eligible and encouraged to apply. Applicants must coordinate their proposal with other stakeholders in their state to ensure a collaborative response to this solicitation and that agencies within a single jurisdiction are not competing against one another in the grant process. The Chief Executive of the state shall submit one application that designates which state agency will manage the grant, and if applicable, sub-awards. (Note: The Chief Executive must certify that his/her state has adopted, or will consider adopting, the national prison rape standards once established (P.L. 108-79 Sec. 6(d)(2)(A)). States are encouraged to make subawards to local jurisdictions (e.g., jails, lock-ups, detention centers) for purposes consistent with this solicitation.

Match Requirement

The federal share may not exceed 50 percent of the total costs of the project described in the application. For example, if the applicant's total project costs are \$150,000, the request for federal grant monies may not exceed \$75,000. Match may be cash, in-kind, or a combination of both.

Amount and Length of Awards

BJA is seeking to award up to 30 grants to a diverse group of applicants. Grant awards of up to \$1 million will be made, with a grant period not to exceed 24 months. Pursuant to the Act, should the grantee be included in the Bureau of Justice Statistics' Review Panel's list as being uncooperative with the annual survey, funding received under that fiscal year shall not be used for prison purposes (P.L. 108-79, Section 4(c)(2)(C)) and Section (C)(4)).

Review Process

BJA will peer review applications and make funding recommendations to the Director of BJA, who will make final award recommendations to OJP's Assistant Attorney General. See specific formatting requirements under "How To Apply."

Funding decisions will be made on the basis of several criteria, including the merit and fundamental strengths of the application. Consideration also may be given for other factors including, but not limited to, geographic and regional balance. Areas of special interest include focus on female and juvenile offenders, how to address the issue in a local correctional facility, collaboration with other stakeholders, and incorporating faith-based and community-based organizations, which is strongly encouraged. Applications that meet all eligibility requirements will be evaluated according to the selection criteria. Peer reviewers' recommendations are advisory only. BJA will negotiate specific terms of the awards with the selected applicants.

How To Apply

All applicants MUST register for this program by June 1, 2004, even if they have previously applied for or received funding under any OJP program. The application deadline is June 4, 2004 at 5 p.m., e.s.t. These deadlines are firm and will not be extended. Document upload can be time consuming; please plan accordingly.

The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.735, titled "Protecting Inmates and Safeguarding Communities Discretionary Grant Program."

OJP requires that funding applications be submitted through the OJP Grants Management System (GMS). To access the system, go to <http://grants.ojp.usdoj.gov>. Applications submitted via GMS must be in one of the following formats: Microsoft Word (.doc), PDF files (.pdf), or Text documents (.txt). If you experience difficulties at any point in this process, please call the GMS Help Desk at 1-888-549-9901.

Step 1: Signing On

- If you already have a GMS user ID, proceed to GMS sign in. Even if your organization already has a user ID, you will not be considered registered for the solicitation until you have signed on to GMS and entered the appropriate solicitation. To do so, please proceed to step 2.
- If you do not have a GMS user ID, select “New User? Register Here.” After you have completed all of the required information, click “Create Account” at the bottom of the page and note your user ID and password, which are case sensitive. Within 2 business days, BJA will send an e-mail confirmation to newly registered applicants stating that their user ID and password have been approved and that they are eligible to submit an application.
- Beginning October 1, 2003, a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number must be included in every application for a new award or renewal of an award. The DUNS number will be required whether an applicant is submitting an application on paper, through OJP’s Grants Management System, or using the governmentwide electronic portal (Grants.gov). **An application will not be considered complete until the applicant has provided a valid DUNS number.** Individuals who would personally receive a grant or cooperative agreement from the federal government are exempt from this requirement.

Organizations should verify that they have a DUNS number or take the steps necessary to obtain one as soon as possible. Applicants can receive a DUNS number at **no cost** by calling the dedicated toll-free DUNS number request line at 1-800-333-0505.

Step 2: Selecting/Registering for the Program

- After you have logged onto the system using your user ID and password, click on “Funding Opportunities.”
- Select “Bureau of Justice Assistance” from the drop-down list, and click “Search.” This will narrow the list of solicitations within the Office of Justice Programs to those in BJA.
- From the list of BJA grants, find “FY 2004 Protecting Inmates and Safeguarding Communities Discretionary Grant Program,” and click “Apply Online.”
- Confirm that your organization is eligible to apply for this program by reading the text on the screen. If eligible, proceed by clicking “Continue.”

Step 3: Completing the Overview Information

- Select the type of application your are submitting by choosing “Application Non-Construction” in the “Type of Submission” section.
- Select “New” in the drop-down box for “Type of Application.”
- If your state has a review and comment process under Executive Order 12372 (<http://policy.fws.gov/library/rgeo12372.pdf>), then select either “Yes” and enter the date you made this application available under that review or “N/A” because this program has not been selected by your state for such a review. If your state does not have such a process, then select “No. Program Not Covered by E.O. 12372.”

- Click “Save and Continue.”

Step 4: Completing the Applicant Information

- Answer “Yes” or “No” to the question about whether your organization is delinquent on any federal debt.
- The rest of this page will prepopulate based on the information you submitted during the registration process. Check this information for accuracy and relevance to your organization, and make any needed changes.
- Click “Save and Continue.”

Step 5: Completing the Project Information

- Provide a title that is descriptive of your project.
- List the geographic areas to be affected by the project.
- Enter a start date for the project that is on or after **October 1, 2004** and an end date that is no more than 24 months later.
- Select all of the congressional districts that are affected by this application. To select multiple districts, hold down the CTRL key while making your selections.
- Enter the amount of the grant for which your organization is applying (no more than \$1 million) in the federal line under the “Estimated Funding” section.
- Click “Save and Continue.”

Step 6: Uploading the Attachments

- You will be asked to upload three attachments to the online application system. (See the Attachments section for detailed instructions.)
 1. The Budget Detail Worksheet (Attachment #1).
 2. The Program Narrative (Attachment #2).
 3. Other Program Attachments (Attachment #3).
- Click “Attach” to upload these documents. A new window will open. To continue, click “Browse” and find the file on your computer or the network drive from which you wish to upload, then click on “Upload Your Document.” A window that says “File Upload Successful” should appear. Next to the upload list, the notation should change to “Attachment OK.” Repeat these steps for all three uploads. **Please note:** Depending on the size of the attachment and/or your computer’s Internet connection, this process can take several hours. The system will shut down promptly at the deadline. Any incomplete application will not be accepted and no exceptions will be granted. Please plan accordingly.
- If you encounter any difficulties uploading your file, click on “Tips for Successful Upload.” This document will explain the usual problems with uploading files and will help you through them.

- Click “Save and Continue.”

Step 7: Completing the Assurances and Certifications

- You will need to accept both the assurances document and the certifications document. To do this, click on “Assurances” and “Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements.”
- Read both documents. At the bottom of each one, click the “Accept” button.
- After you have accepted both documents, enter the correct personal information for the person submitting the application.
- Click the box next to the text at the bottom of the page to certify that the person submitting the application is authorized to accept these assurances and certifications.
- Click “Save and Continue.”

Step 8: Reviewing the SF-424

- By answering the questions contained in GMS, you have completed the Standard Form 424 and other forms required to apply for grant funding. Take a moment to review the SF-424 to ensure that it is accurate.
- If you need to make changes to any portion of the application, simply click on that section along the left side of the screen. Be sure to click “Save and Continue” after making any changes.
- When you are sure that the information is accurate, click “Continue.”

Step 9: Submitting the Application

- A list of application components will appear on the screen. It should say “Complete” before each component. If it says “Incomplete” then click on the word and it will take you back to the section that needs to be completed. An explanation of what is missing will be at the top of that screen.
- In addition, read below the list of components for any language indicating that your user ID has not been approved. Even if you have completed the application, you will be unable to submit it until BJA has approved your user ID. BJA will approve your user ID within 2 business days after you begin your application.

Attachments

Budget Detail Worksheet (Attachment #1)

The applicant must provide a budget that (1) is complete, detailed, reasonable, allowable, and cost effective in relation to the proposed activities, (2) shows cost calculations that demonstrate how the applicant arrived at the total amount requested, and (3) provides a brief supporting budget narrative that links costs with project implementation. (See below for more information about the budget narrative.) Please note that the budget should indicate the amount of any indirect donations to be contributed to the program.

Applicants must submit **both** a budget detail worksheet and a budget narrative in one file. The worksheet provides the detailed computation for each budget item (often in spreadsheet format). The narrative justifies or explains each budget item and relates it to project activities.

- **Budget Detail Worksheet.** The budget worksheet must list the cost of each budget item and show how the cost was calculated. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee to be paid through grant funds. The budget worksheet should present a complete and detailed itemization of all proposed costs. **Note:** Total costs specified in the budget detail worksheet must match the total amount requested.
- **Budget Narrative.** The budget narrative should closely follow the content of the budget detail worksheet and provide justification for all proposed costs. For example, the narrative should explain how fringe benefits were calculated, how travel costs were estimated, why particular items of equipment or supplies must be purchased, and how overhead or indirect costs (if applicable) were calculated. The budget narrative should justify the specific items listed in the budget worksheet (particularly supplies, travel, and equipment) and demonstrate that all costs are reasonable.

Note: Applicants may use up to 5 percent of the grant amount for administrative costs directly related to managing the grant.

A sample budget detail worksheet form that can be used as a guide to assist applicants in the preparation of the budget detail worksheet and budget narrative is available on OJP's web site (www.ojp.usdoj.gov/forms.htm).

Program Narrative (Attachment #2)

This program is divided into two separate, but related parts: **Protecting Inmates** and **Safeguarding Communities**. Applicants may apply for either part or a combination of both. If applicants are applying for the **Protecting Inmates** portion, applicants **must** address the following four focus areas in the program narrative:

- Prevention;
- Investigation;
- Prosecution; and
- Victim services and treatment.

If applicants are applying for the **Safeguarding Communities** portion, applicants should address the following strategies in the program narrative:

- Provision of training and technical assistance;
- Development and utilization of analyses and risk assessment tools for educational purposes;
- Preparation and utilization of crime maps;
- Promotion of collaborative efforts; and
- Development of policies and programs that address spending reductions.

If applicants are applying under both sections, they are **required** to clearly delineate activities and describe how both portions complement each other. In addition, applicants must: (1) review the extent of the budgetary circumstances affecting the state in general and describe how those circumstances relate to the state's prisons; (2) describe the rate of growth of the state's prison population over the preceding 10 years and explain why the state may have difficulty sustaining that rate of growth; and (3) explain the extent to which officials (including law enforcement officials) of state and local governments and victims of crime will be consulted regarding decisions whether, or how, to moderate the growth of the state's prison population.

The program narrative must be double spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and must not exceed 20 pages. (Please number pages "1 of 20," "2 of 20," and so forth.) An application longer than 20 pages will be rejected from consideration. The program narrative must respond to all the selection criteria in the order given. Submissions that do not adhere to the format will be deemed ineligible. The narrative **must** include the following five sections: Project Abstract; Problem to be Addressed; Goals and Objectives; Project Design/Strategy; and Management and Organizational Capability. Each is described below.

Project Abstract

The Project Abstract should not exceed 200 words. It should briefly describe the project's purpose, goals, and objectives and summarize the activities that will be implemented to achieve the goals and objectives, as well as the infrastructure and collaboration necessary to manage the proposed activities.

Problem To Be Addressed

Applicants must identify the problem(s) or issue(s) the applicant will address with this project. Data and statistics should be used to provide evidence that the problem(s) exist(s), demonstrate the size and scope of the problem(s), and document the effects of the problem on the target population(s). Applicants also should explain previous and/or current attempts to address the problem(s) and the result(s) of these activities.

If available, applicants should provide the following data if applying for **Protecting Inmates** funding:

- Proportion of offenders by classification:
 - Those who are classified as maximum versus high risk.
 - Those who are single- versus double-bunked.
 - Those who are housed in linear versus direct supervision units.
 - Staff to inmate ratio.

- Number of disciplinary reports generated in a given period of time.
- Number of assaults reported in a given period of time and, of those, the number of sexual assaults.
- Number of prosecutions for sexual assault in a given period.

If available, applicants should provide the following data if applying for **Safeguarding Communities** funding:

- How many serious and high-risk offenders are returning to the targeted geographic area.
- How many offenders are receiving risk assessments.
 - What are the results of those assessments to determine needs.
 - How many of those needs are being addressed through treatment and training.
- Post-release success/failures (e.g., employment, mental health and/or substance abuse treatment, and housing).
- How many faith- and community-based organizations are contributing to the state Safeguarding Communities strategy.

Goals and Objectives

Applicants must outline the specific goals and objectives of the project. These goals and objectives should respond to the issues in the problem statement. Proposed strategies to address sexual violence within correctional institutions must have the ability to have a realistic and measurable impact on change within the existing setting or broader system.

Applicants could demonstrate the potential for impact by:

- Articulating an understanding of the complexities of sexual victimization within correctional settings and the nature and scope of effective responses.
- Discussing historical and current efforts to provide evidence that this issue has been and remains a priority in the jurisdiction.
- Outlining an understanding of the specific needs or gaps within the particular setting or jurisdiction based on the conduct of a comprehensive needs assessment.
- Articulating the specific process and manner by which the proposed services or strategies are directly linked to the identified needs of the specific setting or jurisdiction.
- Illustrating that the necessary foundation is in place that can support the specific elements or innovations outlined in the proposal.

- Recognizing the importance of capacity building through increasing the level and quality of services and strategies in the setting or jurisdiction, which may include the development of new programming or the expansion of existing services.
- Developing a strategy that can inform practices in settings and jurisdictions nationwide and can be replicated elsewhere.
- Specifying the necessary methods to monitor and evaluate (qualitatively and/or quantitatively) the impact or efficacy of the proposed strategies or interventions.
- Developing a strategy whereby the proposed program and services can be sustained beyond the grant period.

Project Design/Strategy

The Project Design/Strategy section must illustrate what the applicants are proposing to do and how they intend to do it. The strategy should discuss the project's concept, identify the project's target population(s) and target area(s), and explain how this strategy will achieve the goals and objectives (i.e., program logic model). This section must be very detailed and specifically describe how the project will operate during the funding cycle. Describing the stakeholders and their roles and responsibilities to the offenders and each other is critical. This section must discuss plans for sustaining the project beyond the federal funding period. This section also must include a plan for evaluating the effectiveness of the project. Applicants should explain what will be measured, who will measure it, and how the evaluation findings will be used. It is expected that applicants will propose specific benchmarks and subsequent measurement of outcomes/results, not simply process, inputs or outputs.

Management and Organizational Capability

The Management and Organizational Capability section must discuss how the project will be managed and staffed. This section must describe the experience and capability of the applicant's organization, stakeholders, and any intended contractors to implement and manage this effort and its funding from the federal government.

Other Program Attachments (Attachment #3)

The Other Program Attachments file must include the following materials:

- A project timeline containing each project goal, related objective, activity, expected completion date, and responsible person or organization.
- Letters of support/commitment and/or memoranda of understanding, where appropriate. If letters of support cannot be uploaded as part of Attachment #3, they may be faxed to 202-305-1367 by **June 4, 2004**. The applicant must include the application number that GMS assigns (e.g., 2004-F001-DC-PM) on all faxed documents.

Selection Criteria

Applicants will be evaluated by a peer review panel according to the criteria outlined below.

1. Program Narrative (50 points)

a. Problem To Be Addressed (10 points)

Applicants must demonstrate an understanding of the problem, discuss historical and current efforts for addressing the problem, and provide statistical evidence of the problem.

b. Goals and Objectives (15 points)

Applicants must identify the progressive steps to be taken to accomplish the goal, identify how the agency's purpose area goal as outlined in this section will enhance or expand an existing strategy, and include how achievement of the enhancement of expansion will be measured.

c. Project Design/Strategy (25 points)

Applicants must:

1. Illustrate what they are proposing to do and how they intend to do it.
2. Provide a strategy that discusses the project's concept, identifies the project's target population(s) and target area(s), and explains how this strategy will achieve the project's goals and objectives. This section **must** be very detailed and specifically describe how the project will operate during the funding cycle.
3. Describe the stakeholders and their role and responsibilities.
4. Discuss plans for sustaining the project beyond the federal funding period.
5. Describe the plan for evaluating the effectiveness of the project. Applicants should explain what will be measured, who will measure it, and how the evaluation findings will be used. It is expected that applicants will propose specific benchmarks and subsequent measurement of outcomes/results, not simply process, inputs or outputs.

2. Management and Organizational Capability (30 points)

Applicants must:

1. Describe the experience and capability of the applicant's organization, stakeholders. and contractors.
2. Identify the agency that will serve as the grantee and fiscal agency responsible for the grant's administration.

3. Identify the staffing and management structure that will support the project work, including naming a specific grant coordinator and research coordinator.
4. Describe the collaborative team that will lead the work of this project, including the name, title, and affiliation of each team member.
5. Provide documentation of collaboration that has previously occurred on the given topic for which applicants are applying.
6. Provide a project timeline containing each project goal, related objective, activity, expected completion date, and responsible person or organization.
7. Submit letters of support/commitment and/or memoranda of understanding, where appropriate.

3. Budget (20 points)

Applicants must provide a budget that is complete, detailed, reasonable, allowable, and cost effective in relation to the activities to be undertaken. This section also should include details on any leveraged resources (cash or in-kind) from other state or local sources to support the project.

Performance Measures

To ensure compliance with the Government Performance and Results Act (GPRA), P.L. 103-62, grantees are required to collect and report data that measure the results of program performance. All applicants are required to address the outcome and process measures which are applicable to their strategy as listed below. In addition to incorporating this information into their submission=s narrative, applicants are required to address the type of information they will collect, who will collect it, and the methods of collection. Grantees also are expected to provide in their semiannual progress reports and to submit the results of their project as part of their final progress report.

When providing this data semiannually, applicants **must** include data related to the performance measures collected from the previous 6-month period. This data will serve as a baseline of information to track the number of the custody population affected and any resulting progress towards the reduction of prison rape and sexual assault.

Key Program Performance Indicator

Overall program performance will be measured based on verified reductions from an established baseline (i.e., comparing measures that are taken before and after the initiation of the program) in the rate of substantiated incidents of sexual assault committed in state prisons, local jails, and juvenile facilities against inmates and detained or committed juveniles. In addition to grantee reported data, other data will be collected and published by the Bureau of Justice Statistics (<http://www.ojp.usdoj.gov/bjs>) as required by the Prison Rape Elimination Act of 2003 (P.L. 108-79).

Protecting Inmates

Custody population counts for the last day of the 6-month reporting period for each target facility or system that any initiatives, projects, or strategies funded will address or serve.

Number of incidents of inmate-on-inmate (or youth-on-youth) sexual assault that occurred within the custody population identified above.

Depending on which focus area(s) (prevention, investigation, prosecution, and victim service) will be undertaken, the applicant must report on the following additional performance measures and compare them with measures taken before the initiation of the program:

Prevention

- If staff training was completed, how many staff were trained?
- If inmate/detainees/youth training was completed, how many inmates/detainees/youth were trained?
- If a prevention program was available, how many inmates/detainees/youth participated?

Investigation

- Number of incidents that were reported and investigated.
- Number of incidents that were substantiated.

Prosecution

- Number of incidents referred for prosecution.
- Number of incidents actually prosecuted.

Victim Services

- Number of inmates/detainees/youth who received medical services as a result of an incident.
- Number of inmates/detainees/youth who received victim treatment services as a result of an incident

Safeguarding Communities

Custody population counts for the last day of the 6-month reporting period for each target facility or system that any initiatives, projects, or strategies funded will address or service, comparing specific outcome measures before and after initiation of the program.

- If a new assessment tool is utilized by the grantee, provide the number of inmates/youth assessed using new tool.
- Total number of inmates/youth within the custody population identified above that have a current assessment on record that identifies the risk they pose to public safety if released.
- Total number of inmates/youth identified above who were released to community supervision during the 6-month reporting period.
 - < Number released to a target geographic area.
 - < Total number of inmates/youth that had a specific release plan based upon their assessed risk.

- < Total number of inmate/youth that recidivated (rearrested for a new crime) among those assessed during the project period.
- Total number of inmates/youth identified above who were released during the 6-month reporting period and had received prerelease reentry services or counseling.

Submission Deadline

All applicants MUST register for this program by June 1, 2004, even if they have previously applied for or received funding under any OJP program. Within 2 business days, BJA will send an e-mail confirmation to newly registered applicants that their user ID and password have been approved and they are eligible to submit an application. **The application deadline is June 4, 2004 at 5 p.m., e.s.t.** Faxed or mailed applications or supplemental materials will not be accepted. **These deadlines are firm and will not be extended. Document upload can be time consuming; please plan accordingly.**

Other Requirements

Audit Requirements

Chapter 19 of the Office of the Comptroller's *Financial Guide* includes new audit requirements as of December 31, 2003. The dollar amount of the audit threshold has changed. Details are available at www.ojp.usdoj.gov/FinGuide/part3-ch19.htm#auditthreshold.

Civil Rights Compliance

All recipients of federal grant funds must comply with applicable nondiscrimination requirements contained in federal laws. If a court or administrative agency makes a finding against a recipient of funds of discrimination on grounds of race, color, religion, national origin, gender, disability, or age after a due process hearing, the recipient must forward a copy of the finding to the Office for Civil Rights of the Office of Justice Programs.

Limited English Proficiency

National origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI and the Safe Streets Act, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation when necessary. The U.S. Department of Justice has issued guidance for grantees to assist them in complying with Title VI requirements. The guidance document can be accessed on the Internet at www.lep.gov, or by contacting OJP's Office for Civil Rights at 202-307-0690, or by writing to the following address:

Office for Civil Rights
Office of Justice Programs
U.S. Department of Justice
810 Seventh Street NW, Eighth Floor
Washington, DC 20531

Faith-Based and Community Organizations

It is OJP policy that faith-based and community organizations that statutorily qualify as eligible applicants under OJP programs are invited and encouraged to apply for assistance awards. Faith-based and community organizations will be considered for awards on the same basis as any other eligible applicants and, if they receive assistance awards, will be treated on an equal basis with all other grantees in the administration of such awards. No eligible applicant or grantee will be discriminated against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization. (<http://www.ojp.usdoj.gov/fbci/>)

Anti-Lobbying Act

The Anti-Lobbying Act (18 U.S.C. § 1913) recently was amended to expand significantly the restriction on use of appropriated funding for lobbying. This expansion also makes the anti-lobbying restrictions enforceable via large civil penalties, with civil fines between \$10,000 and \$100,000 per each individual occurrence of lobbying activity. These restrictions are in addition to the anti-lobbying and lobbying disclosure restrictions imposed by 31 U.S.C. § 1352.

The Office of Management and Budget (OMB) is currently in the process of amending the OMB cost circulars (codified at 28 C.F.R. Part 69) to reflect these modifications. However, in the interest of full disclosure, all applicants must understand that no federally appropriated funding made available under this grant program may be used, either directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express approval by OJP. Any violation of this prohibition is subject to a minimum \$10,000 fine for each occurrence. This prohibition applies to all activity, even if currently allowed within the parameters of the existing OMB circulars.

Confidentiality and Human Subjects Protection

U.S. Department of Justice regulations (28 C.F.R. Part 22) require applicants for OJP funding to submit a Privacy Certificate as a condition of approval of any grant application or contract proposal that contains a research or statistical component under which personally identifiable information will be collected. In addition to the regulations in Part 22, regulations concerning protection of human subjects are set forth in 28 C.F.R. Part 46. In general, 28 C.F.R. Part 46 requires that all research involving human subjects conducted or supported by a federal department or agency be reviewed and approved by an Institutional Review Board before funds are expended for that research.

General information regarding Confidentiality and Human Subjects Protection can be found on the National Institute of Justice web site at www.ojp.usdoj.gov/nij/humansubjects. Sample formats of the Privacy Certificate, Transfer Agreement, and Single Project Assurance for submission to BJA can be found on the OJP web site at www.ojp.usdoj.gov/forms.htm.

Additional Information

For general information about BJA programs, training, and technical assistance, contact the BJA Clearinghouse at 1-800-851-3420 or visit the BJA home page at www.ojp.usdoj.gov/BJA.

For specific information about this solicitation, contact Esmeralda Womack, BJA Policy Office, at 202-353-3450 or womacke@ojp.usdoj.gov, or Phillip Merkle, BJA Policy Office, at 202-305-2550 or merklep@ojp.usdoj.gov.

The OJP *Financial Guide*, which contains information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records, is available on the OJP web site at www.ojp.usdoj.gov/FinGuide. This document governs the administration of funds by all successful applicants and their contractors.