

The [National Institute of Corrections](#) (NIC) is seeking applications for funding under the Fiscal Year (FY) 2017 the Inmate Behavior Management Initiative Enhancement. This program furthers NIC's mission by building capacity of state and local correctional agencies to develop and establish effective inmate management strategies.

## NIC FY 2017 INMATE BEHAVIOR MANAGEMENT INITIATIVE ENHANCEMENT

### Eligibility

NIC invites applications from nonprofit organizations (including faith-based, community, and tribal organizations), for-profit organizations (including tribal for-profit organizations), and institutions of higher education (including tribal institutions of higher education). Recipients, including for-profit organizations, must agree to waive any profit or fee for services.

NIC welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the others must be proposed as sub-recipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire program.

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

For additional eligibility information, see Section [C. Eligibility Information](#).

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. NIC encourages applicants to **register several weeks before** the application submission deadline. In addition, NIC urges applicants to **submit applications 72 hours** prior to the application due date. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. Eastern time on **March 2, 2017**.

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

## Contact Information

For programmatic questions concerning this solicitation contact **Panda J. Adkins** Correctional Program Specialists, National Institute of Corrections at [padkins@bop.gov](mailto:padkins@bop.gov). Responses to programmatic questions will be posted on **NIC's** website for public review. The website will be updated regularly and postings will remain on the website until the closing date of this solicitation.

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

Applicants who experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the NIC at [BOP-NIC/General@bop.gov](mailto:BOP-NIC/General@bop.gov) **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How To Apply](#) section.

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# **NIC FY 2016 Inmate Behavior Management Initiative Enhancement (CFDA # 16.601)**

## **A. Program Description**

### **Overview**

The most fundamental goal of every jail and prison is to maintain a safe and secure environment for inmates, staff, and visitors. Effectively managing inmate behavior is critical to achieving this goal. Traditionally, jails and prisons have sought to control inmates solely through physical containment, namely, hardware—locks, steel doors, security glass, and alarm systems. Staff safety was believed to depend on maintaining physical barriers between staff and inmates.

In the absence of staff management of inmate behavior, however, the emphasis on physically containing inmates failed to keep facilities secure. With inmates left to their own devices inside cellblocks, problems such as violence, vandalism, and lack of sanitation became so common they seemed inherent to correctional institutions, which, along with communities, have paid dearly for these problems through costly litigation, staff and inmate deaths, riots and fires.

These issues, in varying degrees, remain common in the nation's jails and prisons; however, we have learned over the last thirty (30) years that these problems can be virtually eliminated by reducing the barriers between staff and inmates and requiring staff to actively supervise and manage inmate behavior. If inmate behavior is managed effectively, jails and prisons can be a good workplace for staff, a safe and clean correctional environment for inmates, and a valuable and highly regarded service for the community.

Services under this initiative focus on the elements of inmate behavior management, which are relevant to all types and sizes of jails and prisons. NIC's services related to direct supervision are also included under this initiative.

### **Program-Specific Information**

This cooperative agreement contains multiple service deliveries for both prisons and jails regarding two of the primary programs under this initiative:

- Direct Supervision
- Inmate Behavior Management

**Direct supervision:**

Direct supervision combines two key elements—the physical design of the jail or prison and an inmate management strategy—to significantly reduce the problem inmate behavior commonly seen in jails and prisons. Direct supervision facilities focus on actively managing inmate behavior to produce a correctional environment that is safe and secure for inmates, staff, and visitors.

Staff interact continuously with inmates in the housing units, actively supervising them to identify problems in their early stages. They use basic management techniques to prevent negative behavior and encourage positive behavior. Staff assume control of the facility and establish a professional supervisory relationship with inmates. There are no barriers separating staff and inmates in the housing units.

The physical design of the facility supports the management of inmate behavior by reducing physical barriers that impede staff/inmate interaction, by ensuring there are clear sightlines into all areas of the housing units, and by incorporating design elements, fixtures, and furnishings that promote positive inmate behavior.

NIC currently offers both training and technical assistance related to direct supervision. Though these offerings have traditionally focused solely on jails, NIC has delivered the Direct Supervision curricula in at least one (1) prison. There are three (3) curricula associated with the current Direct Supervision offerings that were developed for jails and updated in September 2013. These curricula are offered in two phases. They are:

**Phase 1**

- Making Direct Supervision Work: The Administration’s Role

**Phase 2**

- Making Direct Supervision Work: The Housing Officer’s Role
- Making Direct Supervision Work: The Supervisor’s Role

Each phase of the curricula focuses on operationalizing direct supervision for individual agencies while maintaining the fidelity of the principles of direct supervision and building capacity for the agency. Specific curricula information on Direct Supervision and Inmate Behavior Management (IBM) is described below conveying the current focus on jails in each description.

**Making Direct Supervision Work: The Administration’s Role**

- Audience:
  - The target audience within the agency is top-level administrative staff, which includes the jail administrator and others, such as heads of various functional units. It is ideal for the sheriff or other official with ultimate responsibility for the jail to attend. The jail administrator must attend. Ideal number of participants is twenty-four (24).

- Program Goal and Focus:
  - The program's goal is to help jail's leaders understand their role in ensuring direct supervision succeeds. This program focuses on the role of the administration in successfully making the transition to direct supervision and, once the new jail opens, implementing and sustaining direct supervision. This role includes:
    - Thoroughly understanding direct supervision
    - Ensuring all staff roles and operations are aligned with direct supervision
    - Making decision within the framework of direct supervision
    - Managing staff resistance to direct supervision
    - Demonstrating commitment to direct supervision
- Length of program
  - Three (3) days

### **Making Direct Supervision Work: The Housing Officer's Role**

- Audience:
  - Both officers and first-line supervisors should attend the program. Officers should make up the majority of participants. Supervisors attend to learn about the officers' new role to help them become more effective in monitoring, evaluating, and supporting the officers. Ideal number of participants is twenty-four (24).
- Program Goal and Focus:
  - The program focuses on the role of the officer in a direct supervision housing unit. The role of the housing unit officer is to manage inmate behavior to ensure the unit is safe, secure, and orderly.
  - There are two program goals:
    - Housing officers will gain confidence in and enhance their ability to effectively manage inmate behavior and housing unit activities in a direct supervision jail.
    - By learning about the role of the direct supervision housing officer, first-line supervisors will enhance their ability to support the officers in fulfilling their role and responsibilities.
- Length of Program
  - Three (3) days. Deployed in conjunction with *Making Direct Supervision Work: The Supervisor's Role*.

### **Making Direct Supervision Work: The Supervisor's Role**

- Audience
  - The target audience is staff with immediate supervisory responsibility for officers in direct supervision housing units. The program is based on two (2) assumptions:
    - Participants already have supervisory skills. –The program does not include basic training on how to be a supervisor. It focuses on the supervisor's role

- in helping the direct supervision housing officer succeed.
    - Participants have completed *Making Direct Supervision Work: The Housing officer's Role*. –Program content is based on and builds on what supervisors learn in the officers' training.
    - Because the program is a guided discussion, the participant group should be fairly small. Ideally, there are no more than 12 participants. Larger groups, not to exceed twenty-four (24), can be accommodated.
- Program Goal and Focus
  - This program is a one-day guided discussion on the role of the first-line supervisor (1) in supporting their direct supervision housing officers and (2) more broadly, in supporting the implementation of direct supervision in the jail.
  - The program has two (2) goals:
    - To enhance the supervisor's ability to help officers successfully manage inmates and activities in direct supervision housing units
    - To increase the supervisor's awareness of his/her role in ensuring all operations are aligned with direct supervision.
- Length of Program
  - One (1) day. Deployed in conjunction with *Making Direct Supervision Work: The Housing Officer's Role*.

### **Inmate Behavior Management (IBM):**

NIC's IBM program is based on the previous work in two major areas: podular direct supervision and inmate classification. The IBM plan consists of six essential elements:

- Assessing inmate risks and needs at various points during his/her detention
- Assigning inmates to housing
- Meeting inmate's basic needs
- Defining and conveying expectations
- Supervising inmates
- Keeping inmates productively occupied with appropriate activities

These elements, once established, function as an ongoing, integrated process designed to generate positive inmate behavior—that is, behavior that complies with staff's expectations of what is acceptable. Integrating these elements puts control of the jail in the hands of the staff instead of the inmates. The purpose of this program is to educate and assist local jails in developing and integrating an IBM plan as an operational philosophy.

NIC currently offers both training and technical assistance related to Inmate Behavior Management. These offerings have traditionally focused solely on jails and have not been deployed in a prison setting at this time. There is one curriculum associated with the Inmate Behavior Management that was developed for jails and updated in April 2016. Specific curriculum information is described below.



- Audience:
  - The program is designed for three (3) –member teams
    - Jail Administrator—defined as the person responsible for the day-to-day operations of the jail
    - Security Manager/Director—person in charge of the security staff at the facility
    - Classification/Manager—person in charge of the inmate classification system at the facility
  - We also highly encourage the Sheriff, Director, Chief of Corrections, Chief Deputy, or Tribal Chairperson to attend. A fourth (4<sup>th</sup>) seat can be held specifically for this official to attend.
  - Ideal number of participants is twenty-four (24)
  
- Program Goal and Focus
  - The program is designed for agencies planning to move their jail operating philosophy from one of a traditional containment model to one that integrates the elements of inmate behavior management.
  - The program’s goal is to help the jail’s leaders:
    - Understand the concept of IBM
    - Recognize the importance of team participation in IBM integration
    - Understand the value of their role in integrating IBM
    - Identify areas for improvement in their own agency
    - Use tools necessary to integrate IBM
    - Use tools to evaluate the degree to which elements have been integrated
  
- Length of Program
  - Four (4) days plus pre-work
  - Pre-work includes:
    - E-course: Objective Jail Classification: Assessing Inmate Risk and Needs
    - E-Course: Assigning Inmates to Housing
    - WebEx: One (1) hour in length

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

**Goal.** The goal of this cooperative agreement is to provide best practices in managing inmate behavior through training, technical assistance, and information services specifically in relation to Direct Supervision and IBM for both jails and prisons.

### **Objectives**

1. Promote an operational philosophy that recognizes the need to effectively manage inmate behavior by direct supervision or increased supervision by staff (IBM)
  
2. Review and revise the current Direct Supervision and IBM curricula including modification for a comparable prisons version of each curriculum

3. Develop a training-for-trainers curriculum on IBM to include comparable versions for both jails and prisons

4. Pilot all revised, modified, and newly developed curricula

**Deliverables.** In addition to the strategy of the program design, the successful applicant must complete the following deliverables during the project period. The program narrative should reflect how the applicant will accomplish these activities.

1. Participate in an initial virtual meeting with the NIC program manager and NIC Prisons' Division Correctional Program Specialist (CPS) to discuss the cooperative agreement, scope of work, and all related aspects of the cooperative agreement within 30 days of award.

2. Attend NIC's Making Direct Supervision Work: The Administration's Role; Making Direct Supervision Work: The Housing Officer's Role and the Making Direct Supervision Work: The Supervisor's Role. At a minimum, the project manager and curriculum specialist must attend. The dates and location are to-be-determined. For budgetary purposes, the awardee should consider 2017 per diem rates for Aurora, CO.

3. Attend NIC's Inmate Behavior Management (IBM) Training Program to be held at the National Corrections Academy (NCA) in Aurora, CO, on May 1-5, 2017. At a minimum, the project manager and curriculum specialist must attend.

4. Conduct preliminary research around Direct Supervision, IBM, and related topics.

5. Facilitate a two (2) day focus group. The dates and location are to-be-determined. For budgetary purposes, the awardee should consider 2017 per diem rates for Washington, DC. Awardee should anticipate appropriate preparation time, onsite time, travel time, and report writing time for all subject matter experts (SMEs). Minimally, this collaborative meeting must include the NIC program manager, NIC Correctional Program Specialist (CPS) from the Prisons Division, project manager, curriculum specialist, six (6) to eight (8) SMEs to include equitable representation from jails and prisons. The purpose of the focus group is to:

- discuss the current curricula (Direct Supervision and IBM) and stated revisions (discussed later in this cooperative agreement)
- identify revisions necessary to ensure relevancy of all current curricula
- create an outline of the revisions identified by the focus group
- discuss relevant issues, data, research, and best practices regarding direct supervision and IBM
- identify content differences and challenges present in prisons versus jails in preparation for the development of the prisons curricula
- identify revisions to the existing jails' curricula for modification to create comparable versions of all curricula for prisons
- discuss necessary components for the development of second IBM curriculum that

mirrors the Making Direct Supervision Work: The Housing Officer's Role and the Making Direct Supervision Work: The Supervisor's Role for jails and prisons

6. Facilitate a three (3) day planning meeting directly following the focus group. The dates and location are to-be-determined. For budgetary purposes, the awardee should consider 2017 per diem rates for Washington, DC. Awardee should anticipate appropriate preparation time, onsite time, travel time, and report writing time for all subject matter experts (SMEs). Minimally, this collaborative meeting must include the NIC program manager, NIC Prisons Division (CPS), project manager, curriculum specialist, appropriate number of SMEs to be determined by the project manager with approval from the program manager.

Representation from jails and prisons must be equitable. The purpose of the planning meeting is to:

- review the history and required elements of the cooperative agreement
- discuss goals, objectives, and timeline of this cooperative agreement
- review and discuss the current Direct Supervision and IBM curricula
- discuss relevant issues, data, research, and best practices regarding inmate behavior management and incorporation into revised new curricula where appropriate
- develop the content outline for the new IBM curriculum and Direct Supervision curricula updates and revisions
- discuss possible titles for the new IBM program
- assign topics for module development for all curricula
- include additional items identified by awardee in concert with the project manager

7. Update and revise the existing Direct Supervision curricula for jails (facilitator and participant guides; PowerPoint presentation; and Supplemental materials). **Extensive revisions resulting in a complete re-write of the curricula are not anticipated.** The current curricula needs to be reformatted into a NIC supplied template. At a minimum, the following developmental revisions need to be included in the curricula update:

- Coaching
  - A coaching piece must be developed to be used between phase one (1) and phase two (2) of the Direct Supervision curricula.
  - At a minimum, the coaching piece must identify items the executive staff of the requesting agency need to complete prior to phase two (2) of the training being deployed.
  - At a minimum, the coaching piece must identify strategies, methodologies, and/or tools for SMEs to assist the executive staff between phase one (1) and phase (2) of this training being deployed.
  - Additional items may be identified in the focus group, planning meeting, research phase and/or by the project manager.
- Organizational culture
- Restrictive housing (minor development)
- Special populations (minor development)
- Pertinent revisions determined by focus group

8. Develop Direct Supervision curricula specifically for prisons by modifying the existing jails curricula (updated and revised from this cooperative agreement), and by identifying and incorporating adaptations that reflect differences and challenges present in prisons versus jails. At a minimum, the following developmental revisions need to be included in the curricula update:

- Coaching
  - A coaching piece must be developed to be used between phase one (1) and phase two (2) of the Direct Supervision curricula.
  - At a minimum, the coaching piece must identify items the executive staff of the requesting agency need to complete prior to phase two (2) of the training being deployed.
  - At a minimum, the coaching piece must identify strategies, methodologies, and/or tools for SMEs to assist the executive staff between phase one (1) and phase (2) of this training being deployed.
  - Additional items may be identified in the focus group, planning meeting, research phase and/or by the project manager
- Organizational culture
- Restrictive housing (minor development)
- Special populations (minor development)
- Intake and receiving
- Content from Jails in America DVD relevant for prisons needs to be developed in the lesson plan
- Pertinent revisions determined by focus group

9. Develop a comparable IBM curriculum specifically for prisons by modifying the existing jails curriculum (updated and revised in 2015) and by identifying and incorporating adaptations that reflect differences and challenges present in prisons versus jails. **Extensive revisions resulting in a complete re-write of the current curriculum is not anticipated.**

Information from research, the focus group, and SME input should be considered when developing this curriculum. See IBM program description in "program specific information" section for additional program details.

10. Develop a second IBM program with comparable versions for both jails and prisons to build capacity within agencies that have adopted IBM as their operational philosophy.

- This program will be in addition to the current curriculum and is intended to be a training-for-trainers delivered onsite to the requesting agency via technical assistance after completion of the current IBM curriculum by executive level staff.
- Curriculum should mirror the Direct Supervision deliveries in style and format.
- The new program is anticipated to be approximately four (4) to five (5) days in length.
- Instructional blocks should include necessary content for the following job classifications at a minimum:

- Correctional Officer
  - Support Staff
  - First-line Supervisor
- An expectation of the research, focus group, and planning meeting is to provide additional information and resources to assist with the development of this curriculum.
  - Curriculum may include a component to check for knowledge and observe platform presence for agency identified trainers.
  - Curriculum may include pre-work.

11. Pilot a local Direct Supervision Training Program for jails. The pilot must include all revised curricula:

- Making Direct Supervision Work: The Administration's Role
  - Making Direct Supervision Work: The Housing Officer's Role
  - Making Direct Supervision Work: The Supervisor's Role
- This training will be considered the pilot for the newly updated jails curricula. The curriculum specialist and project manager will be present. Final revisions to the curricula will be made by the awardee based on observations of the training by the curriculum specialist, NIC's program manager, instructors, and participants.
  - Awardee will work with the NIC program manager to determine the training site and dates. For budgetary purposes the awardee should consider 2017 per diem rates for Aurora, CO.
  - Participants are selected from within the host agency. The awardee will work with the host agency and NIC program manager to determine appropriate participants.
  - Awardee will work with the host agency and program manager to ensure all participants are registered in NIC's Learning Management System.
  - Program instructors will be comprised of three (3) SMEs approved by the program manager.

12. Pilot a Direct Supervision Training Program for prisons. The pilot must include all modified/developed curricula:

- Making Direct Supervision Work: The Administration's Role
  - Making Direct Supervision Work: The Housing Officer's Role
  - Making Direct Supervision Work: The Supervisor's Role
- This training will be considered the pilot for the newly developed curricula for prisons. The

curriculum specialist and project manager will be present. Final revisions to the curricula will be made by the awardee based on observations of the training by the curriculum specialist, NIC's program manager, NIC Prisons' Division CPS, instructors, and participants.

- Awardee will work with the NIC program manager and NIC Prisons' Division CPS to determine training site and dates. For budgetary purposes the awardee should consider 2017 per diem rates for Aurora, CO.
- Participants are selected from within the host agency. The awardee will work with the host agency, NIC program manager, and NIC Prisons' Division CPS to determine appropriate participants.
- Awardee will work with the host agency and program manager to ensure all participants are registered in NIC's Learning Management System.
- Program instructors will be comprised of three (3) SMEs approved by the program manager.

13. Pilot the **newly developed IBM** training program for jails.

- This training will be considered the pilot for the newly updated jails curriculum. The curriculum specialist and project manager will be present. Final revisions to the curricula will be made by the awardee based on observations of the training by the curriculum specialist, NIC's program manager, instructors, and participants.
- Awardee will work with the NIC program manager to determine training site and dates. For budgetary purposes the awardee should consider 2017 per diem rates for Aurora, CO.
- The host agency should have already completed the updated and revised curriculum for the Administrator's portion of IBM (current curriculum). This curriculum was revised in 2015.
- Participants are selected from within the host agency. The awardee will work with the host agency and NIC program manager to determine appropriate participants.
- Awardee will work with the host agency and program manager to ensure all participants are registered in NIC's Learning Management System.
- Program instructors will be comprised of three (3) SMEs approved by the program manager.

14. Pilot **both** IBM training programs for prisons.

- This training will be considered the pilot for the newly developed curricula for prisons. The

curriculum specialist and project manager will be present. Final revisions to the curricula will be made by the awardee based on observations of the training by the curriculum specialist, NIC's program manager, NIC Prisons' Division CPS, instructors, and participants.

- Awardee will work with the NIC program manager and NIC Prisons' Division CPS to determine training site and dates. For budgetary purposes the awardee should consider 2017 per diem rates for Aurora, CO.
- Participants are selected from within the host agency. The awardee will work with the host agency, NIC program manager, and NIC Prisons' Division Correctional Program Specialist to determine appropriate participants.
- Awardee will work with the host agency and program manager to ensure all participants are registered in NIC's Learning Management System.
- Program instructors will be comprised of three (3) SMEs approved by the project manager.

15. Create a program information package for all curricula containing, but not limited to, the following content:

- Course overview
- Course objectives
- Training program request options (technical assistance, NCA)
- Intended audience
- Pre-work requirements
- Evaluation processes
- Program Flyer
- Regional training host requirements

16. Facilitate a one-half (1/2) day close-out meeting to discuss delivery strategies, format, and content of all revised curricula and developed curricula; potential next steps for deployment strategies of the curricula; and overall operation of the cooperative agreement. Minimally, this collaborative meeting must include the NIC program manager, NIC Prisons' Division CPS, and project manager. This meeting may be in person or virtual.

**Award Conditions.** The successful applicant will:

- articulate a clear understanding of and experience in Direct Supervision and Inmate Behavior Management (IBM) as presented by NIC.
- demonstrate proven expertise and experience in adult learning and performance; training development; classroom facilitation; and executive forum debriefs

- demonstrate substantial capacity to provide Direct Supervision and IBM training (i.e. ensure piloting agencies are prepared to adopt Direct Supervision and/or IBM as an operational philosophy, classes are full, etc.)
- demonstrate proven experience in curriculum development and expertise in adult learning principles; specifically, Instructional Theory Into Practice (ITIP).
- demonstrate proven experience in curriculum development and expertise in adult learning principles; specifically, training-for-trainers curricula.
- exhibit written communication competencies in the form of published works, lesson plans, and/ or articles submitted to professional publications.
- demonstrate proven experience in developing and conducting course and impact evaluations.
- demonstrate proven experience in collecting and analyzing data.

### **Specific Requirements**

- Awardee shall actively work with NIC program manager to determine the suitability of SMEs and curriculum specialist. Final determination rests with NIC program manager.
  - Project Director must:
    - have significant expertise and experience (e.g. ten years' experience) in project management with successful deliverables and completion of projects
    - have significant experience in managing correctional based projects with successful deliverables and completion of projects
    - have significant experience in facilitating executive-level meetings and/or adult instructional learning of twenty (20) or more people.
    - submit a resume and bio detailing experience and qualifications
  - Subject Matter Experts must:
    - have specific knowledge and experience in Direct Supervision and IBM as presented by NIC as well as jail and prison culture
    - have significant experience (e.g. ten years' experience) at an executive level position (e.g. warden, superintendent, jail administrator, sheriff, etc.) in a federal, state, or local facility that operated under a Direct Supervision and/or IBM philosophy
    - have demonstrated experience training, managing, and/or integrating Direct Supervision and/or IBM nationally or within individual jurisdictions
    - have proven experience in adult learning and performance, classroom facilitation, and executive forum debriefs.



- have demonstrated experience managing and leading change within organizations.
  - submit a resume and bio detailing experience and qualifications.
  - submit a statement of availability and interest to participate
- Curriculum Specialist must:
  - have specific knowledge and experience in adult learning principles; specifically Instructional Theory Into Practice (ITIP)
  - have significant experience (e.g. five years' experience) in curriculum development
  - have proven experience in curriculum development and expertise in adult learning principles; specifically, training-for-trainers curricula.
  - have demonstrated experience in facilitating executive-level meetings and/or adult instructional learning of twenty (20) or more people.
  - submit a resume a resume and bio detailing experience and qualifications.
  - submit a statement of availability and interest to participate
- Awardee is responsible for all team member expenses and fees to include participants in the focus group and planning meeting.
- Awardee shall print and distribute instructor, participant, and associated materials for all training events.
- Awardee shall, throughout the award period, maintain regular, routine contact with NIC program manager regarding programmatic and deliverable progress. This includes, but is not limited to:
  - Schedule and conduct at least monthly telephone updates, providing NIC program manager with information about deliverable status, challenges, areas where assistance is required, etc. A summary email detailing the key areas discussed during the telephone update will also be sent to the program manager by the project manager.
  - Provide quarterly progress reports in adherence to written requirements and prescribed schedule outlined in the award documents.
  - Submit end of program reports for each pilot training program.
- Awardee shall provide appropriate documentation and reports of meeting (e.g. planning sessions, focus groups, etc.) outcomes to NIC program manager. A final close-out report for the cooperative agreement is also required.
- Awardee will ensure that all electronic deliverables are compatible with NIC's systems.

- Awardee will, at a minimum, deliver the following items in electronic versions via thumb drive and hard copy for all curricula in this cooperative agreement:
  - Program overview
  - Program agenda
  - Program training grid
  - Detailed narrative lesson plans
    - Individual lesson plans by module
    - Comprehensive instructor manual with attached cover including all lesson plans in one cohesive document
  - Participant manual that follows the lesson plan
  - Presentation slides for each lesson plan
  - Action Plan and/ or Integration Workbook
  - Supplemental materials (e.g. posters, handouts, activities, etc.)

**Evaluation Requirements.** All training programs must have an evaluation conducted, processed, and tallied into a formal, written report. At a minimum, evaluation reports are to be electronically submitted to the NIC program manager.

- Awardee is responsible for developing and coordinating the post-training and technical assistance evaluation process, including (1) development of evaluation instrument(s) (2) instrument distribution to training participants and instructors, (3) collection and analysis of responses, and (4) preparation/delivery of summaries of outcomes to the NIC program manager. At a minimum, evaluation reports should include numeric averages, qualitative comments, and participation rate.
- Conduct follow-up evaluations at thirty (30) days and sixty (60) days post program. If time permits, a ninety (90) day evaluation should also be conducted. The purpose of the evaluation is to determine evidence of the impact on the participatory agencies. The results of the evaluations must be submitted within thirty (30) days of follow-up completion.

**Evidence-based programs or practices.** NIC strongly emphasizes the use of data and evidence in policy making and program development. NIC is committed to:

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

NIC 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 NIC considers a program or practice to be evidence-based.

## **Additional Resources**

**NIC Training and Technical Assistance Awardee Standards.** NIC has developed the [TA Handbook](#) to promote among providers the consistency and quality of NIC-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.

- Awardee and attendees will review and become familiar with the established curricula, presentation slides, facilitator's guides, participant manuals, and any other material deemed appropriate by the awardee or NIC program manager. All curricula, supplemental material, and videos will be shared upon award.
- Awardee will ensure that all project team members, participants in the focus group, and participants in the planning meeting have access to the supplied curricula, videos, and materials.
- The following links are provided as additional references.
- <http://nicic.gov/library/024773>
- <http://nicic.gov/directsupervisionjails>
- <http://nicic.gov/library/024192>

## **Federal Award Information**

NIC expects to make one award for a 12-month project period, beginning on March 30, 2017.

If the awardee demonstrates significant progress toward implementing project activities and achieving project goals, NIC may, in certain cases, provide supplemental funding for FY 2018 and FY 2019 to the awardee. With the supplemental funding, the project period will be extended for two additional 12-month increments for an overall project period of 36 months. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds and to any modifications or

additional requirements that may be imposed by law.

**Type of Award.** NIC expects to make an award from this solicitation in the form of a cooperative agreement which is a particular type of grant used when NIC expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant but does not involve day-to-day project management. See Administrative, National Policy, and Other Legal Requirements, under Section F. Federal Award Administration, for details regarding the federal involvement anticipated under an award from this solicitation.

**Financial Management and System of Internal Controls.** If selected for funding, the award recipient must:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the nonfederal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework," issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the nonfederal entity's compliance with statute, 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 nonfederal entity considers sensitive consistent with applicable federal, state, and local laws regarding privacy and obligations of confidentiality.

## Budget Information

**Pre-Agreement Cost Approvals.** NIC does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of NIC for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant.

Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for NIC's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval.

**Limitation on Use of Award Funds for Employee Compensation; Waiver.** With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2015 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

## B. Eligibility Information

For additional eligibility information, see the title page.

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

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

## C. Application and Submission Information

### What an Application Should Include

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

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

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

*NIC 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, NIC recommends that applicants include résumés in a single file.*

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. This form can be found on Grants.gov and NIC's website [www.nicic.gov](http://www.nicic.gov).

**Intergovernmental review.** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

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

- written for a general public audience;
- submitted as a separate attachment with "Project Abstract" as part of its file name; and
- single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

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

the program narrative.

The abstract should briefly describe the project's purpose, the population to be served, and the activities that the applicant will implement to achieve the project's goals and objectives. The abstract should describe how the applicant will measure progress toward these goals.

### **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, NIC may consider such noncompliance in peer review and in final award decisions.

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

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

- a. Statement of the Problem.** Applicants should describe any research or evaluation studies that relate to the problem and contribute to the applicant's understanding of its causes and potential solutions. While NIC expects applicants to review the research literature for relevant studies, they should also explore whether unpublished local sources of research or evaluation data are available.
- b. Goals, Objectives, and Performance Measures.** Applicants should describe the goals of the proposed training and technical assistance program and identify its objectives. When formulating the program's goals and objectives, applicants should be cognizant of the performance measures that NIC will require successful applicants to provide:

- **Goals.** Applicants should describe the program's intent to deliver training and technical assistance, as described in the previous section and outline the project's goals.
- **Program Objectives.** Applicants should explain how the program will accomplish its goals. Objectives are specific, quantifiable statements of the project's desired results. They should be clearly linked to the training and technical assistance strategy identified in the preceding section and measurable.
- **Performance Measures.** NIC requires all applicants to submit quarterly progress reports demonstrating progress towards completion of the work proposed under this solicitation. The performance measures for this solicitation are:



<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Description</b>	<b>Data Grantee Provides</b>
Provide best practices in managing inmate behavior through training, technical assistance, and information services specifically in relation to Direct supervision and IBM.	Update and revise existing Direct Supervision curricula for jails.	This measure represents the number and type of program materials that were developed during the reporting period.	Number and type of program materials developed during the reporting period.
	Modify existing Direct Supervision curricula for jails (updated and revised from this cooperative agreement) into a prisons specific curricula	This measure represents the number and type of program materials that were developed during the reporting period.	Number and type of program materials developed during the reporting period.
	Modify existing IBM curriculum for jails into a prisons specific curriculum	This measure represents the number and type of program materials that were developed during the reporting period.	Number and type of program materials developed during the reporting period.
	Develop a training-for-trainers IBM curriculum for both jails and prisons	This measure represents the number and type of program materials that were developed during the reporting period.	Number and type of program materials developed during the reporting period.
	Provide state and local correctional agencies with Direct Supervision training.	This measure represents the number of planning, training, or technical assistance activities held during the reporting period.	Number of planning, training, or technical assistance events held during the reporting period.

	Provide state and local correctional agencies with IBM training.	This measure represents the number of planning, training, or technical assistance activities held during the reporting period.	Number of planning, training, or technical assistance events held during the reporting period
	Collect data from participant agencies to measure impact of training	This measure represents the number of people who exhibit an increased knowledge of the program area(s) after participating in training or the number of organizations reporting improvements in operations as a result of training	Number of people exhibiting an increase in knowledge post-training. Number of people trained during the reporting period  Number of organizations reporting improvements in operations based on training

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

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

**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. Applicants should submit the logic model (sample here) as a separate attachment, as stipulated in Additional Attachments.

**Timeline.** Applicants should submit a 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.

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 19. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that NIC will provide.

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

**Letters of Support/Memoranda of Understanding.** If submitting a joint

application, as described under Section C: Eligibility Information, 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; and
- estimate of the percentage of time that the partner will devote to the planning and operation of the project.

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

**a. Budget Detail Worksheet.** Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.

**b. Budget Narrative.** The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. NIC 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 the cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

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

**c. Noncompetitive procurement contracts in excess of simplified acquisition threshold.** If an applicant proposes to make one or more non-competitive

procurements of products or services, where the noncompetitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the Financial Guide.

- d. Preagreement Cost Approvals.** For information on pre-agreement costs, see Section [B. Federal Award Information](#).
- 4. Indirect Cost Rate Agreement (if applicable).** Indirect costs are allowed only if the applicant has a current federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories.
- 5. Tribal Authorizing Resolution.** Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.
- 6. Applicant Disclosure of High Risk Status.** Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must submit the following information to at the time of application submission:
- the federal agency that currently designated the applicant as high risk;
  - date the applicant was designated high risk;
  - the high risk point of contact name, phone number, and email address, from that federal agency; and
  - reasons for the high risk status.

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

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

**a. Applicant Disclosure of Pending Applications**

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

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

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

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

<b>Federal or State Funding Agency</b>	<b>Solicitation Name/ Project Name</b>	<b>Name/Phone/E-mail for Point of Contact at Funding Agency</b>
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000;

HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/900-0000; john.doe@hhs.gov
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Applicants should include the table as a separate attachment, with the file name "Disclosure of Pending Applications," to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., "[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.").

- b. Logic model (see examples [here](#)).
  - c. Timeline or milestone chart.
  - d. Résumés of all key personnel.
  - e. Job descriptions outlining roles and responsibilities for all key positions.
  - f. Letters of support/memoranda of understanding from partner organizations.
  - g. Evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable.
  - h. Evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.
- 8. Financial Management and System of Internal Controls Questionnaire.** In accordance with 2 CFR 200.205, federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, all applicants (other than an individual) are to download, complete, and submit this form.
- 9. Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

## How To Apply

Applicants must register in and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application [here](#). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, processing delays may occur, and it can take several weeks for first-time registrants to receive confirmation and a user password. NIC encourages applicants to register several weeks before the application submission deadline. In addition, NIC urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection [notifications](#) from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

NIC 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.

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

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 ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;amp;” format.</b>		

**Required Steps for All Applicants.** NIC may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant. **All applicants are required to complete the following steps:**

- 1. Acquire a Data Universal Numbering System (DUNS) Number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving



federal funds. The identifier is used for tracking purposes and validating address and point of contact information for federal assistance applicants, recipients, and sub-recipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply [online](#). A DUNS number is usually received within 1-2 business days.

## **2. Acquire Registration with the System for Award Management (SAM)**

SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. NIC requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants cannot successfully submit their applications until Grants.gov receives the SAM registration information. **The information transfer from SAM to Grants.gov can take as long as 48 hours.** NIC recommends that the applicant register or renew registration with SAM as early as possible.

**Access information about SAM registration procedures [here](#).**

- 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. Applicant organizations must use their DUNS number to complete this step. For more information about the registration process, go [here](#).
- 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.

5. **Search for the Funding Opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.601, titled “Inmate Behavior Management Initiative Enhancement” and the funding opportunity number is **NIC-17JD04**.
6. **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 and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** NIC urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

**Note: Duplicate applications.** If an applicant submits multiple versions of the same application, NIC will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

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

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

The following conditions are generally insufficient to justify late submissions:

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

**Notifications regarding known technical problems with Grants.gov, if any, are posted on [NIC's web page](#).**

## **D. Application Review Information**

### **Selection Criteria**

The following three (3) selection review criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, Programmatic Review, is worth 40 percent of the entire score in the application review process.

1. Programmatic Review (40)
  - a. Project tasks adequately discussed?
  - b. Clear statement of how each task will be accomplished?
  - c. New approaches, techniques, or design aspects to enhance the project?
2. Organizational Review (35)
  - a. Skills of the proposed project members.
  - b. Organizational capacity to complete all project tasks.
  - c. Realistic and sufficient project and management plans to complete within the time frame.
3. Management/Administrative Review (25)
  - a. Identification of reasonable objectives.
  - b. Reasonable justification for inclusion of consultants or partnerships if used.
  - c. Realistic budget proposed.

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

## Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, NIC screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under NIC grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the General Services Administration’s Excluded Parties List.

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

NIC may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current NIC employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior NIC and NIC awards, and available funding.

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

1. Financial stability and fiscal integrity.

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

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

## **E. Federal Award Administration Information**

**Federal Award Notices.** NIC award notification will be sent from NIC's Office via FedEx or USPS within 45 days of the announcements close.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB or other federal regulations that will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. NIC strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application.

As stated above, NIC anticipates that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard "federal involvement" conditions that describe the general allocation of responsibility for execution of the funded program. Generally-stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions.

Responsibility for oversight and redirection of the project, if necessary, rests with NIC. NIC's role will include the following tasks:

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

In addition to any “federal involvement” condition(s), NIC cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with NIC policy and guidance on conference approval, planning, and reporting.

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

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 CFR 200. Future awards and fund drawdowns may be withheld if reports are delinquent.

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

**Federal Awarding Agency Contact(s).** For Federal Awarding Agency Contact(s), see the title page. For contact information for Grants.gov, see the title page.

## **F. Other Information**

**Provide Feedback to NIC.** To assist NIC in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to [BOP-NIC/General@bop.gov](mailto:BOP-NIC/General@bop.gov) .

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

## Application Checklist

### **NIC FY 2016** Inmate Behavior Management Initiative Enhancement

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

#### **What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

\_\_\_\_\_ Acquire a DUNS Number

\_\_\_\_\_ Acquire or renew registration with SAM

*To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC

*To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov

\_\_\_\_\_ Download Funding Opportunity and Application Package

\_\_\_\_\_ Sign up for Grants.gov email notifications (optional)

*After application submission, receive Grants.gov email notifications that:*

\_\_\_\_\_ (1) application has been received,

\_\_\_\_\_ (2) application has either been validated or rejected

*If no Grants.gov receipt, and validation or error notifications are received:*

\_\_\_\_\_ contact NIC regarding experiencing technical difficulties

#### **Eligibility Requirement:**

\_\_\_\_\_ Nonprofit or for-profit organization, including tribal nonprofit or for-profit organization.

\_\_\_\_\_ Institution of higher education, including tribal institution of higher education.

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

\_\_\_\_\_ Application for Federal Assistance (SF-424)

\_\_\_\_\_ Project Abstract

\_\_\_\_\_ Program Narrative

\_\_\_\_\_ Budget Detail Worksheet and Narrative

\_\_\_\_\_ Employee Compensation Waiver request and justification

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL)

\_\_\_\_\_ Indirect Cost Rate Agreement (if applicable)

\_\_\_\_\_ Tribal Authorizing Resolution (if applicable)

\_\_\_\_\_ Applicant Disclosure of High Risk Status

\_\_\_\_\_ Additional Attachments

\_\_\_\_\_ Applicant Disclosure of Pending Applications

\_\_\_\_\_ logic model

\_\_\_\_\_ timeline or milestone chart

\_\_\_\_\_ résumés of all key personnel

\_\_\_\_\_ job descriptions outlining roles and responsibilities for all key positions

\_\_\_\_\_ letters of support/memoranda of understanding from partner organizations

\_\_\_\_\_ evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable.

\_\_\_\_\_ evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.

\_\_\_\_\_ Financial Management and System of Internal Controls