
The [National Institute of Corrections](#) (NIC) is seeking applications for funding under the Fiscal Year (FY) 2020. The successful awardee will work in close collaboration with NIC staff to accomplish the following: 1.) Facilitation of two (2) offerings of the week long National Sheriff's Institute (NSI) at the FBI National Academy in Quantico, Virginia. 2.) Facilitation for two (2) offerings of the week long National Sheriffs Institute - Jail Administration (NSIJA) at two (2) different locations to be determined with the NIC Program Coordinator.

All of the above deliverables have historically been met through traditional classroom presentations. Given the current conditions and travel restrictions, the awardee will be required to submit an additional/alternate budget to develop and deliver the classes by non-classroom, virtual means.

NIC FY 2020 National Sheriffs Institute

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 (2) or more entities; however, one (1) 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 August 13, 2020.

Late applications are neither reviewed nor considered.

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

Contact Information

For programmatic questions concerning this solicitation contact **Mike Jackson**, Correctional Program Specialist, National Institute of Corrections mpjackson@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. 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 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 2020 National Sheriffs Institute CFDA # 16.601

A. Program Description

Overview

New sheriffs come to the office or are elected to the office in a variety of ways. Some succeed a retiring sheriff. Others come from outside the agency with different ideas for changes in the current methods of operation that appeal to their community. Few of these new sheriffs have experience as a chief executive officer (CEO). Even fewer have experience with the full responsibilities of operating a local correctional facility. The awardee of this cooperative agreement will be working closely with the National Institute of Corrections to continue offering the only courses of instruction specifically developed to enhance the skills for these elected officials to better serve their communities.

NIC utilizes the All Sheriff's Authority (ASA) as an annual listening session to gather information from sitting sheriffs, informing its training-related work around their pressing issues of concern. NIC accomplishes this in collaboration with public and private sector partners, listening to the strategic plans and effective models that sheriffs might use to address the significant challenges that have been placed upon sheriff's departments and jails across the country. Through the ASA, invited representative sheriffs share both their experiences and best practices with NIC around these endemic challenges, adding to NIC's ability to effectively share information and training resources for sitting sheriffs as well as jail administrators throughout the field. Awardee should plan on attending the All Sheriff's Authority meeting.

While the individual program descriptions and deliverables below are the basic essentials for qualification to award, NIC has always sought and considered innovative suggestions to improve and enhance our program offerings. Any suggestions for improvement and enhancements to - enable sheriffs in the areas of overall leadership and administration of their jails are important considerations in the review process.

Statutory Authority: Public Law 93-415

Program-Specific Information

The National Institute of Corrections' National Sheriffs Institute (NSI) is the only national leadership program designed specifically for first-term sheriffs. It introduces first-term sheriffs to their leadership role, specifically as it relates to their role their organization, local criminal justice system, and a partner in their local community. All leadership concepts are taught within the context of meeting the needs of the first-term sheriff. This program is critical to addressing the leadership-development needs of new sheriffs for four primary reasons: (1) the first is the complexity of the leadership role which stems from the dynamics of the Office of Sheriff; (2) the turnover of the office and the multiple challenges that accompany a change of command; (3) there is a lack of preparation for the leadership role since in many cases, new sheriffs have limited experience in any of the functions they have been elected to oversee and many new sheriffs are assuming a leadership role for the first time; and (4) there is a lack of professional development training available to newly-elected sheriffs even though many state associations offer orientation training to newly-elected sheriffs, the training typically deals with responsibilities and obligations under the state's constitution. Only the NSI addresses the leadership role, specifically as it relates to the role of sheriffs in their own organizations, their local criminal justice systems, and their communities. NIC will be responsible for the lodging, meals and travel related costs for all 30 student-sheriffs.

1. National Sheriffs' Institute

Goals, Objectives, and Deliverables

The successful awardee will work closely with NIC Jails Division staff to execute the described deliverables and must describe in detail how they will approach providing all of the facilitation duties for each 5 day program to include:

- Utilize the NIC Learn Center Learning Management System (LMS) to identify and select 30 first term sheriffs for program participation.
- In collaboration and approval of NIC, hire 4 instructors with diverse leadership knowledge in current government and criminal justice issues to teach the course of instruction using NIC's curriculum, participant manuals and other NIC provided materials. The course overview and agenda (Attachment 1) describes the course and the faculty objectives.
- Distribution and collection of participants' pre-program expectations, strengths and challenges form.
- Prior to the program, purchase, administer and score the Myers-Briggs Type Inventory (MBTI) instrument and Thomas-Kilmann Conflict Mode Instrument (TKI) for each participant. Instruments must be scored by a trained/licensed administrator.
- With the NIC Program Coordinator, identify, recruit one to four experienced sheriffs who have previously graduated the NSI to serve as a mentor to the students in the NSI. A different sheriff(s) will be identified for each class. There are no associated costs to the awardee for mentors, all costs will be the responsibility of NIC.
- Assist with onsite program management and logistics.
- Provide certificates of training completion for each participant, to be co-signed by NIC's director.

Deliverables.

1. A written report to NIC within 30 days of the close of each of the programs, analyzing module by module and overall final evaluation forms from each participant.
2. A written report to NIC within 120 days of the close of each of the programs describing the progress of each participant regarding the Leadership Development Plan they developed over the course of the training period.

Contingency. If in-person delivery of these courses continues to be disrupted by travel restrictions and social distancing demands of the coronavirus pandemic, then the funding provided may be re-designated to deliver one or more of the classes in a virtual classroom format. The applicant should: (1) address their qualifications and contingency plans should this adjustment be deemed necessary by the Government (NIC) and (2) submit a comprehensive budget that takes these considerations into account (e.g., submit two budgets: one budget for delivering the trainings/meetings in a traditional classroom setting and a separate budget for delivering the trainings/meetings virtually).

2. National Sheriffs' Institute – Jail Administration

Goals, Objectives and Deliverables

Since over 80% of the nation's jails fall under the responsibility of the local sheriff for safe and effective operation and many of these sheriffs come from a mostly law enforcement background with limited knowledge of their responsibilities in regards to leading the operations of the detention/corrections components of their agencies, the National Sheriffs Institute's Jail Administration or NSIJA class was recently developed. The participants for the NSIJA class must be graduates of the NSI. The curriculum was developed with the idea of incorporating how the leadership principles acquired in the NSI are applied in the

following identified areas of concern: (1) The Sheriff as a Leader; (2) Organizational Culture and the Sheriff's Leadership; (3) Operational Philosophy; (4) Role, Purpose, and Characteristics of the Jail; (5) Liability and Standards; (6) Critical Aspects of Jail Operations: Seeing the Jail as Part of the County Government's Agenda; (7) The Sheriff's Leadership in Promoting Optimal Staff Performance; (8) Sheriff's Leadership with the External Environment (communication and relationships); and (9) Where a Sheriff Should Begin. The NIC publication *Sheriff's Guide to Effective Jail Operations* was referenced as a resource and can be found at <https://nicic.gov/sheriffs-guide-effective-jail-operations>. NIC will be responsible for the lodging, meals and travel related costs for all 30 student-sheriffs.

The successful awardee will work closely with NIC Jails Division staff and must describe in detail how they will provide all of the facilitation duties for each National Sheriffs' Institute-Jail Administration (NSIJA) 5 day program to include:

- Utilize the NIC Learn Center Learning Management System to identify and select 30 first term sheriffs for program participation.
- In collaboration and approval of NIC, hire 3 instructors with diverse leadership knowledge in current government and criminal justice issues. The awardee should be well versed in Jail best practices, jail operations, legal expertise in the field of court decisions that have shaped the practices in policy and procedures in exceptional jail management. Instructors will teach the course using NIC's curriculum, participant manuals and other NIC provided materials. The course overview and agenda (Attachment 2) describes the course and the faculty objectives.
- Distribution and collection of participants' pre-program expectations, strengths and challenges form.
- With the NIC Program Coordinator, identify and recruit one to four experienced sheriffs who have previously graduated the NSI to serve as a mentor to the students in the NSIJA. A different sheriff(s) will be identified for each class. There are no associated costs to the awardee for mentors, all costs will be the responsibility of NIC.
- Assist with onsite program management and logistics.
- Provide certificates of training completion for each participant, to be co-signed by NIC's director.

Deliverables.

1. A written report to NIC within 30 days of the close of each of the programs, analyzing module by module and overall final evaluation forms from each participant.
2. A written report to NIC within 120 days of the close of each of the programs describing the progress of each participant regarding the Leadership Development Plan they developed over the course of the training period.

Contingency. If in-person delivery of these courses continues to be disrupted by travel restrictions and social distancing demands of the coronavirus pandemic, then the funding provided may be re-designated to deliver one or more of the classes in a virtual classroom format. The applicant should: (1) address their qualifications and contingency plans should this adjustment be deemed necessary by the Government (NIC) and (2) submit a comprehensive budget that takes these considerations into account (e.g., submit two budgets: one budget for delivering the trainings/meetings in a traditional classroom setting and a separate budget for delivering the trainings/meetings virtually).

Deliverables. In addition to the strategy and content 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.

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

- 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.

B. Federal Award Information

NIC expects to make one award for a 12-month project period, beginning on August 28, 2020. The specific award amount will commensurate with the experience of the proposed project team and the written approach to meeting project deliverables and milestones, and will be negotiated with the National Institute of Corrections prior to award and within available agency funds.

If the awardee demonstrates significant progress toward implementing project activities and achieving project goals, NIC may, in certain cases, provide supplemental funding for FY 2021 and FY 2022 to the awardee. With the supplemental funding, the project period can be extended up to 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

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

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).

Comply with federal statutes, regulations, and the terms and conditions of the federal awards.

Evaluate and monitor the nonfederal entity's compliance with statute, regulations, and the terms and conditions of federal awards.

Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.

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

Cost Sharing or Matching Requirement

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

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 2020 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.)

C. Eligibility Information

For additional eligibility information, see the title page.

Cost sharing or match requirement

Cost sharing/match is not required

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](#).

D. 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, do not request funding within the funding limit, 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.

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 <https://nicic.gov/invitations-bid-and-requests-proposal>.

Intergovernmental review

This funding opportunity 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.”)

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.

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:

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.

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. Further, the applicant should clearly articulate how they anticipate approaching the collaborative relationship with NIC and how they will work within the collaboration to execute the deliverables within this solicitation.

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:

National Sheriffs' Institute

Objective	Performance Measure(s)	Description	Data Grantee Provides
Awardee will select 30 first term sheriffs to attend each class.	A roster of 30 participants will be provided to NIC.	Utilizing NIC's Learning Management System, awardee will select applicants to attend the class.	See Performance Measure
Recruit and hire 4 qualified instructors.	Instructors contracted.	Hire 4 instructors with enough diversity of leadership knowledge in current government and criminal justice leadership issues to teach the course of instruction.	Provide the names and qualifications of the 4 instructors to NIC.
Final class evaluation	Final report received no later than 30 days after the last day of class	A written report to NIC analyzing the module by module and overall final evaluation forms from each participant.	Complete analysis of the participants' knowledge of the objectives of each module pre and post instruction, the relevance of the subject matter to their roles as sheriffs and the likelihood of employing the subject material upon return to their jurisdiction.
Measure the effectiveness of the class.	Final report of participants' progress with the top issues to be addressed upon their return within 120 days of the end of the class.	Conduct interviews of participants 90 days after the close of the class and provide a report of participants' progress on their Leadership Development Plan and their evaluation of the aspects of the class since returning to work.	A report will be provided on the progress or lack thereof with identification of how the class assisted the participant or the factors inhibiting the participant.

National Sheriffs' Institute – Jail Administration

Objective	Performance Measure(s)	Description	Data Grantee Provides
Awardee will select 30 first term sheriffs to attend each class.	A roster of 30 participants will be provided to NIC.	Utilizing NIC's Learning Management System, awardee will select applicants to attend the class.	See Performance Measure
Recruit and hire 3 qualified instructors.	Instructors contracted.	Hire 3 instructors with a diversity of leadership knowledge in current government and criminal justice leadership issues, best practices in jail operations and legal expertise in the field of court decisions that have shaped the practices in policy, procedures and practices of exceptional jail management.	Provide the names and qualifications of the 3 instructors to NIC.
Final class evaluation	Final report received no later than 30 days after the last day of class	A written report to NIC analyzing the module by module and overall final evaluation forms from each participant.	Complete analysis of the participants' knowledge of the objectives of each module pre and post instruction, the relevance of the subject matter to their roles as sheriffs and the likelihood of employing the subject material upon return to their jurisdiction.
Measure the effectiveness of the class.	Final report of participants' progress with the top issues to be addressed upon their return within 120 days of the end of the class.	Conduct interviews of participants 90 days after the close of the class and provide a report of participants' progress on their Action Plan and their evaluation of the aspects of the class since returning to work.	A report will be provided on the progress or lack thereof with identification of how the class assisted the participant or the factors inhibiting the participant.

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.

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 as a separate attachment, as stipulated in Additional Attachments.

Timeline or Milestone Chart

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.

Capabilities and competencies, Résumés of all key personnel

This section should describe the experience and capability of the applicant organization and any contractors or subawards 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.

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. Pre-agreement cost approvals. For information on pre-agreement costs, see Section [B. Federal Award Information](#).

Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, cost for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with cooperative agreement funds. The Budget Detail worksheet should present a complete itemization of all proposed costs.

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 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.

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 \$250,000, the application should address the considerations outlined in 2 C.F.R.200.317 - 200.317.

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. Indirect costs may be charged to an award only if:

The recipient has a current (unexpired), federally approved indirect cost rate; or the recipient is eligible to use, and elects to use, the "de minimus" indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414

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 award. 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.

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 as set out by the federal awarding agency.

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. Logic model

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 \(SF-LLL\) Lobbying Form](#). 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”).

Additional Attachments

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.

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.

Applicant disclosure of pending applications. Applicants are to disclose whether they have pending applications for federally funded grants or subawards (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.

SAMPLE

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	John Doe 202-000-0000 John.doe@doj.gov
HHS/Substance Abuse	Drug Free Mentoring Program	Jane Doe 202-000-000 Jane.doe@doj.gov

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application.

Applicants that do not have pending applications as described 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 sub-awards (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.”).

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

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 <https://www.grants.gov/web/grants/manage-subscriptions.html>. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

Browser Information

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

Attachments

Grants.gov has two categories of files for attachments: “mandatory” and “optional.” NIC receives all files attached in both categories. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other) and are labeled correctly. Do not embed “mandatory” attachments within another file.

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 (.)	When using the ampersand (&) in XML, applicants must use the “&” format.		

All applicants are required to complete the following steps:

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.

Registration and Submission Steps

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 subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply [online](https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html). A DUNS number is usually received within 1-2 business days. For more detailed instructions for obtaining a DUNS number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

Acquire or maintain 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, failure to register with SAM will prevent your organization from applying through 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](#).

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

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](#).

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. When applications are submitted through Grants.gov, the name of the organization's AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC must authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; this step is often missed and it is crucial for valid and timely submissions.

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 and the funding opportunity number is NIC- 20JD07.

Access Funding Opportunity and Application package from Grants.gov. Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.

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.

How to Submit an Application to the National Institute of Corrections via Grants.gov

Grants.gov applicants can apply online using Workspace

Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- **Create a Workspace:** Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- **Complete a Workspace:** Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

Adobe Reader: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.

- **Submit a Workspace:** An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- **Track a Workspace Submission:** After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to: <https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support

Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the National Institute of Corrections with tracking your issue and understanding background information on the issue.

Timely Receipt Requirements and Proof of Timely Submission

Online Submission. All applications must be received by 11:59 pm Eastern time on the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When the National Institute of Corrections successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by the National Institute of Corrections. Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

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 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 insufficient to justify late submissions:

- failure to register in SAM or Grants.gov in sufficient time; (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- failure to follow Grants.gov instructions on how to register and apply as posted on its website;
- failure to follow each instruction in the 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.

E. 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.

Programmatic Review (40)

- Project tasks adequately discussed?
- Clear statement of how each task will be accomplished?
- New approaches, techniques, or design aspects to enhance the project?

Organizational Review (35)

- Skills of the proposed project members.
- Organizational capacity to complete all project tasks.
- Realistic and sufficient project and management plans to complete within the time frame.

Management/Administrative Review (25)

- Identification of reasonable objectives.
- Reasonable justification for inclusion of consultants or partnerships if used.
- 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:

- Financial stability and fiscal integrity.
- Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.
- History of performance.
- Reports and findings from audits.
- The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.
- 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.

F. Federal Award Administration Information

Modification, Remedies for Noncompliance, Termination

This Agreement may be modified only by a written instrument executed by the parties. Modifications will be in writing and approved by the Senior Deputy Director/Deputy Director and the authorized representative of the awardee/recipient.

Additional conditions may be imposed by NIC if it is determined that the awardee is non-compliant to the terms and conditions of this agreement. Remedies for Noncompliance can be found in 2 CFR § 200.338.

This Agreement may be terminated consistent with applicable termination provisions for Agreements found in 2 CFR §§ 200.339 through 200.342.

If a termination is due to the awardee's material failure to comply with applicable Federal statutes, regulations, or the terms and conditions of this Federal award, the NIC will issue a written notification to the awardee of NIC's intent to terminate the agreement for material noncompliance in accordance with 2 C.F.R. § 200.340. A notice of NIC's intent to terminate the award for material noncompliance may be appealed to the NIC Director of the NIC within 30 calendar days of receiving the notice. The awardee may provide information and documentation challenging the termination action. The filing of an appeal with the NIC Director shall not stay any determination or action taken by NIC which is the subject of the appeal. Consistent with its obligation to protect the interests of the Federal Government, NIC may take such authorized actions as may be necessary to preserve the status quo pending decision by the NIC Director, or to preserve its ability to provide relief in the event the NIC Director decides in favor of the appellant. The decision of the NIC Director shall be the final decision of the NIC.

Rights in Data

The awardee must grant the Federal Bureau of Prisons, including the NIC, a royalty-free, non-exclusive and irrevocable license to publish, reproduce and use, and dispose of in any manner and for any purpose without limitation, and to authorize or ratify publication, reproduction or use by others, of all copyrightable material, or any subsequently trademarked titles, phrases, words, or symbols first produced or composed under this Agreement by the awardee, its employees or any individual or concern specifically employed or assigned to originate and prepare such material.

Payments

Under this agreement payments will be made in accordance with 2 C.F.R. § 200.305. Pursuant to 2 C.F.R. § 200.305(b)(6), NIC may withhold payments for allowable costs as a remedy for noncompliance in accordance with 2 C.F.R. § 200.338, or if one or more of the circumstances in 2 C.F.R. § 200.305(b)(6)(i) through (iv) apply, which includes the awardee's failure to comply with the project objectives, Federal statutes, regulations, or the terms and conditions of this agreement.

Awardee/Recipient Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights

This award and employees working on this financial assistance agreement will be subject to the whistleblower rights and remedies in the pilot program on Award Recipient employee whistleblower protections established at 41 U.S.C. 4712 by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239).

The Award Recipient shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under 41 U.S.C. 4712.

The Award Recipient shall insert the substance of this clause in all subawards or subcontracts over the simplified acquisition threshold.

Conflict of Interest

The awardee must establish safeguards to prohibit its employees and Subrecipients from using their positions for purposes that constitute or present the appearance of a personal or organizational conflict of interest. The awardee is responsible for notifying the Awarding Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the awardee or its employees in a position of conflict, real or

apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the awardee and/or awardee's employees and Subrecipients in the matter.

The Awarding Officer and the servicing Ethics Counselor will determine if a conflict of interest exists. If a conflict of interest exists, the Awarding Officer will determine whether a mitigation plan is feasible. Mitigation plans must be approved by the Awarding Officer in writing.

Failure to resolve conflicts of interest in a manner that satisfies the government may be cause for termination of the award. Failure to make required disclosures may result in any of the remedies described in 2 CFR § 200.338, Remedies/or Noncompliance, including suspension or debarment (see also 2 CFR Part 180).

Federal Award Notices

NIC award notification will be sent from NIC's Office via FedEx or USPS within 45 days of the award decision.

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:

- 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.

Plain Language

The successful applicant shall ensure that relevant deliverables (with information regarding a service, benefit, or requirement provided by the government) conform to the Plain Writing Act of 2010, meaning that it should contain only writing that is clear and that outlines information in manner that is easy to use. (See <http://www.nicic.gov/plainlanguage> and <https://plainlanguage.gov/law/> for details.) Relevant deliverables covered by this award will be determined in collaboration with the National Institute of Corrections.

Section 508

The successful applicant shall ensure that all information and communication technologies (ICT) (e.g., Word or PDF documents, video, audio, mobile technologies, or apps) fully conform to all applicable revised Section 508 standards prior to delivery and before final acceptance. See <https://www.section508.gov/>

The successful applicant shall test and validate all ICT in accordance with the required testing methods. For Microsoft Office and PDF documents, WCAG Level A and AA Conformance test results must be based on the Harmonized Testing Guidance from the AED ACOP (see <http://www.nicic.gov/section508> and <https://section508.gov/best-practices> for details).

Electronic and Information Technology: All electronic and information technology acquired or created through this cooperative agreement must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act <https://www.section508.gov/>

Create Accessible Documents

<https://www.section508.gov/create/documents>

Create Accessible PDF's

<https://www.section508.gov/create/pdfs>

WCAG: Web Content Accessibility Guidelines

<http://www.w3.org/WAI/WCAG21/quickref/?versions=2.0>

ICT: Information and Communication Technology Standards and Guidelines

<https://www.access-board.gov/guidelines-and-standards/communications-and-it/about-the-ict-refresh/final-rule>

Checklist of Requirements for Federal Websites and Digital Services

<https://digital.gov/resources/checklist-of-requirements-for-federal-digital-services/>

Paperwork Reduction Act

In accordance with the Paperwork Reduction Act (PRA), Cooperative Agreement awardee shall not proceed with collecting information from surveys, questionnaires, or interviews until Project Monitor obtains approval from Office of Management and Budget clearance. For any Cooperative Agreement award involving a requirement to collect or record information calling either for answers to identical questions from 10 or more persons other than Federal employees, or information from Federal employees which is outside the scope of their employment, for use by the Federal Government or disclosure to third parties, the Cooperative Agreement awardee must comply with the PRA of 1995 (44 U.S.C. 3501et seq.).

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.

G. 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.

H. 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

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 2020 National Sheriffs Institute

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 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.
- _____ Employee Compensation Waiver request

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

(This is the current NSI Program Description. Innovative suggestions are welcomed as part of the solicitation narrative.)

National Institute of Corrections
Jails Division

National Sheriffs' Institute

Program Description

Program Goal

The goal of the National Sheriffs' Institute (NSI) is to help enhance the ability of first-term sheriffs to be effective leaders.

Program Overview

The National Sheriffs' Institute is the only executive leadership program developed specifically for sheriffs. The NSI was first developed and presented in the early 1970s, with federal funding and through a partnership between the National Sheriffs' Association (NSA) and the University of Southern California. Since 1993, it has been housed in the National Institute of Corrections (NIC) Jails Division.. Over the years, the program has changed significantly and evolved in response to the needs of first-term sheriffs.

All the leadership concepts are taught within the framework of the sheriff's experience, and what participants learn at the NSI should be directly applicable to challenges they face as first-term sheriffs. The program begins (Module 2) with a focus on the sheriff as leader, with the intent of demonstrating:

1. The range and complexity of the sheriff's role as a leader, and
2. Given this range and complexity, that it is critical that the sheriff be an effective leader.

This module continues with a definition of "effective leader" and strategies for developing a "followership" (the five practices of exemplary leadership). Both introduce the concept of vision (briefly defined as the sheriff's leadership direction). Module 3, then, further develops the concept of defining one's leadership direction as central to effective leadership. Concepts presented in all remaining modules are taught in the context of their relationship to effective leadership and the sheriff's ability to achieve his/her leadership direction.

At the end of each module, excluding "Welcome and Introductions," participants complete a self-assessment based on concepts presented during the module. The self- assessments form the basis for their end-of-program leadership development plan, which they present to a small group of their peers and a faculty member.

Target Audience

Up to 30 first-term sheriffs attend the NSI. They may attend almost any time during the first term, and some attend shortly before taking office. The audience is potentially widely diverse in terms of size of office, size of jurisdiction, character of jurisdiction, level of experience in law enforcement, level of experience in a sheriff's office, education, and general work background.

Experience with the NSI and the results of a 2003 needs assessment of first-term sheriffs show that most NSI participants:

- Are elected officials (very few sheriffs are appointed);
- Are from smaller communities;
- Have had some college experience;
- Have a broad range of exposure to management or leadership—from little or none to some with advanced degrees in management;
- May not fully understand the range and complexity of the leadership responsibilities of the Office of Sheriff.

Program Agenda

[A program agenda is included in the instructor's manual.]

The program begins on Monday morning and ends the following Friday afternoon with graduation. Each day is a full classroom day. Each session begins at 7:50 am with announcements and the Pledge of Allegiance; session content begins at 8:00 a.m. and concludes by 5 p.m. There is also one mandatory evening session for the participants on the NSA and the Office of Sheriff. Participants are required to attend all classroom and evening sessions listed on the agenda and participate in graduation. Faculty are required to attend all classroom sessions and graduation.

Instructional Design

Instructional design is based on the Instructional Theory into Practice (ITIP) model. There is very little straight lecture in the NSI, and faculty are expected to be excellent facilitators to guide and draw out discussion in the group. With the exception of the first and last modules, each module has the following components:

- **Anticipatory Set**
This contains introductory material to help participants understand why the topic is important to them and, for the NSI, to their success as leaders. During the anticipatory set, the instructor also reviews the performance objectives, stating them as what the participants will do during the module (not as what the instructors will cover). The anticipatory set develops participant readiness to learn.
- **Instructional Input**
This includes content or information. It presents the concepts or skills to be learned. As a general rule, there should be no more than 30-40 minutes of instructional input without an activity that requires participants to apply concepts taught.

➤ **Guided Practice**

This is an activity that requires participants to apply concepts or skills taught, with guidance from the instructor. The guided practice results in a product that demonstrates learning.

➤ **Independent Practice**

This is an activity that requires participants to individually apply concepts or skills taught, with minimal guidance from the instructor.

➤ **Self-Assessment**

Participants complete a self-assessment worksheet based on concepts presented in class. The self-assessments together form their leadership development plan, which becomes a valuable tool and reference for participants when they return home.

➤ **Closure and Evaluation**

This concludes the module. The instructor may briefly summarize concepts taught. The instructor also asks participants for any final questions. Module evaluation forms are then handed out by NIC staff, completed by participants, and collected by NIC staff. The lead faculty member for that module reviews and summarizes the results of each module's evaluations, checking for consistency with performance objectives.

Program Materials

NIC provides instructors with all program materials, including a manual of lesson plans, a copy of the participant manual, a copy of the participant Leadership Development Plan (LDP) booklet, PowerPoints, and DVDs. NIC also provides the computer, projector, and technical support necessary throughout the class. NIC also provides all participant materials, including a manual and a separate Leadership Development Plan booklet. The manual follows the lesson plans and includes all exercises. NSA staff provide participant lists and demographic information. In addition, NSA staff conduct the pre-program contacting of sheriffs, administer any necessary pre-program assessments, and summarize that information for instructor use in class. NIC and NSA staff work together to make food/lodging/transportation arrangements for class participants, and during class, for faculty.

Faculty Responsibilities

Faculty must familiarize themselves with all lesson plans, the participant manual, and the LDP so they have a strong sense of the overall program and the relationships among the modules. In addition, faculty members are hired for their professionalism. They are expected to elevate the level of discussion, to avoid use of foul language, to keep the group focused, and to create an atmosphere that draws out excellence in the participants. The role of faculty member is not as "friend" or "buddy" but as guide. In addition, faculty who are outside consultants are not to use the NSI as a vehicle for actively recruiting business.

Faculty are required to follow the lesson plans provided. Lesson plans are written in script form. Although faculty are not required to read this verbatim, they are required to cover all the material, in the order presented, and in the time allotted (each lesson plan component is given a

timeframe). NIC does welcome and strongly encourages the instructors' comments about program content and delivery. We will seriously consider all instructors' comments as we refine the program before the next offering. [If faculty who are not teaching a particular module have something to add during a module, they must first defer to the instructor who is up front as well as keep any comments they add to a minimum so as to keep the class on schedule.]

All faculty are required to be present during all modules, participate in class discussions, and help facilitate small group exercises. The coaching component of the NSI is significant, and all faculty must be well-versed in executive coaching as well as facilitating.

Key moments for faculty are around the Case for Change homework and follow-up. There is often confusion about this continuing exercise, so faculty need to be well-grounded in an understanding of and purpose for the assignment. In addition, participants have a difficult time shifting from the specifics of their Case for Change in Module 9 to focusing on themselves and their personal development in Module 10. Faculty need to guide participants to help them make this shift.

In rare cases, there is a class member who is disrespectful, disruptive, or inconsistent in their attendance. These issues are referred to the NIC staff, NSA staff, and mentoring sheriff to deal with.

The Role of the Mentoring Sheriff

Each NSI has a mentoring sheriff. The mentoring sheriff brings both expertise and experience to the program. Through his/her own leadership presence and demeanor, the mentoring sheriff provides motivation and reinforcement for implementing leadership concepts and upholding the dignity of the Office of Sheriff. His/her presence is essential to

- 1) reinforcing the value of effective leadership practices and
- 2) helping participants translate leadership concepts into practical application.

As with the faculty, the mentoring sheriff is expected to elevate the level of discussion, to avoid use of foul language, to help keep the group focused, and to create an atmosphere that draws out excellence in the participants.

Specifically, the mentoring sheriff:

- Is familiar with all components of the NSI curriculum;
- Is present for all program modules;
- Observes all small group activities and assists, as needed;
- Is available to all participants during breaks and meals for individual questions and discussions;
- Helps organize and facilitate the mandatory evening session;
- Assumes full responsibility for organizing participant discussion groups at mealtimes and after class;
- Helps faculty keep the leadership development focus in class by ensuring that there is time for management and specific operational issues to be discussed outside of class;
- In rare cases, there is a class member who is disrespectful, disruptive, or inconsistent in their attendance. The mentoring sheriff takes on the role, with NIC/NSA staff of helping

the class member get back on track and behave differently, or of asking that person to leave the program.

- Helps the NSA staff organize the graduation;
- Is available to consult with individual participants as they create their end-of-program leadership development plans;
- Attends the graduation and may make a presentation, if asked;
- Provides feedback to NIC staff on program content and delivery.

Module Content

[Timing: Modules 1 and 2 are combined into one morning session; all other modules, with the exception of Module 9, take up either a morning or an afternoon; Module 9 spans an entire day: an afternoon and a morning session.]

MODULE 1: WELCOME AND INTRODUCTIONS

This module provides an overview of the program, agenda, and materials and includes both program staff and participant introductions.

MODULE 2: THE SHERIFF AS LEADER

This module focuses on the significance and range of the sheriff's leadership responsibilities and, therefore, the importance of becoming an effective leader. Participants are given Jim Collins' definition of "effective leader" as one who "catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards." The module also presents Kouzes and Posner's five practices of exemplary leadership as strategies to encourage support for the leader and his vision.

Before coming to the NSI, participants complete the Leadership Practices Inventory. Program staff score the inventories and determine scoring norms for the class. During the module, participants review their scores and compare them to scoring norms. At the end of the module, participants complete a self-assessment related to effective leadership and the five practice of exemplary leadership.

Note that "vision" is mentioned in Collins' definition of "effective leader" and in the five practices of exemplary leadership. During this module, we do not define "vision" or discuss it in depth, since we do that in the next module. However, we do briefly note that vision is essentially where the sheriff wants to lead the office or the leadership direction.

There are references to Collins' definition of an effective leader and the five practices of exemplary leadership throughout the program. This module and the one following it provide the foundation for the program.

MODULE 3: DEFINING YOUR LEADERSHIP DIRECTION

This module focuses on the need for the sheriff to define his/her leadership direction. It builds on the pre-program assignment that asks participants to describe what they want their office to be by the end of their term (the “desired state”), the current strengths that support this, and the challenges that must be overcome to achieve the desired state. Essentially, the assignment asks them to begin to think about the *difference they want to make*.

It is important to note that, in the NSI, we focus on the phrase “leadership direction” instead of on “vision.” We do this because there are a variety of definitions and interpretations of the term “vision,” and it is not our purpose to debate its meaning or how it may be used by various leadership experts. We define “leadership direction” in this module and tell participants that, *for the purposes of this program*, we consider it synonymous with “vision.”

Participants discuss the importance of setting their leadership direction and of creating a statement of leadership direction that: Is clear and easy to understand; Provides the focus for the organization’s efforts; Provides the impetus for significant achievement; Is attainable within a given period of time, such as the sheriff’s term of office; Can be supported by a plan for its achievement; Is compelling and inspiring.

During the module, participants review a sample leadership-direction statement, meet in small groups to discuss their completed pre-program assignments, and draft a statement of their leadership direction. Participants receive information on “next steps” in defining leadership direction and developing a final leadership-direction statement. At the end of the module, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement.

All other program topics are taught in the context of their relationship to the sheriff as an effective leader and the ability of the sheriff to achieve his leadership direction. This module and the one that precedes it provide the foundation for the program.

NOTE: The last 15 minutes of this module are set aside to explain a homework assignment. Participants are asked to complete a case for change related to their draft leadership direction. This will be the basis for their work in Module 9: Leading Change.

There is often confusion about this homework assignment, so faculty members need to be well-versed in the expectations to be able to guide participants effectively.

MODULE 4: SELF-AWARENESS

This module introduces the idea that, to be effective, a leader must understand his personality preferences and the effect of those preferences on his ability to lead. Participants complete the Myers-Briggs Type Indicator (MBTI®) before coming to class and are given their results during class. The instrument is discussed generally and several exercises help participants understand different personality dimensions and the applicability of this understanding to solving a leadership challenge. Finally, participants complete a self-assessment worksheet to develop

strategies to enhance their leadership capabilities by using their strengths and compensating for their weaknesses, as identified by the MBTI®.

MODULE 5: DEVELOPING YOUR EXECUTIVE TEAM

This module briefly acknowledges the dual role of members of the sheriff's executive team: 1) to provide expertise and leadership in a specific functional area and 2) to work as a team to develop, implement, and support the agency's leadership direction. The module focuses on the second role and covers factors in determining if the sheriff has the right team members and elements of effective work teams. At the end of the module, participants assess their executive teams against concepts presented in class and develop a plan for improvement.

MODULE 6: POWER, INFLUENCE, AND CONFLICT

This module explores power, influence, and conflict and their relation to the Office of Sheriff, effective leadership, and the achievement of the sheriff's leadership direction. Participants complete the *Power Base Inventory*® to assess their own preferred style of influencing others, then focus on the six power bases and how each might be used effectively: Authority, Reward, Discipline, Information, Expertise, Goodwill.

Prior to the NSI, participants will have also completed the Thomas-Kilman Conflict Mode Instrument. They will receive their scores and reports during this module. Participants will also explore ways to effectively use five different "modes" for addressing conflict: Competing, Collaborating, Compromising, Avoiding, Accommodating, and create a plan for optimizing use of power bases and conflict modes.

At the end of the module, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement. They also assess the strengths and weaknesses of executive team members related to use of power and develop a plan for improvement.

MODULE 7: ETHICS

This module focuses on ethics, including the effect of unethical behavior on the sheriff's ability to lead, an overview of ethics, and ethical challenges commonly faced by sheriffs due to the political nature of the Office of Sheriff and the power and authority the sheriff holds. At the end of the module, participants complete a self-assessment based on concepts presented during class and develop a plan for improvement.

MODULE 8: THE EXTERNAL ENVIRONMENT AND THE OFFICE OF SHERIFF

This module stresses the importance of understanding the external environment to the sheriff's ability to achieve his vision. Participants explore six external conditions that influence organizations and complete an exercise that allows them to preliminarily assess their knowledge of their external environment. The module then shifts the focus to public partnerships and covers stakeholder mapping, identification of critical stakeholders, steps in establishing partnerships with critical stakeholders, the partnership between the sheriff's office and the funding authority, and the partnership between the sheriff's office and the media. Also, one or media representatives conduct a discussion on strategies for improving the relationship between sheriffs and the media. At the end of the module, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement.

MODULE 9: LEADING CHANGE

[This module spans two sessions—Thursday afternoon and Friday morning.]

This module focuses on the three phases and two level of leading change and gives participants some specific strategies and tools for leading change within the sheriff's office. The three phases are: Preparing for Change, Implementing Change, and Sustaining Change. The two levels are: leading the change as a project and leading people through change. Participants discuss their case for change and a related change initiative (both completed before this module begins). All exercises in the module build on the change initiative each sheriff has identified. Participants also complete an instrument on leading change—Leading Change At Every Level. Finally, participants complete a self-assessment based on concepts presented in class and develop a plan for improvement.

MODULE 10: LEADERSHIP PLAN DEVELOPMENT

In this module, each participant creates his/her own personal leadership-development plan, based on the self-assessments completed during the program. Participants discuss their leadership development plan with a small group, including an instructor and several of their peers.

Faculty play a key role here: participants will have to make the shift to focus on their own PERSONAL development in this module—which is always difficult for them to do. Their personal plan needs to be about what they will do personally to become a more effective leader—what skills do they need to work on? What did they learn from their “challenges” in each module and how can they become more effective in those areas?

GRADUATION

All sheriffs who participate in and complete the NSI will graduate from the course on Friday afternoon, and receive a certificate. NIC staff, NSA staff, and Faculty each are given an opportunity to make a brief final comment of encouragement/challenge to the class.

U.S. Department of Justice

National Institute of Corrections

National Sheriffs' Association

NATIONAL SHERIFFS' INSTITUTE

Monday		
8:00 am	Module 1: Welcome and Introductions	
9:30 am	Module 2: The Sheriff as Leader	
12:15 pm	Lunch	
1:15 pm	Module 3: Defining Your Leadership Direction	
4:30 pm	Adjourn to the hotel	
5:30 pm	The Office of Sheriff and the NSA (at the hotel)	
Tuesday		
8:00 am	Module 4: Self-Awareness	
12:00 pm	Lunch	
12:45 pm	NIC Information Center and Library Visit	
1:15 pm	Module 5: Developing Your Executive Team	
4:30 pm	Adjourn	
Wednesday		
8:00 am	Module 6: Power, Influence and Conflict	
12:00 pm	Lunch	
12:45 pm	Module 7: Ethics	
3:15 pm	NIC Overview	
4:30 pm	Adjourn	
Thursday		
8:00 am	Module 8: External Environment and Public Partnerships	
12:00 pm	Lunch	
12:45 pm	Module 8: External Environment and Public Partnerships	
1:30 pm	Module 9: Leading Change	
4:30 pm	Adjourn	
Friday		
8:00 am	Graduation Pictures	

8:30 am	Module 9: Leading Change	
12:00 pm	Lunch	
12:45 pm	Module 10: Leadership Development Plan	
4:00 pm	Graduation	
4:30 pm	Adjourn	

National Sheriffs Institute – Jail Administration

Program Description

MODULE 1: WELCOME AND INTRODUCTIONS

This module provides an overview of the program, agenda, and materials and includes both program staff and participant introductions.

MODULE 2: THE SHERIFF AS LEADER

This module focuses on the significance and range of the sheriff's leadership responsibilities relative to jail operations. The Sheriff's leadership responsibilities extend beyond the jail, leveraging and fostering community partnerships and collaborations. Participants will come to the training prepared to discuss the degree to which they executed their Leadership Development Plan during the NSI-I program.

Participants will compare how they see their role with the jail in relation to the 10 Characteristics of an Effective Jail. The participants' perception of the jail will also be explored.

This module provides the foundation for the program, and participants will be introduced to the Sheriff's Guide to Effective Jail Operations.

MODULE 3: THE SHERIFF'S ROLE

This module focuses on the significant role of the participants in understanding and influencing the Sheriff's internal and external role related to the jail. During the module, participants will define stakeholders by developing a community map. Using a Sequential Intercept Model, the participants will meet in small groups to discuss how the local system impacts their jail.

Sheriffs also directly influence the climate, environment and culture of their agencies. Recognition of that influence and developing a strategy for deliberately shaping the culture of their Sheriffs' Office is a key responsibility of the Sheriff as an effective leader. Participants will develop key components of their operational philosophy to include basic fundamental beliefs, concepts, and principles that when operationalized, guide the behavior and performance of an organization.

At the end of the module, participants complete a self-assessment based on concepts presented in class.

MODULE 4: LEGAL IMPLICATIONS OF OPERATING A JAIL

Historically, many new Sheriffs view jail operations as "the operation that can get you unelected!" Effective Sheriffs understand the constitutional requirements and duties associated with operating a well-managed jail. The participants will explore their litigation philosophy and how to stay informed about case law and legislation. Case studies will be used to allow participants opportunities to problem-solve contemporary litigation issues.

At the end of the module, participants complete a self-assessment based on concepts presented in class.

MODULE 5: LEADERSHIP FOR THE JAIL

This module focuses on the critical role of the jail administrator for successful jail operations. Participants will discuss the qualities, characteristics, selection, responsibilities, and supervision of the jail administrator. As the supervisor of the jail administrator, the participants will explore key operations and resources that must be provided and regularly assessed. Through group activities, participants will examine strategies to encourage jail administrators to connect with stakeholders, stay informed and champion for the jail.

At the end of the module, participants complete a self-assessment based on concepts presented in class.

MODULE 6: CRITICAL ISSUES

Creating safe and secure jails does not happen by accident. Nor is it achieved strictly as a result of the steel, concrete and shatter resistance glass in the facility. Effectively managed, safe and secure jails exist because the Sheriff assumes a leadership role and ensures that their Office manages the critical aspects of jail operations.

This module explores how knowing the jail, understanding how it operates and potential problem areas. Using the Sheriff's Guide to Effective Jail Operations, participants will complete an assessment to determine their current level of knowledge and their confidence level about the jail. Using the remaining 10 Key Elements of Effective Jail Operations, participants will explore specific elements of jail operations and assess the status of their own jail's operation. In a small group activity, participants will brainstorm incentive and disincentives to gain inmate behavior compliance.

At the end of the module, participants complete a self-assessment based on concepts presented in class.

MODULE 7: ASSESSING YOUR JAIL OPERATION

Data collection, benchmarking, analyzing trends can provide a foundation for assessing and monitoring jail operations. In this module, each participant will apply a six-step internal

assessment/monitoring model to inform decision-making. Participants will explore the assessment practices of review, audit, inspect, observe, and interview to assesses current operations against intended outcomes. A corrective action plan will be completed to provide for compliance.

At the end of the module, participants complete a self-assessment based on concepts presented in class.

MODULE 8: LEADERSHIP PLAN DEVELOPMENT
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In this module, each participant develops a jail improvement plan, based on the self-assessments completed and information collected during the program. Participants discuss their jail improvement plan with a small group, including an instructor and several of their peers.

GRADUATION

All Sheriffs who participate in and complete the NSI II will graduate from the course Friday, and receive a certificate. NIC staff, NSA staff, and faculty each are given an opportunity to make a brief final comment of encouragement/challenge to the class.

NATIONAL SHERIFFS' INSTITUTE

Jail Administration

Agenda

Monday		
8:00 am	Module 1: Welcome and Introductions	
9:30 am	Module 2: The Sheriff as Leader	
12:00 pm	Lunch	
1:00 pm	Module 2: Sheriff as Leader	
2:00 pm	Module 2: The Sheriff's Role – The Community Map	
4:30 pm	Adjourn	
Tuesday		
8:00 am	Module 2: The Sheriff's Role continued	
11:00 am	Module 4: Legal Implications of Operating a Jail	
12:00 pm	Lunch	
1:00 pm	Overview of NSA and NIC - NIC Information Center and Library Visit	
2:00 pm	Module 4: Legal Implications of Operating a Jail	
4:30 pm	Adjourn	
Wednesday		
8:00 am	Module 5: Leadership for the Jail	
12:00 pm	Lunch	
12:45 pm	Module 6: Critical Issues in Jails	
4:30 pm	Adjourn	
Thursday		
8:00 am	Module 6: Critical Issues in Jails continued	
12:00 pm	Lunch	
1:00 pm	Module 7: Assessing Your Jail Operation	
4:00 pm	Module 8: Introduction to the Jail Improvement Plan	
4:30 pm	Adjourn	

Friday		
8:00 am	Module 8: Jail Improvement Plan	
11:30 pm	Graduation	
12:00 pm	Adjourn	