

**Bureau of Justice Assistance (BJA)**  
**Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders**  
**FY 2012 Competitive Grant Announcement**  
**Frequently Asked Questions (FAQs)**

**General**

- 1. What are the purposes and expectations for this program?**  
The Second Chance Act aims to assist people with successfully returning to their communities from prisons, jails and juvenile residential facilities. These grants provide resources to implement or expand treatment programs for re-entering offenders with co-occurring substance abuse and mental health disorders. By enhancing jurisdictions' abilities to provide necessary services to this population, the Second Chance Act anticipates a reduction in recidivism and better outcomes for reentering offenders with co-occurring substance abuse and mental health disorders.
- 2. What are the eligibility requirements under this program?**  
Applications are limited to states, units of local government, territories, and federally- recognized Indian tribes (as determined by the Secretary of the Interior).
- 3. What is the deadline for applying?**  
All applications are due by 11:59 pm eastern time on April 24, 2012. Please remember that all applicants must register with Grants.gov prior to submitting an application. Please register with grants.gov several weeks prior to the application submission deadline.
- 4. What is the potential project length for an award?**  
Awards under this grant category are for a period of 24 months.
- 5. What are the award amounts for projects?**  
Awards of up to \$600,000 will be made, contingent upon the availability of funds.
- 6. When will applicants be notified if they are successful?**  
Awards will be announced prior to the end of the fiscal year on September 30, 2012.
- 7. How quickly after receiving notice will a grant recipient be expected to launch their program?**  
Access to funds is dependent on final budget clearance. Award recipients should anticipate providing services no later than 90 days after receiving notice.
- 8. Can agencies that received Fiscal Year 2010 and/ or Fiscal Year 2011 awards under the Second Chance Act Section 201 also apply for funding again under the Fiscal Year 2012 solicitation?**  
Yes, FY 2010 and FY 2011 award recipients can apply for funding under the FY 2012 solicitation.
- 9. How do I find out which agency is my state's Substance Abuse Authority?**  
To find your single state authority for substance abuse, please visit the website of the National Association of State Alcohol/ Drug Abuse Directors (NASADAD) at <http://nasadad.org/> or visit <http://www.samhsa.gov/Grants/ssadirectory.pdf>.
- 10. What documentation is considered certification that the program is "clinically appropriate?"**  
Official documentation is a copy of each services provider organization's license, accreditation, and certification.
- 11. If we have to issue a competitive bid process when contracting for substance abuse or mental health treatment services, are we required to identify the treatment provider in the application?**

No. If a jurisdiction requires a competitive bid process for contracting with providers and services, please state that in the application and provide some discussion regarding the process and timeline for selecting providers and services.

### **Target Population**

**12. What is the target population for this program?**

The priority target population is incarcerated medium- to high-risk adults with co-occurring substance use and mental health disorders who are getting ready to return to their communities from prison or jail. Applicants must provide justification for selecting the target population and provide supporting documentation for their decision.

**13. Is the target population the total number of offenders with co-occurring disorders, or the total able to be served through this project?**

The target population as signified in this solicitation refers to the total number of people the jurisdiction is able to serve through the specific project.

**14. Is there a recommended number of participants?**

No. Jurisdictions should provide information around the estimated number of program participants and the reasoning behind the number of program participants.

**15. What is the definition of a “high-risk” offender?**

There is no official definition contained in the Second Chance Act for “high-risk” offenders. Individuals should be identified as high-risk through the use of a validated risk assessment tool that compares each individual’s risk of reoffending to the jurisdiction’s or agency’s overall population. Each applicant should identify the risk level of their target population and describe the eligibility criteria that will be used to select program participants.

**16. What constitutes a serious mental health disorder?**

There is no official definition contained in the Second Chance Act for “serious” mental health disorder. Applicants should refer to the definition adopted by their State Mental Health Authority.

### **Program-Specific Requirements**

**17. Are there specific requirements that must be adhered to for the program?**

Yes, applicants are required to clearly articulate how the following six principles of evidence-based correctional practice are integrated into the program design:

- Objectively Assess Criminogenic Risks and Needs
- Enhance Intrinsic Motivation
- Target Higher-Risk Offenders
- Address Offenders’ Greatest Criminogenic Needs
- Use Cognitive-Behavioral interventions
- Determine Dosage and Intensity of Services

Additional information on each of these six principles can be found in Appendix 1 to the solicitation.

Applicants should address the following program design elements in the proposal:

- Use Actuarial-Based Assessment Instruments for Reentry Planning
- Target Criminogenic Needs that Affect Recidivism
- Provision of Evidence-based Substance Abuse and Mental Health Treatment Services

- Evidence-based practices must be used for substance abuse and mental health treatment services.
- Programs should require drug and alcohol testing for program participants while they remain in custody or under community supervision.
- Applicants must indicate how dual diagnosis treatment will begin prior to release (pre-release services) and be continued after participating offenders are released into the community (post-release services).
- Pharmacological Drug Treatment Services
- Transition Planning Procedures
- Support of a Comprehensive Range of Recovery Support Services
  - Applicants must demonstrate partnerships with community-based substance abuse and mental health treatment programs.
- Provision of Sustained Aftercare, Case Planning/Management in the Community
  - Prison-based programs must provide residential treatment facilities set apart- in a completely separate facility or dedicated housing unit in a facility exclusively for use by participants- from the general correction population.
  - Offenders included in prison-based programs must be within 6-12 months of release.
  - All applicants must address how dual diagnosis treatment will continue after release into the community.
- Provision of Community Supervision Services which Follow Evidence-Based Practices

**18. What are the priority considerations?**

Priority consideration will be given to applicants who plan to use the following elements in their program:

- Target medium-to-high-risk offenders, as identified through use of a validated risk and needs assessment instrument, who have been dually diagnosed with serious mental health disorders and drug dependence.
- Target female offenders.
- Focus their program on geographic areas with high rates of offenders returning from prisons or jails.
- Jurisdictions implementing specialized probation services for the target population, as described in the Consensus Project's [\*Improving Responses to People with Mental Illnesses: The Essential Elements of Specialized Probation Initiatives\*](#).
- Jurisdictions proposing to partner with a research organization to conduct a rigorous local evaluation of their strategies (including community corrections supervision approaches) will also receive priority consideration.
- Provide a baseline recidivism rate for the proposed target population including documentation to support the development of the rate.
- Incorporate a "Pay for Success" model into their projects. Pay for Success projects represent a new way to potentially achieve positive outcomes with the criminal justice population at a lower cost to governments. For more information, see pages four and five and the Pay for Success Criteria in Appendix 3 of the solicitation.

You can also find additional information at the following web sites:

- [www.whitehouse.gov/omb/factsheet/paying-for-success](http://www.whitehouse.gov/omb/factsheet/paying-for-success)
- [www.whitehouse.gov/blog/2012/01/24/pay-success-new-results-oriented-federal-commitment-underserved-americans](http://www.whitehouse.gov/blog/2012/01/24/pay-success-new-results-oriented-federal-commitment-underserved-americans)

- [www.payforsuccess.org](http://www.payforsuccess.org)

**Note:** A webinar was held on Tuesday, March 6<sup>th</sup> to explain the “Pay for Success” model. During the webinar, representatives from the Nonprofit Finance Fund provided background information on the Pay for Success concept, and BJA (DOJ) officials discussed how to tailor applications to include a Pay for Success component. For more information on this webinar and correlating Pay for Success FAQs relating to Second Chance Act projects, please visit the following web links:

- <http://payforsuccess.org/resources/pay-success-and-department-justices-second-chance-act-webinar-recording>
- <https://www.bja.gov/Funding/12PayforSuccessFAQ.pdf>

#### **19. Are there Legal Requirements applicants must adhere to as part of the grant?**

- Applicants must certify that any treatment program proposed in the application is clinically appropriate, will provide comprehensive treatment, and has been developed in coordination with the Single State Authority for Substance Abuse and the State Mental Health Authority.
- Applicants should provide official documentation that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local, and tribal requirements, as appropriate. Official documentation is a copy of each service provider organization’s license, accreditation and certification.
- BJA also administers the Residential Substance Abuse Treatment (RSAT) for State Prisoners Program, the Justice and Mental Health Collaboration Program, the Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects, and the Second Chance Act Family-Based Offender Substance Abuse Treatment Program. If the applicant jurisdiction is, or becomes, a recipient of funds under any of these other programs for the purposes of provision of treatment and/or reentry services for incarcerated offenders, the applicant should clearly address how these initiatives will be coordinated to maximize efficiency, effectiveness, sustainability, and avoid duplication of resources.

#### **Performance Measures**

##### **20. What are the performance measures for this grant?**

A preliminary list of performance measures for this grant program appears on pages 13-15 of the solicitation. Please note that performance measures are finalized after jurisdictions apply for funding. By applying for the solicitation, all applicants agree that they will report on these measures when they are released in their final form. All applicants must demonstrate their methods for collecting data for performance measures.

##### **21. What software or tools should grantees use to track performance measures? Are these tools provided by BJA?**

Applicants will be required to report their performance measures in BJA’s Performance Measurement Tool (PMT). Performance measurement tool training materials and sessions are provided to all grant recipients.

##### **22. How often are performance measures reported?**

Grant recipients are required to submit three different types of reports to BJA: Financial Status Reports, Performance Reports, and Progress Reports. Progress reports are done semi-annually (6 month intervals), while Financial Status Reports and Performance Reports are completed quarterly (3 month intervals).

##### **23. Is there a specific amount of recidivism reduction as the goal for this project?**

The Second Chance Act only requires applicants to include as a “goal” of their strategic reentry plan that they reduce recidivism by fifty percent (50%) over five years. Applicants are not required to achieve a 50% reduction in recidivism rates. The 50% reduction in recidivism goal will be applied to

the target population identified in the application. This 50% reduction is a “goal” and not a requirement.

**24. Are grantees required to interpret and evaluate the data collected through the performance measures?**

Yes. Applicants are required to discuss their methods for collecting data for performance measures and describe how the program performance will be documented, monitored and evaluated, and identify the impact of the strategy once implemented. For more information, please refer to the solicitation.

**Budget/Allowable Uses**

**25. Is there a matching requirement for this grant?**

No.

**26. What are the approved uses for funds?**

Funds may be used for the following purposes:

- Treating co-occurring substance abuse and mental health disorders in prisons and jails
- Providing recovery support services, reentry planning and programming
- Providing post-release treatment and aftercare programming in the community
- Using assessment instruments for treatment and reentry planning
- Targeting criminogenic needs that affect recidivism
- Providing evidence-based substance abuse and mental health treatment services
- Transition planning procedures to ensure linkages to services and benefits upon reentry
- Offering a comprehensive range of programs
- Delivering sustained aftercare and case management in the community at least six months post release

**27. Are there any limitations on how award funds can be used for employee compensation?**

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

A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds.

**28. Should grant applicants budget for any particular training or technical assistance?**

Applicants must budget funding to travel to DOJ sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings in Washington D.C.

**29. Can the grant be extended beyond 24 months?**

Grantees can apply for a no-cost extension if additional time is needed to spend awarded grant funds.

**30. Will there be an opportunity to renew this funding to extend the program?**

Additional funding for grant programs is subject to the availability of funds within BJA’s budget.

**31. Will there be future opportunities to apply for funding under this program?**

All future BJA funding opportunities will be based on Congressional approved appropriations.

**32. Does there have to be an in-custody and out-of-custody component to the program, or can funds go to one or the other?**

Each program must have an in-custody and out-of-custody program component. Offenders in prison-based programs must be within 6-12 months of release. All programs must sustain post-release case management and supervision for a period of at least six months. Applicants are encouraged to make available a comprehensive range of programs, including cognitive and social learning techniques and medication management, among others.

**33. Can grant programs be used to enhance existing reentry programs, or are funds limited to new programs?**

Federal funds cannot be used to supplant existing services. Federal funds provided under the Second Chance Act are meant to be one of the sources of program funding. They may not be used to replace other funding sources.

**34. Can funding be used to cover the costs of meetings, conferences, or events hosted by the grantee?**

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

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

**Collaboration**

**35. Can a collaboration of entities apply as one applicant?**

Yes. Please note that only one state, unit of local government, territory or federally recognized Indian tribe must be designated as the "official" lead applicant. Priority consideration will be given to those applicants who demonstrate a high degree of collaboration among a variety of public, private, and faith-based organizations, to include at a minimum the state substance Abuse Authority, the State Mental Health Authority, and a provider organization for direct client integrated substance abuse and mental health treatment services appropriate to the proposed project.

**Technical Application Questions**

**36. Does the budget narrative count against the 15-page application limit?**

No.

**37. What is the selection process for grant awards under this program?**

BJA reviews applications to ensure applications submitted under this solicitation meet basic minimum requirements. Those applications that do are peer reviewed based on the solicitation requirements. The Assistant Attorney General makes all final grant award decisions.

**38. If the state is not applying, can more than one local jurisdiction apply in that state?**

Yes, it is possible for several cities, counties and the state to apply since all are independent jurisdictions.

**39. Is there a percentage breakdown for allocation to state versus local governments?**

No. BJA is cognizant of the need for geographical distribution as well as some level of equity among states, localities and tribes.

**40. How are submissions from multiple jurisdictions in the same state viewed?**

Submissions from multiple jurisdictions in the same state will be viewed on the individual merit of each application that meets solicitation requirements.

**41. Can one jurisdiction apply for two grants if they want to work with different populations, i.e. one for men and one for women?**

Jurisdictions are limited to applying to one award category per Second Chance Act section or solicitation.

**Application Assistance**

**42. Is there someone specific to contact with questions about the process or program?**

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to support@grants.gov. The Grants.gov Support Hotline hours of operation are 24 hours, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center (JIC) at 1-877-927-5657 or [JIC@telesishq.com](mailto:JIC@telesishq.com). The BJA Justice Information Center hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

**43. What resources are available to assist me with submitting a competitive grant application?**

BJA has several resources for assisting you with developing a competitive grant application. The BJA Grant Writing and Management Academy provides several training modules, including Before Applying for BJA Funds and Applying for BJA funds. These training modules assist you with developing an application and provide information on what steps to take prior to submitting an application. Those and additional modules can be found by going to <http://bj.ncjrs.gov/gwma/index.html>.

The Office of Justice Programs also developed Grants 101, available at [www.ojp.gov/grants101/](http://www.ojp.gov/grants101/). This resource includes sections on Before You Apply, Write the Proposal, and Submit Your Application.