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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for funding under the Second Chance Act for mentoring grants to nonprofit organizations and Indian tribes. This program furthers the Department's mission by providing services and programs to help facilitate the successful reintegration of offenders as they return to their communities.

## **Second Chance Act Adult Mentoring and Transitional Services for Successful Reentry Program FY 2013 Competitive Grant Announcement**

### **Eligibility**

Applicants are limited to nonprofit organizations and federally recognized Indian tribes (as determined by the Secretary of the Interior). Applicants must adhere to all of the eligibility and funding requirements of the Second Chance Act and any additional requirements that may be established through appropriations measures.

BJA expects to make awards for applications submitted under this solicitation in FY 2013 and FY 2014, dependent on the merit of the applications and on the availability of appropriations.

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 25.) All applications are due by 11:59 p.m. eastern time on March 21, 2013. (See "Deadlines: Registration and Application," page 4).

### **Contact Information**

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

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

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# Second Chance Act Adult Mentoring and Transitional Services for Successful Reentry Program (CFDA #16.812)

## Overview

The Second Chance Act of 2007 ([Pub. L. 110-199](#)) provides comprehensive responses to the increasing number of incarcerated adults who are released from prison, jail, and juvenile residential facilities and returning to communities. There are currently over 2.3 million individuals serving time in our federal and state prisons, and millions of people cycling through local jails every year. Ninety-five percent of all offenders incarcerated today will eventually be released and will return to communities. The coordination of reentry services for members of Native American tribes is even more complex given that they can return from federal, Bureau of Indian Affairs (BIA), state, local, and tribal facilities. Programs funded under the Second Chance Act help ensure that the transition individuals make from prison and jail to the community is successful and promotes public safety.

Section 211 of the Act authorizes grants to nonprofit organizations and federally recognized Indian tribes that may be used for mentoring programs to promote the safe and successful reintegration into the community of adults who have been incarcerated.

## Collaboration with Other Federal Agencies

### OJP Reentry Programs (Adults and Juveniles)

BJA and the Office of Juvenile Justice and Delinquency Prevention (OJJDP) are collaborating closely on the Second Chance Act implementation. BJA and OJJDP will continue to collaborate to ensure that both juvenile and adult reentry efforts are supported. Similarly, both BJA and OJJDP are working with the National Institute of Justice (NIJ) in support of the research and evaluation activities called for in the Act. For more information on BJA's implementation of the Second Chance Act initiatives and Frequently Asked Questions, visit BJA's Second Chance Act web page at [www.bja.gov/ProgramDetails.aspx?Program\\_ID=90](http://www.bja.gov/ProgramDetails.aspx?Program_ID=90).

- BJA and OJJDP are also collaborating on oversight of the [National Reentry Resource Center \(NRRC\)](#) for the provision of training and technical assistance (TTA) to Second Chance Act grantees. The NRRC, funded by BJA, provides education and TTA to states, tribes, territories, local governments, service providers, nonprofit organizations, and corrections institutions working on reentry.
- For those interested in submitting applications for specific "juvenile"-related mentoring reentry projects, visit the OJJDP web site at [www.ojjdp.gov](http://www.ojjdp.gov).
- In the area of reentry of tribal members, BJA and the Federal Workgroup on Corrections completed the *Tribal Law and Order Act (TLOA) Long Term Plan to Build and Enhance Tribal Justice Systems* (Tribal Justice Plan), which offers recommendations and action steps to support the successful reentry of tribal members. The Tribal Justice Plan is located at [www.bja.gov/Publications/FinalTLOATribalJusticePlan.pdf](http://www.bja.gov/Publications/FinalTLOATribalJusticePlan.pdf).

### Federal Partners Reentry Funding Opportunities

Applicants are encouraged to be cognizant of other federal agency opportunities that also provide funding for reentry or reentry-related activities. If possible, examine these agency's web sites and

use as many resources as possible to fill gaps and address different needs. Some examples of these additional federal agencies include the following:

- U.S. Department of Labor (DOL): reentry employment resources, including awards to faith-based and community organizations (FBCOs) - [www.doleta.gov/grants/find\\_grants.cfm](http://www.doleta.gov/grants/find_grants.cfm)
- U.S. Department of Substance Abuse and Mental Health Services Administration (SAMHSA): substance abuse and mental health resources - [www.samhsa.gov](http://www.samhsa.gov)
- U.S. Department of Housing and Urban Development (HUD): housing resources - [portal.hud.gov/portal/page/portal/HUD](http://portal.hud.gov/portal/page/portal/HUD)
- U.S. Department of Health and Human Services (HHS): general health, child support resources, etc. - [www.hhs.gov/](http://www.hhs.gov/)
- U.S. Department of Education: correctional education resources - [www2.ed.gov/about/offices/list/ovae/pi/AdultEd/correctional-education.html](http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/correctional-education.html)
- Office of Juvenile Justice and Delinquency Prevention (OJJDP): juvenile-related resources - [www.ojjdp.gov](http://www.ojjdp.gov)
- National Institute of Corrections (NIC): training, technical assistance, information services, and other resources - [nicic.gov/](http://nicic.gov/)

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on March 21, 2013. See “How To Apply” on page 25 for details. Note that while the deadline for submission is 11:59 p.m. eastern time on March 21, 2013, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see “Contact Information” on the title page for more information about BJA’s Justice Information Center).

## Eligibility

Refer to the title page for eligibility under this program. Organizations that have current Second Chance Mentoring Program grants from BJA are eligible to apply for new, competitive funding under this solicitation. In making selection decisions, BJA/OJP will consider, among other possible factors, the extent to which additional funding is warranted (for existing projects) and will consider grantee performance within the current grant.

## Adult Mentoring and Transitional Services for Successful Reentry Program—Specific Information

The Second Chance Act grant programs are designed to help communities develop and implement comprehensive and collaborative strategies that address the challenges posed by offender reentry and recidivism reduction. “Reentry” is not a specific program, but rather a research-driven process that starts when an offender is initially incarcerated and ends when the offender has been successfully reintegrated in his or her community as a law-abiding citizen. The reentry process includes the delivery of a variety of research- and evidence-based program services in both pre- and post-release settings, designed to ensure that the transition from prison

or jail to the community is safe and successful. Mentoring of offenders can be a significant element of a successful reentry strategy.

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

This solicitation is aimed at promoting more effective and successful reentry for offenders through the establishment and maintenance of pre- and post-release mentoring relationships. The specific objective of the program is to recruit and train individuals as mentors and match them with participants in pre- and post-release services. Program efforts should establish or improve the administration of mentoring programs, including expanding mentoring strategies and program design; enhancing and improving organizational capacity, system efficiency, and cost effectiveness of mentoring programs; improving training programs and supports for mentors; and improving outcomes for offender participants in mentoring programs.

“Mentoring” refers to a developmental relationship in which a more experienced person helps a less experienced person develop an enhanced sense of self-worth and specific knowledge and skills to increase their chance of successful reentry. Mentoring is a process for the informal transmission of knowledge, social capital, and the psychosocial support perceived by the recipient as relevant to work, career, or professional and personal development with the primary goal of preparing an offender (pre-release) for reentry and supporting him/her during the reentry process to enhance success. Mentoring involves communication and is relationship-based and can take many forms. It may consist of a one-to-one relationship or can also occur in a small group setting. All participants in Second Chance Act-funded mentoring programs must participate in the program both pre- and post-release.

While mentoring will not look the same across all programs, there are some underlying principles of quality mentoring that provide the foundation around which effective mentoring systems are built. These principles include:

- Strong partnership between the mentoring organization, the responsible department/entity for the state/local/tribal correctional facility and correctional facility.
- Program support and commitment to the mentoring process.
- Careful selection of qualified mentors, and processes to match mentors and offenders.
- Training for mentors.
- Mentoring content (i.e., resources, materials, training, etc.) based on recognized adult basic education instructional skills and knowledge, and content and strategies individualized to the needs of participants.
- Ongoing data collection and evaluation systems to foster continuous improvement.

In FY 2013, two categories of mentoring programs are solicited. Category 1 solicits applications that propose to provide mentoring to adult offenders generally. Category 2 solicits applications that propose to focus on a specific subset of adult offenders who are also fathers and mothers, and particularly those non-custodial parents who may otherwise be disengaged from responsible parenting altogether. Applicants may apply under Category 1 or Category 2, but not both.

## Mandatory Requirements

To receive an award under Category 1 or Category 2, applicants must include the following seven mandatory requirement program components:

1. Include a Memorandum of Agreement (MOA) or other form of documentation (more binding than a letter of support) that demonstrates an established collaborative relationship with a correctional agency as well as the specific facility or facilities in which the applicant proposes to work. The MOA should include the nature of the partnership, discuss the access that will need to be granted to mentors to correctional facilities to meet and develop mentoring relationships with mentees prerelease, and should discuss the data that the correctional agency will provide or assist the grantee in obtaining for the grant performance measures.

**The extent to which the applicant is able to demonstrate a functional partnership and access to mentees within correctional facilities prerelease as well as the ability of the correctional agency to share data for performance measures purposes will be a key factor in assessing the strength of the application and its potential for success. Applications that do not include an MOA (or other acceptable form of documentation) will not be selected for funding.**

2. Provide both pre- and post-release services that include connecting mentors and mentees prior to release from the correctional facility, through transition back to the community, and post-release. Applications that do not include both pre- and post-release components (i.e., pre-release services only) will not be selected for funding.
3. Include transitional services to assist in the reintegration of offenders into the community. Applicant agencies/organizations are expected to demonstrate their capability to deliver or broker the provision of transitional services proposed to be offered in conjunction with the core mentoring component. Examples of “transitional services” designed to increase success in reentry and thus reduce recidivism include: housing placement services, education, substance abuse treatment, mental health treatment, services to enhance family reunification, job readiness and skills training, and post- release case management.
4. Identify the number of mentors who will be recruited, and provide a timeline for recruiting mentors, and a list of the community partners the applicant will engage in recruiting mentors.
5. Provide an outline of the training curriculum that will be provided to all mentors, which should include, at a minimum, the following components which are designed to build/increase/enhance mentoring:
  - a. Knowledge of the criminal justice system as a whole, the corrections and reentry process;
  - b. Knowledge about relevant governing policies and procedures of the correctional agencies/facilities referring mentees;
  - c. Interpersonal communication skills so as to enhance mentor effectiveness;
  - d. Awareness and sensitivity of victim-related issues. Applicants are encouraged to seek constructive methods of incorporating victims’ perspectives into the mentoring process, in close coordination with the corrections agency(ies) and community victim services agencies;
  - e. Awareness of available transitional services and referral procedures to other agencies/organizations;
  - f. Ethical standards and the nature of the mentor/mentee relationship; and
  - g. Safety.

6. Provide a plan for tracking participant outcomes for at least 12 months following release, and describe the process for obtaining information about recidivism from the relevant corrections and/or supervision agencies. As described in the Performance Measures section below, grantees will also be obligated to provide the number of participants who are re-incarcerated within the 12-month period following their initial release.
7. Provide a baseline recidivism rate for the proposed target population including documentation to support the development of the rate. All grantees will be required to provide a baseline recidivism rate upon award.

### **Priority Considerations**

Priority consideration will be given to applications that:

1. Include a plan to implement activities that have been demonstrated effective in facilitating the successful reentry of offenders. Refer to Appendix 2 - Second Chance Act Grantees: What You Need to Know to Ensure Your Program is Built on Principles of Effective Practice.
2. Provides for an independent evaluation of the project that includes, to the maximum extent feasible, random assignment of offenders to program delivery and control groups (as per the Second Chance Act, Section 211).

### **Unallowable Uses for Award Funds**

In addition to the unallowable costs identified in the [OJP Financial Guide](#), award funds may not be used for the following:

- Prizes/rewards/entertainment/trinkets (or any type of monetary incentive)
- Client stipends
- Gift cards
- Vehicles
- Food and beverage

### **Resources for Civil Legal Aid**

In May 2012, new guidance was issued to inform Second Chance Act grantees that a wide range of legal services may be an appropriate use of funds where such services further the Second Chance Act's purpose to "break the cycle of criminal recidivism, increase public safety and help States, local units of government, and Indian Tribes, better address the growing population of criminal offenders who return to their communities."

Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. The guidance clarifies that an allowable use of Second Chance Act funds for reentry services includes referral to and payment of legal services related to the purpose of the grant, such as: securing a driver's license, expunging criminal records, litigating inappropriate denials of housing or employment and violations of the Fair Credit Reporting Act, creating and/or modifying child support orders, and other family law services that help stabilize individuals and families.

This guidance is available at [www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf](http://www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf).

## Evidence-Based Programs or Practices

OJP places a strong emphasis on the use of data and evidence in policy making and programming in criminal justice. OJP is committed to:

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

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

## Award Categories

### **Category 1: Adult Offender Mentoring. Competition ID: BJA-2013-3484**

Category 1 applications must meet all the mandatory requirements above and will be assessed for how many priority considerations are met.

### **Target Population**

The target population for Category 1 applications must be a specific subset of the population of individuals aged 18 and older convicted as an adult and imprisoned in a state, local, or tribal prison or jail. For federally recognized Indian tribes, the individuals may be housed in a tribal, regional, county, or local jail pursuant to state or tribal law. Applicants must identify and define the specific subset of offenders, or combination of subsets, that are proposed to be the target population of their project. For example, applicants may choose to specifically target offenders who are:

- A specific demographic or set of demographics (age, gender, etc.).
- Returning to a specific community or neighborhood or zip code.
- Housed in the same facility.

Applicants must justify in the proposal the reason for selecting this target population and provide data to support its decision. Applicants must provide the total number of offenders the project expects to serve during the grant award period and provide evidence to show that they will have that many offenders released from prison/jail during the timeframe.

The Second Chance Act requires applicants to respond to specific performance outcomes related to the long-term goal of stabilizing communities by reducing recidivism and reintegrating offenders into the community. Each grant recipient will be required to report on its progress toward achieving its strategic performance outcomes listed in the Performance Measures section below.



**Note:** Applicants must provide the projected targeted goal of the number of the target population to be served in the Project Abstract.

**Category 2: Mentoring of Adult Offenders: Promoting Successful Reentry Through Responsible Fatherhood/Motherhood. Competition ID: BJA-2013-3485**

The growth in incarceration over the past two decades has significant implications for families and children of the formerly incarcerated. One clear consequence of imprisonment is that relationships with families and the broader community are strained. Most inmates are parents—about half of male inmates and two-thirds of female inmates leave at least one child behind when they enter a correctional facility. Incarcerated mothers and fathers typically have a different level of involvement with their children before incarceration, which affects the subsequent care giving arrangement, ongoing contact during imprisonment, and reunification upon release.

There is also evidence to suggest that children of incarcerated parents are at high risk of future delinquency and/or criminal behavior. Research has also shown that in many cases, the successful reunification of ex-offenders with families is an indicator of success across the board, correlating with lower drug use, greater likelihood of finding jobs, and reduced criminal activity for newly released offenders. In fact, a recent study supported by HHS found that people who were married or in committed relationships were half as likely to use drugs or commit new crimes after they returned to their communities. Family connections—and responsible and engaged parenting—improve public safety.

This special emphasis is consistent with and in furtherance of President Obama’s policy initiative on Responsible Fatherhood. This initiative, with leadership from the White House’s Office of Faith-based and Neighborhood Partnerships, serves to promote responsible fatherhood to strengthen families and support at-risk youth. More information on this initiative can be found at [www.whitehouse.gov/administration/eop/ofbnp/policy/fatherhood](http://www.whitehouse.gov/administration/eop/ofbnp/policy/fatherhood). Additional information about national fatherhood programs can be found at the National Responsible Fatherhood Clearinghouse at [www.fatherhood.gov](http://www.fatherhood.gov).

**Target Population**

The target population for the initiative must be a specific subset of the population of individuals aged 18 and older convicted as an adult and imprisoned in a state, local, or tribal prison or jail **and** who are also parents of minor children. For federally recognized Indian tribes, the individuals may be housed in a tribal, regional, county, or local jail pursuant to state or tribal law. Applicants must identify and define the specific subset of offenders, or combination of subsets, that are proposed to be the target population of their project. Applicants may choose to specifically target offenders with special needs, such as parents who are:

- Pregnant or parenting a very young child (those with children under the age of 6 may require additional support services).
- Non-custodial parents (those with child support obligations may require additional support services).
- Single parents with parental rights and responsibilities.
- Returning to a specific community or neighborhood or zip code that, because of economic or social conditions, may put offenders at higher risk for reoffending.

Applicants must justify in the proposal the reason for selecting this target population and provide

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data to support its decision. Applicants must provide the number of offenders the project intends to serve and provide evidence to show that they will have that many offenders released from prison/jail during the timeframe.

**Note:** Applicants must provide the projected number of participants to be serviced in the Project Abstract.

### **Mentors**

Applicants must identify and define the population of people that will serve as mentors. Mentors for Category 2 should ideally possess specific life experiences or skills that lend themselves to working with the specific needs of this population—offenders who are parents. This could include:

- Ex-offenders who are parents and have successfully reentered society
- Parents
- Nurses
- Other volunteers

The Second Chance Act requires applicants to respond to specific performance outcomes related to the long-term goal of stabilizing communities by reducing recidivism and reintegrating offenders into the community. Each grant recipient will be required to report on its progress toward achieving its strategic performance outcomes listed in the Performance Measures section below.

### **Award Amount and Length**

Applicants may apply in one of four categories, depending upon their jurisdictional status:

- Adult Offender Mentoring: Category 1A— General nonprofit organizations serving adult offenders.
- Adult Offender Mentoring: Category 1B—Federally recognized Indian tribes and/or tribal organizations serving adult offenders.
- Fatherhood/Motherhood: Category 2A—General nonprofit organizations serving adult offenders.
- Fatherhood/Motherhood: Category 2B—Federally recognized Indian tribes and/or tribal organizations serving adult offenders.

Awards under this program will be made for a period of 24 months with the possibility of no-cost extensions. Contingent upon the availability of funds and the number of offenders projected to be served, awards of up to \$300,000 will be made.

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. Pending the outcome of the FY 2013 appropriations process, BJA may make as few as no awards or make as many as 25 awards this fiscal year under this program.

## Budget Information

**Limitation on Use of Award Funds for Employee Compensation; Waiver:** With respect to any award of more than \$250,000 made under this solicitation, 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. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: 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. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Assistant Attorney General (AAG) for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

### Minimization of Conference Costs

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This guidance sets out the current OJP policy, which requires all funding recipients that propose to hold or sponsor conferences (including meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages 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

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meeting. Additionally, this restriction does not affect direct payment of per diem amounts to individuals in a travel status under your organization’s travel policy.

**Costs Associated with Language Assistance (if applicable)**

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

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" web page at [www.ojp.gov/funding/other\\_requirements.htm](http://www.ojp.gov/funding/other_requirements.htm).

**Match Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. Once included, the match may not be removed without prior approval from BJA.

**Performance Measures**

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT) located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). The following measures are examples of some of the core performance measures for the Second Chance Act Adult Mentoring Program, but applicants should examine the complete list at [www.bjaperformancetools.org/help/scamentoringquestionnaire.pdf](http://www.bjaperformancetools.org/help/scamentoringquestionnaire.pdf).

| Objective   | Performance Measures   | Data Grantee Provides   |
|---|--|---|
| <p>Recruit and train individuals as mentors for assignment to participants in pre- and post-release services.</p> <p>Establish or improve the administration of mentoring programs, including the expansion of mentoring strategies and program design.</p> <p>Enhance and improve the organizational capacity, system efficiency, and cost effectiveness of mentoring programs through training and technical assistance and other strategies.</p> | <p>Percentage of participants who were enrolled in the program</p> | <p>A. Number of new participants enrolled in pre-release services</p> <p>B. Total number of participants enrolled in pre-release services</p> |

|  |  |  |
|--|--|--|
|  | <p>Percentage of participants who successfully completed the program</p> <p>Percentage of participants who unsuccessfully completed the program</p> <p>Percentage of program incompletes</p> | <p>A. Number of participants who successfully completed the program</p> <p>B. Number of participants no longer in the program due to failure to meet program requirements</p> <p>C. Number of participants no longer in the program due to court or criminal involvement (arrest, conviction, revocation, reincarceration)</p> <p>D. Number of participants no longer in the program due to a lack of engagement (no shows and nonresponsive participants)</p> <p>E. Number of participants no longer in the program due to absconding</p> <p>F. Number of participants no longer in the program due to relocating or case transfer</p> <p>G. Number of participants no longer in the program due to death or serious illness</p> <p>H. Number of participants who did not complete the program for other reasons (please specify)</p> <p>I. Specify other reasons</p> |
|  | <p>Recidivism rate for program participants</p>  | <p>A. Number of program participants still participating in the program</p> <p>B. Number of participants who were rearrested while still participating in the program</p> <p>C. Number of participants who were convicted while still participating in the program</p> <p>D. Number of participants who had a revocation of the terms of supervised while still participating in the program release</p> <p>E. Number of participants who were reincarcerated while still participating in the program</p>   |

|  |   |   |
|--|---|---|
|  | <p>Recidivism rate for participants who successfully completed the program</p>          | <p>A. Number of participants that successfully completed the program</p> <p>B. Number of participants who were rearrested and successfully completed the program</p> <p>C. Number of participants who were convicted and successfully completed the program</p> <p>D. Number of participants who had a revocation of the terms of supervised and successfully completed the program</p> <p>F. Number of participants who were reincarcerated and successfully completed the program</p> |
|  | <p>Recidivism rate for the participants who have exited the program unsuccessfully.</p> | <p>A. Number of participants that unsuccessfully completed the program</p> <p>B. Number of participants who were rearrested and unsuccessfully exited the program</p> <p>C. Number of participants who were convicted and unsuccessfully exited the program</p> <p>D. Number of participants who had a revocation of the terms of supervised and unsuccessfully exited the program</p> <p>E. Number of participants who were reincarcerated and unsuccessfully exited the program</p>   |

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page 15 for additional information.

**Note on Project Evaluations**

Applicants that propose to use federal funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that web page.

## Notice of Post-Award Reporting Requirements

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov/](http://www.fsrs.gov/).

Note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

## 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 to using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the applications elements that BJA has designated by BJA to be critical, will neither proceed to peer review, nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet and Budget Narrative, and Memorandum of Agreement. Applicants may combine the Budget Detail Worksheet and Budget Narrative in one document. However, if an applicant submits only one document, it must contain **both** narrative and detail information.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable). Also:

- Applicants should ensure that all information is correct, check spelling, and pay careful attention to the legal name, award amount, address and the points of contact.
- Applicants should select the appropriate Point of Contact (POC) and the Authorized Representative (Note: These two contacts should not be the same individual).
  - The authorized representative must have the authority to enter the state, county, municipality, or other eligible unit of local government into a legal contract with the federal government. This person is typically a county commissioner, mayor, city manager, or other similarly designated official.
  - The POC will serve as the primary point of contact and will be responsible for grant management duties such as a submission of reports. Please make sure that the name, contact information, title, and solicitation is correct.

## 2. Project Abstract

The abstract must provide an overall summary of the project and include the project's purposes, goals, and deliverables. The abstract may be single or double-spaced, but should use a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and should not exceed 2 pages. BJA strongly recommends a submission of Abstract in a "Word" document format.

**The abstract must include the following clearly labeled and delineated information:**

- Category under which the applicant is applying
- Target population characteristics
- Projected number of participants to be serviced through the project
- Geographic location
- Projected number of mentors to be recruited, trained and matched to mentees
- Projected number of mentees to be matched to mentors
- Whether the agency/correctional facility is a state, local, or tribal entity
- Description of both the pre- **and** post-release services to be provided
- Description of the transitional service(s) to be used to assist in the reintegration of offenders into the community
- Description of the training regarding offender and victims issues
- Confirmation that an official MOA has been obtained from the correctional agency and/or facility
- Summarization of how each individual Mandatory Requirement is met
- Summarization of each individual Priority Consideration that has been met

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



All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

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

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

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

### **3. Program Narrative**

The program narrative must respond to the solicitation and the Selection Criteria (1-4) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and should not exceed 15 pages. Please number pages "1 of 15," "2 of 15," etc.

If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

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

- a. Statement of the Problem
- b. Program Design and Implementation
- c. Capabilities and Competencies
- d. Impact/Outcomes, Evaluations, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures.  
BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA 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.

Further information is available under the Selection Criteria section, page 20.

#### 4. Budget Detail Worksheet and Budget Narrative

##### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. Applicants should utilize the following approved budget categories to label the requested expenditures:

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Consultants/Contracts
- Other Costs, and
- Indirect Costs

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 3-day meetings in Washington, DC.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [OJP Financial Guide](#) for more information.

##### 1. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of 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 to reflect the entire grant period; however, the budget summary page totals should reflect the entire grant period.

#### 5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the rate approval 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. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

## **6. Tribal Authorizing Resolution (if applicable)**

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, a 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, then the application should include appropriate legal documentation, as described above, from all tribes that would receive services/assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **7. Additional Attachments: Project Timeline, Position Descriptions, and Memorandum of Agreement**

Ensure that the following documents are completed and attached:

- Project Timeline with each project goal, related objective, activity, expected completion date, responsible person, or organization.
- Position Descriptions for key positions.
- Memorandum of Agreement (MOA) from all key partners, detailing the commitment to work with the applicant to promote the mission of the project (see page 6).
- Applicant disclosure of pending applications:  
Applicants are to disclose whether they have pending applications for federally funded assistance 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 be subawarding federal funds).

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

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
- The point of contact information at the applicable funding agency

| 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  | Jane Doe, 202/000-0000; <a href="mailto:jane.doe@usdoj.gov">jane.doe@usdoj.gov</a> |
| HHS/ Substance Abuse & Mental Health Services Administration | Drug Free Communities Mentoring Program/<br>North County Youth Mentoring Program | John Doe, 202/000-0000; <a href="mailto:john.doe@hhs.gov">john.doe@hhs.gov</a>     |

Applicants should include the table as 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] does not have pending applications within the last 12 months for federally funded assistance that include requests for funding or 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.”).

### 8. Other Standard Forms

Additional forms that OJP may require in connection with an award are available on OJP’s funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms:

- a. [Standard Assurances\\*](#)  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements\\*](#)  
Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.
- c. [Accounting System and Financial Capability Questionnaire](#)  
Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years, must download, complete, and submit this form.

\*These OJP Standard Assurances and Certifications are forms which applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

## Selection Criteria

The following five selection 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, “Statement of the Problem,” is worth 20 percent of the entire score in the application review process.

## 1. Statement of the Problem (20 percent out of 100)

- Describe the problems offenders in the target population face when returning to the community.
- Provide a baseline recidivism rate for the proposed target population including documentation to support the development of the rate.
- Indicate the jurisdiction or tribal community to be served, include details on the target population and the number of offenders returning to the community, and describe the number and type of offenders in facilities.
- Summarize the basic components of the state, local, or tribal reentry initiative as currently being implemented.
- Describe the existing continuum or menu of services (pre- and post-release) available to offenders corresponding to the individual's risk and need assessment, job development, cognitive behavioral therapy, life skills (including financial training), education, mental health and substance abuse treatment, and family counseling; transitional and permanent housing links; ongoing offender behavior assessments; and data collection and analysis for future efforts.
- Describe how the mentoring program proposed in this project application will interface with the existing reentry process.

## 2. Program Design and Implementation (30 percent out of 100)

Appendix 1 contains a list of additional resources that applicants may find helpful in designing specific reentry interventions as part of a comprehensive program proposal.

- Describe the project implementation plan including: the process the applicant will use to identify potential mentees and mentors; the mentor training curriculum components and delivery and any continual mentor professional development opportunities and supports that will be provided, how mentors and mentees will be matched, and the intended ratio between mentors and mentees.
- Identify the number of mentors who will be recruited, and provide a timeline for recruiting mentors, and a list of the community partners the applicant will engage in recruiting mentors.
- Describe how the proposed project will provide both pre- and post-release services that include connecting mentors and mentees prior to release from the correctional facility, through transition back to the community, and post-release.
- Describe the transitional services, in addition to mentoring, that will be provided to assist in the reintegration of offenders into the community. Applicant agencies/ organizations must demonstrate their capability to deliver or broker the provision of transitional services proposed to be offered in conjunction with the core mentoring component.

- Provide an outline of the training curriculum that will be provided to all mentors, which should include, at a minimum, the following components which are designed to build/increase/enhance mentor:
  - Knowledge of the criminal justice system as a whole, the corrections and reentry process;
  - Knowledge about relevant governing policies and procedures of the correctional agencies/facilities referring mentees;
  - Interpersonal communication skills so as to enhance mentor effectiveness;
  - Awareness and sensitivity of victim-related issues. Applicants are encouraged to seek constructive methods of incorporating victims' perspectives into the mentoring process, in close coordination with the corrections agency(ies) and community victim services agencies;
  - Awareness of available transitional services and referral procedures to other agencies/organizations;
  - Ethical standards and the nature of the mentor/mentee relationship; and
  - Safety.
- Demonstrate how the proposed project activities incorporate proven effective correctional practices in facilitating the successful reentry of offenders. Provide a description of the research- or evidence-based methodology to be utilized in the delivery of mentoring and other proposed transitional services. See Appendix 2 for additional information.
- Provide a description of how the project could be broadly replicated if demonstrated to be effective.
- Describe in detail how the **Priority Considerations** specified on page 7 of this solicitation have been met.

### 3. Capabilities and Competencies (30 percent out of 100)

- Describe the organizational structure, capabilities, and competencies of the applicant nonprofit organization/agency. This should include a historical perspective on how the organization is positioned to provide mentoring and transitional services throughout the entire reentry process from pre-release to post-release community support.
- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator. BJA strongly encourages applicants to hire a full-time coordinator with a documented history of working with offenders. The management and organizational structure described should match the staff needs necessary to accomplish the tasks outlined in the project implementation plan.
- Discuss the role of local governmental agencies, other nonprofit organizations, and community stakeholders that will collaborate on project implementation.

#### **4. Impact/Outcomes, Evaluation, and Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures (10 percent out of 100)**

- Identify goals and objectives for program development, implementation, and outcomes.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of each strategy once implemented.
- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.
- Include a discussion of the role of state or local corrections departments, community corrections agencies, and/or local jail systems in ensuring successful reentry of offenders into their communities and how mentoring/transitional/training services provided under this project will be integrated into the overall reentry strategy of the state, local, or tribal prison or jail housing the target population.
- Provide a plan for tracking participant outcomes for at least 12 months following release, and describe the process for obtaining information about recidivism from the relevant corrections and/or supervision agencies. As described in the Performance Measures section, grantees will also be obligated to provide the number of participants who are re-incarcerated within the 12-month period following their initial release.
- Describe the process for assessing the project's effectiveness (see Performance Measures, page 12), including the strategy/methodology for tracking offenders assigned to the project for as long as they are actively involved.

#### **5. Budget (10 percent out of 100)**

Provide a proposed budget for the entire project period that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should generally demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>1</sup>

## **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. BJA 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. BJA may use either internal peer reviewers, external peer reviewers, or a combination to review the applications. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is

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<sup>1</sup> Generally speaking, a reasonable cost is a cost that if, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

a current DOJ 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. 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, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with BJA, reviews applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants, examines proposed costs to determine if the budget detail worksheet and budget narrative accurately explain project costs, and determines whether 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 Assistant Attorney General, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements



- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

## How To Apply

Applicants must submit applications through Grants.gov. Applicants must first register with Grants.gov in order to submit an application 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 at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP 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.

**Note:** BJA encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for email updates will be notified.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used to for tracking purposes and to validate 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 at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire registration with the System for Award Management (SAM). SAM replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP 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. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records have already been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.812, titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2013-3483.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.

8. **Submit an 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 an e-mail validation message from Grants.gov. The message will state whether OJP has received and validated the application, or rejected it, with an explanation. **Important:** OJP urges applicants to submit applications **well in advance** of the application due date to allow time to receive the validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note: Grants.gov only permits the use of specific characters in names of attachment files. Valid file names may only include the following characters: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, and period. Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

**Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review the most recent version submitted.

**Experiencing Unforeseen Grants.gov Technical Issues**

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 BJA Justice Information Center (see page 1 for contact information) **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 DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approved requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, BJA will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, BJA will reject the application as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) 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 at the top of the OJP funding web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

**Provide Feedback to OJP on This Solicitation**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, application submission process, and/or the application review/peer review process. Feedback may be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.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 appropriate number or 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.

If you are interested in being a reviewer for other OJP grant applications, e-mail your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback e-mail account cannot forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization has submitted an application.

# Application Checklist

## FY 2013 Adult Mentoring and Transitional Services for Successful Reentry Program

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

### Eligibility Requirements:

- Applicant agency meets eligibility requirements (see title page)
- The proposed budget is within the allowable limits (\$300,000) (see page 10)
- Federally recognized tribe (if applicable)

### What an Application Should Include:

- SF 424 Form (see page 16)
- Project Abstract\* (see page 16)
- Program Narrative\* (see page 17)
  - Statement of the Problem/Program
  - Project Design and Implementation
  - Capabilities/Competencies
  - Impact/Outcomes, Evaluation, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures
- Budget Detail Worksheet\* (see page 18)
- Budget Narrative\* (see page 18)
- Disclosure of Lobbying Activities (if applicable) (see page 26)
- Indirect Cost Rate Agreement (if applicable) (see page 18)
- Tribal Authorizing Resolution (if applicable) (see page 19)
- Project Timeline (see page 19)
- Position Descriptions (see page 19)
- Memorandum of Understanding\* (see page 19)
- Other Standard Forms as applicable, including: (see page 20)
  - Accounting System and Financial Capability Questionnaire (if applicable)

\*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 BJA.

## Appendix 1: Resources

### Mentoring as a Component of the Ready4Work (R4W) Program:

R4W places faith-based and community organizations at the center of social service delivery to ex-offenders that emphasizes employment-focused programs that incorporate mentoring, job training, job placement, case management and other comprehensive transitional services.

Early findings from the evaluation of Ready4Work suggested that mentoring can have real benefits in strengthening outcomes in the context of a multifaceted reentry program. Across the 11 sites, half of the participants in the reentry program became involved in mentoring. These participants fared better, in terms of program retention and employment, than those who did not participate in the mentoring program.

Over 60 percent of Ready4Work participants received mentoring as part of their services. Participants who met with a mentor at least once showed stronger outcomes than those who did not participate in mentoring in a number of ways:

- Mentored participants remained in the program longer than un-mentored participants (10.2 months versus 7.2 months).
- Mentored participants were *twice as likely to obtain a job*. After the first encounter, an additional month of meetings between the participant and mentor increased the former's likelihood of finding a job by 53 percent.
- Meeting with a mentor increased a participant's odds of getting a job the next month by 73 percent over participants who did not take advantage of mentoring. An additional month of meetings increased a participant's odds of finding a job by another 7 percent.
- Those who met with a mentor were 56 percent more likely to remain employed for three months than those who did not. An additional month of meetings with a mentor increased the participant's odds of remaining employed three months by 24 percent.

Reference: Fletcher, Renata Cobbs, Public/Private Ventures under a grant funded by the U.S. Department of Labor. November 2007. "Mentoring Ex-Prisoners: A Guide for Prisoner Reentry Programs."

[www.doleta.gov/PRI/PDF/Mentoring\\_Ex\\_Prisoners\\_A\\_Guide.pdf](http://www.doleta.gov/PRI/PDF/Mentoring_Ex_Prisoners_A_Guide.pdf)

Reference: Bauldry, Shawn and Wendy McClanahan. September 2008. "Ready4Work: Final Research Report," U.S. Department of Labor. Philadelphia: Public/Private Ventures. Submitted to the Department of Labor: Washington, DC.

[http://wdr.doleta.gov/research/FullText\\_Documents/Ready4Work%20Final%20Research%20Report.pdf](http://wdr.doleta.gov/research/FullText_Documents/Ready4Work%20Final%20Research%20Report.pdf)

### Mentoring as a Component of the InnerChange Freedom Initiative (IFI) Program:

The InnerChange Freedom Initiative (IFI) is a faith-based reentry program for prisoners.. Inmates begin the program 18 to 24 months before their release date and continue for an additional 12 months once they have returned to the community. This values-based program is built on the

belief that real and lasting change takes place from within. IFI stresses personal responsibility, the value of education and hard work, and care of persons and property. Mentoring was a core program area for all 3 phases of the InnerChange Freedom Initiative and each participant was assigned a mentor for all 3 phases of the initiative. The findings from the evaluation of the IFI showed that:

- IFI graduates were two times less likely to be rearrested. The two-year post-release rearrest rate among InnerChange Freedom Initiative program graduates in Texas was 17.3 percent, compared with 35 percent of the matched comparison group.
- IFI graduates were two-and-a-half times less likely to be re-incarcerated. The two year post-release reincarceration rate among InnerChange Freedom Initiative program graduates in Texas was 8 percent, compared with 20.3 percent of the matched comparison group.
- Contact with a mentor was associated with *lower rates of recidivism*.
- According to the evaluator of the InnerChange Freedom Initiative, Dr. Johnson, mentors were “absolutely critical” to the IFI participant results.
- The IFI participants that *did not* maintain their relationship with the mentors had higher recidivism rates than those who did maintain contact.
- Support and accountability provided by mentors often made the difference between a successful return to society and re-offending.

Reference: Prison Fellowship Reentry Programs - IFI  
<http://www.prisonfellowship.org/programs/reentry/ifi/>

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Bauldry, Shawn, and Danijela Korom-Djakovic, Wendy S. McClanahan, Jennifer McMaken, and Lauren J. Kotloff. January 2009. “Mentoring Formerly Incarcerated Adults: Insights from the Ready4Work Initiative.” Philadelphia: Public/Private Ventures.  
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Bauldry, Shawn and Wendy McClanahan. September 2008. “Ready4Work: Final Research Report.” Philadelphia: Public/Private Ventures. Submitted to the Department of Labor: Washington, DC.  
[www.michpri.com/uploads/uploads/eNews\\_Documents/MPRI%20eNews%202009\\_03/Ready4Work%20Final%20Research%20Report.pdf](http://www.michpri.com/uploads/uploads/eNews_Documents/MPRI%20eNews%202009_03/Ready4Work%20Final%20Research%20Report.pdf)

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Bronte –Tinkew, Jacinta, Allison Horowitz and Allison Metz. “What Works?’ In Fatherhood Programs: Ten Lessons from Evidence-Based Practice.” NRFC Practice Brief. U.S. Department of Health and Human Services, Administration for Children and Families, National Responsible Fatherhood Clearinghouse.

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## **Appendix 2**

### **Second Chance Act Grantees: What You Need to Know to Ensure Your Program is Built on Principles of Effective Practice**

#### **Fundamental Principles of Evidence-Based Correctional Practice**

The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental principles of evidence-based correctional practice that are widely accepted as strategies to reduce future criminal behavior.

- 1) Objectively Assess Criminogenic Risks and Needs:** Maintain a comprehensive system to establish risk screening and needs assessment. The actuarial assessment of offenders—in a reliable and valid manner—is essential for the effective supervision and treatment of people returning from prisons, jails, and juvenile facilities (Andrews and Bonta, 1998). The levels of supervision and services for individual offenders must be matched to individual risk and need.
- 2) Enhance Intrinsic Motivation:** Staff must be able to relate to offenders in interpersonally sensitive and constructive ways in order to enhance intrinsic motivation in offenders. Research findings suggest that motivational interviewing or other cognitive-behavioral communication techniques can effectively enhance the offender's desire to initiate and maintain behavior changes (Miller and Rollnick, 2002; Miller and Mount, 2001).
- 3) Target Higher-Risk Offenders:** Prioritize primary supervision and treatment resources for offenders who are at higher risk to re-offend. Consistent findings from a wide variety of recidivism studies show that supervision and treatment resources focused on lower-risk offenders produce little if any positive effect on the rates of subsequent criminal behavior (McGuire, 2001, 2002) and can at times increase the risk level of low-risk offenders. Maximum benefit is gained only when intervention resources are directed to moderate- and high-risk offenders.
- 4) Address Offenders' Greatest Criminogenic Needs.** The greatest emphasis must be placed on addressing those needs which are most closely associated with criminal behavior. When the factors that lead the offender to commit crimes are effectively addressed, that person is less likely to commit crime (Elliot, 2001).
- 5) Use Cognitive-Behavioral Interventions:** These strategies are focused on changing the offender's thinking patterns in order to change future behavior. The most effective interventions provide opportunities for participants to practice new behavior patterns and skills with feedback from program staff.
- 6) Determine Dosage and Intensity of Services:** Higher-risk offenders require significantly more structure and services than lower-risk offenders. High-risk offenders should receive a minimum of 300 hours of cognitive-based interventions, moderate-risk offenders should receive a minimum of 200 hours, and low-risk offenders should receive a minimum of 100 hours of cognitive-based interventions. Additionally, during the initial three to nine months post-release, 40%–70% of high-risk offenders' free time needs to be occupied with delineated routine and

appropriate services (Bourgon and Armstrong, 2006; Latessa, 2004; Gendreau and Goggin, 1995).

### **Important Things to Understand From the Research:**

- Correctional staff needs to work with offenders to ensure they have the tools needed for success in the community.
- Correctional and community staff must understand the importance of working with ***moderate- and high-risk*** offenders rather than low-risk offenders in order to demonstrate that their program can decrease recidivism.
- The most effective organizational-change strategies involve supervision and coaching of staff to reinforce the expected way of doing business—training alone is not sufficient.

### **Questions to Ask As You Launch Your Program:**

- Who are you targeting for your program?
- Do the risk and needs of your target population match the services and supports you've funded through your Second Chance grant?
- When and how are the risks and needs of your target population assessed?
- Following the risk/need assessment, are the services, supervision, and interventions recommendations developed with the offender?
- Are these interventions based upon a systematic assessment of individual levels of risk and criminogenic needs?
- How are services coordinated for your target population as they move from the institutional phase, to the reentry phase, to the community phase?
- How is programming that is begun in prison linked to the programming that the offender receives in the community?
- How are supervision and treatment resources prioritized for moderate and high risk offenders?
- Are your interventions cognitive-behavioral based?
- Has staff been trained to appropriately use cognitive-behavioral interventions and strategies?
- What data is collected on individuals?
- Do you collect case-level data on which of your program participants have (1) housing, (2) employment, (3) substance abuse treatment [if necessary], (4) mental health treatment [if necessary], and (5) social support?

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