



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs'](#) (OJP), [Bureau of Justice Assistance](#) (BJA), is seeking applications for funding for the Second Chance Act Two-Phase Adult Reentry Demonstration Program: Planning and Implementation. This program furthers the Department's commitment to providing services and programs to help facilitate the successful reintegration of offenders returning to their communities.

Second Chance Act Two-Phase Adult Reentry Demonstration Program: Planning and Implementation FY 2013 Competitive Grant Announcement

Eligibility

Applicants are limited to state and local government agencies 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. Grantees who have current Second Chance Act Reentry Demonstration grants may apply **only if their current grant ends prior to October 1, 2013**.

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

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 28). All applications are due by 11:59 p.m. eastern time on June 20, 2013. (See "Deadlines: Registration and Application," page 3).

All applicants are encouraged to read this [Important Notice: Applying for BJA Grants in Grants.gov](#).

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 at 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 e-mail at JIC@telesishq.com, or by [live web chat](#). 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.

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Second Chance Act Two-Phase Adult Reentry Demonstration Program: Planning and Implementation (CFDA #16.812)

Overview

The Second Chance Act of 2007 ([Pub. L. 110-199](#)) seeks a comprehensive response to the increasing number of incarcerated adults and juveniles who are released from prison, jail, and juvenile residential facilities and return to their communities. There are currently over 2.2 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 are released 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 101 of the Second Chance Act authorizes federal awards to state and local governments and federally recognized Indian tribes that may be used for demonstration projects to promote the safe and successful reintegration into the community of individuals who have been incarcerated or detained. Funding from BJA is authorized under the Consolidated and Further Continuing Appropriations Act, 2013, Pub. L. 113-6, 127 Stat. 198, 253.

Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register with Grants.gov 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 to apply for funding under this announcement is 11:59 p.m. eastern time on June 20, 2013. See the “How To Apply” section on page 28 for more details. Note that while the deadline for submission is 11:59 p.m. eastern time on June 20, 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 cover page of this solicitation for eligibility under this program.

Second Chance Act Two-Phase Adult Reentry Demonstration Program—Specific Information

Goals, Objectives, and Deliverables

The goal of Section 101 of the Second Chance Act is to provide support to eligible applicants for the development and implementation of comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism. Within the context of this initiative, “reentry” is not envisioned to be a specific program, but rather a process

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that begins when the offender is first incarcerated (pre-release) and ends with the offender's successful community reintegration (post-release), evidenced by lack of recidivism.

This process should provide the individual with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender. The reentry plan should reflect both specific and ongoing pre-release and post-release needs, and a strategy for ensuring that these needs are met throughout the duration of the reentry process.

Successful applicants under this solicitation will be required to **complete** a planning phase for their projects, and after BJA approval, will be authorized to **begin** the implementation phase of the project. Up to 6 months of the total project period can be used to complete planning details, with the remaining months used for implementation of the project. The initial award period will be for a period of 12 months, with the possibility of no-cost extensions that will extend the project period to allow for the completion of both the planning and implementation phases.

Mandatory Requirements

Section 101 of the Second Chance Act outlines the following Mandatory Requirements that must be included in an application to be eligible for funding for a demonstration reentry program.

Applicants under this solicitation must address each of the following requirements:

1. A reentry strategic plan that describes the jurisdiction's long-term reentry strategy, including measurable annual and 5-year performance outcomes, relating to the long-term goals of increasing public safety and reducing recidivism. One goal of the plan shall be a 50 percent reduction in the rate of recidivism over a 5-year period.¹
2. A detailed reentry implementation schedule and sustainability plan for the program.
3. Documentation that reflects the establishment of, and ongoing engagement of, a Reentry Task Force comprised of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders.
 - The Task Force should examine ways to pool resources and funding streams and collect data and best practices in offender reentry from stakeholder agencies and organizations.
 - The Task Force and the strategic planning requirement above should provide a key opportunity for local policymakers to work together to identify and address local barriers to effective reentry, including barriers that are policy or procedural in nature. (See Mandatory Requirement 10 below.)
4. Discussion of the role of local governmental agencies, nonprofit organizations, Continuums of Care, state or local interagency councils on homelessness, and community stakeholders that will coordinate and collaborate during the planning and implementation of the offender reentry strategy. The applicant will provide certification of the involvement of such agencies and organizations. These partners and participants in the creation of the reentry strategy

¹ The reentry strategic plan of an applicant that has previously received funding under this program must reflect input from nonprofit organizations, as appropriate and available, and must include performance measures to assess progress toward a 10 percent reduction in recidivism over 2 years.

should include representatives from the fields of public safety, corrections, housing (including partnerships with public housing authorities), homeless services providers, health, education, substance abuse, children and families, victims' services, employment, and business.

5. Extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing, homeless services, child welfare, education, substance abuse, victims services, state child support, and employment services, and with local law enforcement agencies.
6. An extensive discussion of the role of state corrections departments, community corrections agencies, and local jail corrections systems in ensuring successful reentry of offenders into their communities. Applications must include letters of support from corrections officials responsible for facilities or offenders to be served through this project (see "What an Application Should Include," on page 18).
7. Documentation that reflects explicit support of the chief executive officer of the applicant state, unit of local government, territory, or Indian tribe and how this office will remain informed and connected to the activities of the project.
8. A description of the evidence-based methodology and outcome measures that will be used to evaluate the program and a discussion of how such measurements will provide a valid assessment of the impact of the program. The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental strategies of evidence-based correctional practice that are widely accepted as efficacious in reducing future criminal behavior. These six strategies are outlined in Appendix 1: Second Chance Act Grantees: What You Need to Know to Ensure Your Program is Built on Principles of Effective Practice (see page 32). Applicants are required to clearly articulate how these evidence-based strategies are integrated into their program design, and how the program will ensure participants take part in evidence-based services and programs that occur both pre- and post-release.
9. A description of how the project could be broadly replicated if demonstrated to be effective.
10. A plan for the analysis of the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of offenders into the community. (**Note:** this may be integrated into the strategic planning requirement and guided by the local task force discussed above.) BJA encourages applicants to review the database of the American Bar Association (ABA) National Study on the Collateral Consequences of Criminal Convictions, which catalogues statutes and administrative rules that contain a collateral consequence. The database, available at www.abacollateralconsequences.org/, will assist attorneys, policymakers, and the public to more easily identify what consequences follow from particular criminal offenses.
11. A baseline recidivism rate for the proposed target population including documentation to support the development of the rate.

See the Selection Criteria: Statement of the Problem on page 24 for more information.

Allowable Uses for Award Funds: Planning Phase

Although each of the Mandatory Requirements must be included in the application, BJA expects that some may be in the preliminary stages of development at time of application. During the Planning Phase, applicants will build upon and strengthen compliance with the Mandatory Requirements. Grantees will receive intensive technical assistance and will be required to complete and submit a [*Planning and Implementation Guide*](#) provided by the BJA technical assistance provider—the [National Reentry Resource Center](#) (NRRC)—which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. Once Planning and Implementation Guides are submitted and approved by BJA, grantees will move into the Implementation Phase of their project and gain access to the remainder of their grant funds.

Allowable uses for award funds during the Planning Phase include the following:

- Continue establishment of a Reentry Task Force comprised of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders. The Task Force should examine ways to pool resources and funding streams, implement best practices in offender reentry, and collect outcome data from stakeholder agencies and organizations. The Task Force should be the primary resource for development of a reentry strategic plan.
- Continue development of a reentry strategic plan that describes the long-term strategy, including measurable annual and 5-year performance outcomes, relating to the long-term goals of increasing public safety and reducing recidivism. The reentry strategic plan must:
 - Present a multidisciplinary, jurisdiction-wide reentry strategy to improve outcomes for individuals leaving prison or jail that incorporates the effective practices and policies outlined in Appendix 1;
 - Incorporate a detailed implementation schedule and sustainability plan for the reentry strategy;
 - Include discussion of the role of local governmental agencies, nonprofit organizations, and community stakeholders that will be coordinated by, and that will collaborate on, the offender reentry strategy of the applicant and its supporting evidence base, and certification of the involvement of such agencies and organizations;
 - Include extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing (including partnerships with public housing authorities), homeless services, child welfare, education, substance abuse, victims' services, and employment services, and with local law enforcement agencies; and
 - Discuss of the role of state corrections departments, community corrections agencies, local jail, and/or juvenile corrections systems in ensuring successful reentry of offenders into their communities. Applications must include letters of support from corrections officials responsible for facilities or offenders to be served through this project.

Allowable Uses for Award Funds: Implementation Phase

- ***Use Actuarial-Based Assessment Instruments for Reentry Planning.*** There is strong evidence from the research literature that offender populations should be assessed to determine criminogenic risk and needs factors and determine supervision levels and services so that appropriate interventions can be delivered. Use of assessment instruments that are reliable, validated, and normed for a specific population increase the chances that individuals

will be matched with the appropriate type of treatment and reentry services.

- **Target Criminogenic Needs that Affect Recidivism.** While offenders reentering the community have a variety of treatment and behavioral needs, which are themselves risk factors for future offending, criminogenic needs are the dynamic risk factors mostly closely associated with offending behavior. Criminogenic risk and needs factors include a history of anti-social behavior; anti-social personality pattern; anti-social cognition; anti-social associates; family and/or marital; school and/or work; leisure and/or recreation; and substance abuse. Behavioral change is possible if offenders are provided with tailored, sequential programming that addresses individual criminogenic needs that affect the risk of recidivism. Applicants are strongly urged to provide treatment interventions that target criminal thinking, especially for higher-risk offenders.
- **Provide Sustained Case Planning/Management in the Community.** Reentry programs should ideally begin when the individual is first incarcerated and continue when the individual is released to the community. Since most offenders are at the highest risk of re-arrest the first few months after release, services should be most intensive at the time of release to the community. Applicants are strongly urged to use consistent pre- and post-release case management and supervision that is sustained over a period of at least 6 months and is especially responsive to the offender's transition from incarceration to the community. Applicants are strongly urged to also link case management services to affordable and supportive housing for target populations where homelessness is a risk factor for recidivism.
- **Support a Comprehensive Range of Services for Offenders.** Based on an individual offender's risk/needs assessment, applicants are encouraged to make available a comprehensive range of programs and a process for addressing the dosage needs of individual offenders, including the following: treatment services that employ the cognitive, behavioral, and social learning techniques of modeling, role playing, reinforcement, resource provision, and cognitive restructuring; educational, literacy, vocational, and job placement services; substance abuse treatment (including alcohol abuse); housing, mental, and physical health care services; veteran-specific services as applicable; programs that encourage safe, healthy, and responsible family and parent-child relationships and enhance family reunification, as appropriate; mentoring; and permanent supportive housing.
- **Provide Staff Training.** Implemented reentry programs should also provide adequate staff training to appropriately use cognitive-behavioral interventions and strategies on the utilization of evidence-based programs and practices.
- **Resources for Civil Legal Aid.** Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. This 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. For more information, go to www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf.
- **Affordable Care Act.** Develop and implement strategies to identify and enroll uninsured individuals into Medicaid, or other insurance through health exchanges, and to connect them to treatment providers as appropriate. Plan and strategize for how expanded options for access to healthcare can enhance outcomes for returning prisoners. Applicants can plan and

implement strategies for expanded Medicaid eligibility, behavioral health parity, connection to subsidized private health insurance options through the health insurance marketplace (also known as exchanges) to increase access, service use, and outcomes.

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

Target Population

The target population for the initiative must be a specific subset of medium- to high-risk individuals as identified using a validated assessment tool, and convicted as an adult and incarcerated in a state, local, or tribal prison or jail. These individuals may include sex offenders, mentally ill offenders, or individuals dually diagnosed with major mental health disorders and alcohol or substance addictions at the same time, for participation in the funded program.

“High-risk offenders” are defined as offenders that score moderate to high risk based on a validated risk assessment tool. “Risk” is defined as the likelihood that an offender will re-offend upon re-lease from a facility. Applicants must identify the validated assessment tool used and the risk levels eligible for participation in the program.

Programs that target high-risk offenders that are experiencing or at risk of chronic homelessness will also be given strong consideration. This would include offenders that have been in jail or prison for 90 days or less, that were living on the streets or in an emergency shelter prior to entry, and who have a long history of cycling between short-term stays in jail and homelessness.

Applicants are required to provide detailed information on the number of participants to be serviced through the project. Applicants are encouraged to provide services for a minimum of 75 individuals. If the applicant’s target population cohort is less than this total, the cohort should be part of a larger target population, and the applicant should provide back-up information showing a target population of 75 or more as eligible for inclusion in the program.

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, jurisdictions may choose to target specifically offenders who are:

- A specific demographic or set of demographics (age, gender, etc.)
- Focus on individuals returning to a jurisdiction (e.g., specific community, neighborhood, or zip-code) where a disproportionate population of individuals will be released from prisons or jails.
- Housed in the same facility.

Target Population Data Collection and Local Research Partnerships

In applying for these grants, applicants agree to cooperate in any and all related research efforts and program evaluations by collecting and providing enrollment and participation data during all years of the project. Applicants also agree to provide detailed individual-level data, in the format specified by OJP during this time period (and for the following 5 years for recidivism data).

Applicants further agree to implement random or other modes of participant assignment required by the evaluation design; cooperate with all aspects of the evaluation project; and provide comparable individual-level data for comparison group members.

Applicants are encouraged to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluations.

Note: All successful applicants will be expected to secure permission from all program participants to collect and report on administrative data pertaining to criminal status.

Priority Considerations

Priority consideration will be given to applicants who:

- Provide for an independent evaluation of reentry programs that include, to the maximum extent possible, random assignment and controlled studies to determine the effectiveness of such programs.
- Demonstrate effective case assessment and management abilities to provide a comprehensive and continuous reentry process, including the following:
 - Using an actuarial-based assessment instrument for reentry planning that targets the criminogenic needs of the offender that affect recidivism, and provide sustained case management and services during incarceration and for at least 6 months in the community.
 - Pre-release planning and transition housing connection to or placement into short-term and permanent housing, including permanent supportive housing, when appropriate.
 - Establishing pre-release planning procedures to ensure that the eligibility of an individual for federal or state benefits is established before release and those individuals will obtain all necessary referrals for reentry services.
 - Delivery of continuous and appropriate drug treatment, medical care, job training and placement, educational services, or any other service or support needed for successful reentry.
- Review the process by which the applicant adjudicates violations of parole, probation, or supervision following incarceration, taking into account public safety and the use of swift, certain, graduated and proportionate responses.
- Incorporate a “Pay for Success” model into their projects (see below). Note that successful applicants can use the planning phase of their funded projects to develop a Pay for Success program model.

Incorporate a strong post-release component, ensuring a balanced transition from pre-release programming to post-release supervision and support, and prioritizing strategies that bolster the intensive support needed to be successful in the post-release phase.

- Target high-risk offenders through validated assessment tools, particularly those that are experiencing or at risk of chronic homelessness (see definitions). This would be offenders that have been in jail or prison for 90 days or less that were living on the streets or in an emergency shelter prior to entry and who have a long history of cycling between short-term stays in jail and homelessness.
- Link grant-funded activities and services to affordable and supportive housing, leveraged through partnerships with non-profit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care.
- Focus their initiative on geographic areas with a disproportionate population of offenders released from prisons, jails, and juvenile facilities.
- Include input from nonprofit organizations, as relevant and appropriate, consultation with crime victims and released offenders, and coordination with families of offenders.

Pay for Success

Pay for Success projects represent a new way to potentially achieve positive outcomes with the criminal justice population at a lower cost to governments. Under a typical Pay for Success model, service providers either directly or through an intermediary organization secure capital to fund their operations and achieve specified outcomes for a predefined target population. The funding organizations only recoup their investment at such time that the outcomes for the target population have been achieved and that achievement has been verified via an evaluation methodology mutually agreed upon by the government participant and the investors. This model is designed to be a low-cost, low-risk way for governments to achieve outcomes for certain populations.

BJA is offering priority consideration for applicants proposing to incorporate a Pay for Success model into their offender reentry program. Under this priority, Second Chance grants may be used (1) to fund operations if a state, local or other organization will pay for outcomes after they are achieved; or (2) to pay for outcomes achieved within the grant period. Note that all standard financial and administrative restrictions will apply (for example, grant funds will be unavailable to promote or fund separate financial instruments such as bonds). For more information, see the Pay for Success Criteria in Appendix 3 and “Paying for Success” at the following web sites:

- payforsuccess.org

Behavioral Health Framework for Adults Under Correctional Supervision

For a compilation of the latest research and for an understanding of how to target programming for people with behavioral health needs under correctional supervision, see: [Adults with Behavioral Health Needs Under Correctional Supervision: A Shared Framework for Reducing Recidivism and Promoting Recovery](#). The framework is designed to reduce recidivism and behavioral health problems among individuals under correctional control or supervision by making the most effective

use of scarce resources to improve outcomes for those individuals. It provides a common structure for corrections and treatment system professionals to begin building truly collaborative responses to their overlapping service population.

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.

- BJA and OJJDP are also collaborating on oversight of the [National Reentry Resource Center](#) (NRRRC) for the provision of TTA to Second Chance Act grantees. The NRRRC, 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.
- 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 can be located at
 - www.bja.gov/Publications/FinalTLOATribalJusticePlan.pdf.

Federal Partners' Reentry Funding Opportunities

Applicants are encouraged to be cognizant of other federal agencies that provide reentry funding for different activities other than those administered by BJA. If possible, examine these agencies' 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
- U.S. Department of Substance Abuse and Mental Health Services Administration (SAMHSA): substance abuse and mental health resources - www.samhsa.gov _
- U.S. Department of Housing and Urban Development (HUD) : housing resources - <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/
- U.S. Department of Education: correctional education resources - 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/

- National Institute of Corrections (NIC): training, technical assistance, information services, and other resources - <http://nicic.gov/>
- U.S. Interagency Council on Homelessness: training, technical assistance, information services, and other resources – www.usich.gov/

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 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 Amount and Length

Awards under this program will be made for up to \$750,000. The initial award period will be for a period of 12 months, with the possibility of no-cost extensions to complete the project, if necessary. Grantees may use up to 6 months to complete their project planning. During the Planning Phase of the project, grantees will have access to \$50,000 to allow for activities related to working with the TTA provider and completing the Planning and Implementation Guide, and to address the program's Mandatory Requirements.

Once the Planning Phase has been completed and BJA has approved the completed Planning and Implementation Guide, the grantee will gain access to the remaining award balance of \$700,000. Grantees will then be able to proceed into the Implementation Phase and complete project activities.

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. BJA may make as many as 16 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

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member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2013 salary table for SES employees is available at www.opm.gov/oca/13tables/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 the 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. 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 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 costs. Reasonable steps to provide

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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 (www.ojp.usdoj.gov/funding/other_requirements.htm).

Match Requirement

As required by the Second Chance Act, a match is required for all applications. A grant made under this program may not cover more than 50 percent of the total costs of the project being funded. The applicant must identify the source of the 50 percent non-federal portion of the budget and how match funds will be used. The recipient of a grant must provide a minimum of 25 percent of the total project cost in cash match, and 25 percent of the total project cost may be matched by making in-kind contributions of goods or services that are directly related to the purpose for which the grant was awarded. Federal funds received and cash match provided by the grantee shall be used to supplement, not supplant, non-federal funds that would otherwise be available for the activities funded under this section.

The applicant must identify the source of the 25 percent non-federal cash portion of the budget and how both cash and in-kind match funds will be used.

Match Waiver:

The Attorney General may waive the match requirement upon a determination of fiscal hardship. To be considered for a waiver of match, a letter of request signed by the Authorized Representative must be submitted with the application defining the fiscal hardship. Fiscal hardship may be defined in terms related to reductions in overall correctional budgets, furloughing or reductions in force of correctional staff or other similar documented actions which have resulted in severe budget reductions.

A match waiver request must be submitted as a separate attachment to the application and titled as the "Match Waiver".

Note: Once incorporated into the OJP-approved budget, the match becomes mandatory and subject to audit. Further, if a successful applicant's proposed match exceeds the required match amount, the match amount that is incorporated into its OJP-approved budget is mandatory and subject to audit.

The formula for calculating match is:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

$$\text{Required Recipient's Share Percentage} \times \text{Adjusted Project Cost} = \text{Required Match}$$

Example: For a federal award amount of \$750,000, match would be calculated as follows:

$$\frac{\$750,000}{50\%} = \$1,500,000 \quad 50\% \times \$1,500,000 = \$750,000 \text{ match}$$

Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, 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. The following measures are examples of some of the core performance measures for the Second Chance Act Adult Reentry Program. Applicants should review the complete list available at:

www.bjaperformancetools.org/help/scareentryquestionnaire.pdf.

Objective	Performance Measures	Data Grantee Provides
Phase 1: Planning and Capacity Building Develop a reentry strategic plan that will provide offenders with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender.	Submit a Planning and Implementation Guide for a reentry strategy	Provide updates on the completion of key components of the Planning and Implementation Guide
	Reentry strategic plan status	Describe any updates or modifications concerning the reentry plan, implementation schedule, and sustainability plan for the program
	Data collection plan status	Describe any updates or modifications to the data collection plan and policy including how data will be collected and what indicators will be utilized upon implementation Describe how data and program outcomes will be obtained by program managers and service providers
	Reentry task force composition	Provide the current status of the establishment of a Reentry Task Force. Include a description of relevant leaders, representatives of agencies, service providers, nonprofit organizations, and other key stakeholders
	Reentry population	Describe the target population including relevant information on demographics, risk level, and offense types
	Anticipated capacity	Enter the number of participants expected to be admitted to the reentry program per year of the grant
	Risk and needs assessment used	A. What risk assessment instrument will be used, if any? B. Describe how offenders will be assessed
	Baseline recidivism	Describe how a baseline recidivism rate will be calculated for the proposed target population

	Recidivism rate reduction	Discuss what level of reduction in recidivism you would consider to be success. Include a description of the follow-up period length (post-release), and the recidivism rate targeted such as arrest, conviction, revocation, and/or reincarceration
Phase 2: Implementation Provide offenders with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender.	Percentage of new participants enrolled in the program	During the reporting period: A. Number of new participants enrolled in program B. Total number of participants enrolled in program
	Percentage of participants who successfully completed the program	During the reporting period: A. Number of participants enrolled in program B. Number of participants who successfully completed the program
	Percentage of participants who unsuccessfully completed the program Percentage of program incompletes	During the reporting period: A. Number of participants enrolled in program B. Number of participants no longer in the program due to failure to meet program requirements C. Number of participants no longer in the program due to court or criminal involvement (arrest, conviction, revocation, reincarceration) D. Number of participants no longer in the program due to a lack of engagement (no shows and nonresponsive participants) E. Number of participants no longer in the program due to absconding F. Number of participants no longer in the program due to relocating or case transfer G. Number of participants no longer in the program due to death or serious illness H. Number of participants who did not complete the program for other reasons (please specify) I. Specify other reasons

	Recidivism rate for program participants	<ul style="list-style-type: none"> A. Number of program participants participating in the program B. Number of participants who were rearrested while participating in the program C. Number of participants who were convicted while participating in the program D. Number of participants who had a revocation of the terms of supervised release while participating in the program E. Number of participants who were reincarcerated while participating in the program
	Recidivism rate for participants who successfully completed the program	<ul style="list-style-type: none"> A. Number of participants that successfully completed the program B. Number of participants who were rearrested and successfully completed the program C. Number of participants who were convicted and successfully completed the program D. Number of participants who had a revocation of the terms of supervised release and successfully completed the program F. Number of participants who were reincarcerated and successfully completed the program
	Recidivism rate for the participants unsuccessfully completed the program	<ul style="list-style-type: none"> A. Number of participants that unsuccessfully completed the program B. Number of participants who were rearrested and unsuccessfully completed the program C. Number of participants who were convicted and unsuccessfully completed the program D. Number of participants who had a revocation of the terms of supervised release and unsuccessfully completed the program E. Number of participants who were reincarcerated and unsuccessfully completed the program

Submission of performance measures data is not required for the application. 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 18 for additional information.

Note on Project Evaluations

Applicants that propose to use 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). Applicants whose proposals may involve a research or statistical component also should review the "Confidentiality" section on that web page.

Notice of Post-Award FFATA Reporting Requirement

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 sub-awards 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 sub-recipients. 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 Sub-award Reporting System (FSRS), found at www.fsrs.gov/.

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

What an Application Should Include

Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements 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:

- Abstract
- Program Narrative
- Budget Detail Worksheet and Budget Narrative

- Budget Summary Page
- The Budget Detail Worksheet and Budget Narrative may be combined in one document. However, if only one document is submitted, it must contain **both** narrative and detail information.
- Description of both pre- and post-release service delivery for every program participant in the Abstract and the Program Narrative

OJP strongly recommends that applicants use 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 standard form required for use 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, please select "For-Profit Organization" or "Small Business" (as applicable).
- 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. Abstract

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

- Written for a general public audience.
- Submitted as a separate attachment with <Project Abstract> as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

The abstract should provide an overall summary of the project and include the project’s purposes, goals, and deliverables. **The abstract should include the following clearly labeled and delineated information:**

- Target Goal: Projected number of participants to be served over the life of the project.
- Target population characteristics .
- Overall program design elements which clearly reflect both pre- and post-release service delivery.
- Use of risk principle, needs, responsivity, and dosage principles.

- Plan for establishing a baseline recidivism rate.
- Name of the validated risk assessment tool used.
- Plan for collecting and reporting key data elements.
- Brief description of both the pre- **and** post-release services to be provided for every program participant.
- Summarize how each of the individual Mandatory Requirements has been met.
- If applicable, summarize how individual Priority Considerations have 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.

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 (1-5) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with not less than 1-inch margins, and should not exceed 20 pages. Number pages "1 of 20," "2 of 20," etc.

If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered 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. Project Design and Implementation
- c. Capabilities and Competencies
- d. Impact/Outcomes, Evaluation, and Sustainability 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.

e. Collaboration

4. Budget Detail Worksheet and Budget Narrative (Attachment 3)

Note: The Budget Narrative and the Budget Detail Worksheet may be combined in one document. However, if only one document is submitted it must contain both narrative and detail information or the application will not proceed to peer review.

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet and a budget summary page should be included. 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 show all computations. Your budget detail worksheet should provide itemized break downs of all costs. If the computations do not show sufficient amount of detail or are incorrect, the budgets will be returned for corrections.

The budget summary page must reflect the amounts in the budget categories as included in the budget detail worksheet. These amounts should mirror the amounts in the budget narrative.

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, DC. All expenses must be reasonable, allowable and necessary to the project.

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

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated 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.

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.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's 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.

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, Strategic Plans, and Letters of Support

Ensure that the following documents are completed and attached:

- *Project Timeline* that includes each project goal, related objective activity, expected completion date, responsible person, or organization
- *Position Descriptions* for key positions
- *Reentry Strategic Plan*
- *Letters of Support/ Memoranda of Agreement (MOA)* from all key partners, detailing the commitment to work with reentry initiative partners to promote the mission of the project. The Letter of Support from the lead organization responsible for the operational aspects of the project must include:
 - (1) Certification that the lead agency has consulted with other local parties, and
 - (2) Include the following statement: "The agency agrees to provide individual criminal history information for all participants to evaluators, unless prohibited by law. These data will be provided in response to periodic requests from the grantees and evaluator throughout the period of performance of this project to capture both criminal history prior to the program enrollment and subsequent recidivism."
- **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 sub-awarding 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; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page. (e.g., “[Applicant Name] does not have pending applications submitted within the last 12 months 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.”)

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. 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 six selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed below after each individual criteria. For example, for the first criteria, "Statement of the Problem," for Category 1 applicants, is worth 10 percent of the entire application in the review process.

1. Statement of the Problem (10 percent out of 100)

- Describe the problems with returning adult offenders to the community.
- Indicate the jurisdiction or tribal community to be served, include details on the target population, the number of offenders to be served and returning to the community, and describe the number and type of offenders in facilities.
- Summarize the basic components of the current reentry process in the jurisdiction, including:
 - How risk and need assessments are currently utilized to develop individualized transition/reentry plans.
 - Data collection and analysis methodology.
- Provide justification and support documentation for selecting the target population.
 - Provide a baseline recidivism rate for the proposed target population and discuss what level of reduction in recidivism you would consider to be successful. If the applicant does not have a baseline recidivism rate for a historical sample of ex-offenders **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for ex-offenders that have been released from a local prison or jail, **such as a facility or a system-wide recidivism rate**. Make sure to include a description of the type of recidivism rate targeted such as arrest, conviction, revocation, and/or re-incarceration. Also, provide an explanation of the population (demographics, risk level, offense type) the follow-up period length (post-release), and the dates when the recidivism rate was calculated.
- Applicants must describe how many total people the proposed program plans to serve over the length of the project period.
 - If the applicant is requesting funds for a program that is currently operational, the applicant must state how many people the program has served (who meet the stated target population characteristics) over the past 6 months.
 - If the applicant is proposing to implement a "new program," the applicant must state how many people met the target population characteristics within the past 6 months.

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

- Describe how the Planning Phase activities will be addressed that include the completion of the *Planning and Implementation Guide*.
- Describe in detail how the Mandatory Requirements of a Comprehensive Reentry Program specified on pages 4-5 of this solicitation will be met.
- Describe the proposed activities that fall within one or more of the Allowable Uses of Award Funds for grant funds specified on pages 6-8 of this solicitation.
- Describe aspects of your initiative that fulfill one or more of the Priority Considerations listed on pages 9-10 of this solicitation.
- Provide a description of both the pre- **and** post-release services to be provided for every program participant.

3. Capabilities and Competencies (25 percent out of 100)

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.
- Demonstrate the capability of the Reentry Task Force and collaborative partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program. The management and organizational structure described should match the staff needs necessary to accomplish the tasks outlined in the implementation plan.

4. Impact/Outcomes, Evaluation, Sustainability, and Plan for Collecting Data for Performance Measures (15 percent out of 100)

- Describe the process for assessing the initiative's effectiveness through the collection and reporting of the required performance metrics data (see Performance Measures on page 15).
- Identify goals and objectives for program development, implementation, and outcomes.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the 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.
- Discuss how this effort will be integrated into the state and local justice system plans or commitments, how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.
- Describe the strategy/methodology for tracking offenders assigned to the reentry process for a period of up to 3 years after their release from prison or jail.

5. Collaboration (10 percent out of 100)

- Describe how the proposed project will be integrated with other offender reentry efforts

in the same jurisdiction (state, local county/city, tribe).

- Describe how the project has worked collaboratively with partners from multiple disciplines.
- Describe how the proposed project will use this prior experience to enhance the project's overall goal of reducing recidivism.

6. 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 generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.²
- The budget must indicate how the 50 percent federal funds and the 50 percent match will be allocated in the overall budget.

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 under this solicitation. 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 a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. 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, conducts a financial review of 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 (AAG), who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

² Generally speaking, a reasonable cost is a cost that, 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.

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.

- 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. 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 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. 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 should already have 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.

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.
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-2013-3626.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend 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.
7. **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 the application has been received and validated, or rejected due to errors, with an explanation. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** of 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: 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 that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests. After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP 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, OJP 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 each instruction 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.

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, the application submission process, and/or the application review/peer review process. Feedback may be provided to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email 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 email 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, please email your resume to ojppeerreview@lmbps.com. The OJP Solicitation Feedback email account will not 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 have submitted an application.

Application Checklist

FY 2013 Second Chance Act Two-Phase Adult Reentry Demonstration Program: Planning and Implementation

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 (\$750,000) (see page 12)
- Federally recognized tribe (if applicable) (see title page)

What an Application Should Include:

- SF-424 Form (see page 19)
- Abstract—Including information on **both pre- and post-release services for every program participant*** (see page 19)
- Program Narrative* - Including information on **both pre- and post-release services for every program participant*** (see page 20)
- Budget Detail Worksheet and Budget Narrative* (see page 21)
- Disclosure of Lobbying Activities (SF-LLL) (see page 29)
- Indirect Cost Rate Agreement (if applicable, see page 22)
- Tribal Authorizing Resolution (if applicable, see page 22)
- Additional Attachments (see page 22)
 - Project Timeline
 - Position Descriptions
 - Strategic Plans
 - Letters of Support
 - Applicant Disclosure of Pending Applications
- Other Standard Forms including (as applicable, see page 23):
- Accounting System and Financial Capability Questionnaire

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

Appendix 1

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?

References:

Andrews, D.A., and J. Bonta (1998). *The Psychology of criminal conduct*. Cincinnati: Anderson Publishing Co.

Bourgon, G., and B. Armstrong (2006). Transferring the Principles of Effective Treatment into a "Real World" Setting. *Criminal Justice*, 32(1), 3-25.

Elliott, D. (2001). Youth violence: A report of the Surgeon General.

Gendreau, P. and C. Goggin (1995). Principles of effective correctional programming with offenders. Center for Criminal Justice Studies and Department of Psychology, University of New Brunswick, New Brunswick.

Latessa, E.J. (2004). The challenge of change: Correctional programs and evidence based practices. *Criminology & Public Policy*, 3(4), 547-560.

McGuire, J. (2002). Evidence-based programming today. Paper presented International Community Corrections Association Conference, Boston, MA, November 2002.

McGuire, J. (2001). What works in correctional intervention? Evidence and practical implications. Pp. 25-43 in *Offender rehabilitation in practice: Implementing and evaluating effective programs*, edited by D.F. Gary Bernfeld, Alan Leschied. New York, NY: John Wiley & Sons, LTD.

Miller, W. and S. Rollnick (2002). *Motivational Interviewing: Preparing people for change*. New York, NY: Guilford Press.

Miller, W. and K.A. Mount (2001). "A small study of training in Motivational Interviewing: Does one workshop change clinician and client behavior?" Albuquerque, NM.

Appendix 2 Pay for Success Criteria

Criteria	
Target Population	The project must describe the population to be served, the goals to be obtained, and provide adequate protection for vulnerable populations. The project should describe any safeguards and incentives against “creaming.” The project should also describe how it meets a compelling need.
Evidence	The project must describe the types of services and other interventions that will be provided. The project should identify any body of evidence that supports the efficacy of the approach.
Investment	The project should clearly identify the source of working capital and provide evidence of its availability. The quantity and availability of operating funds should be adequate to sustain the life of the project. The project should clearly describe the use of any newly requested or existing federal funds.
Agreement	The project must identify all parties to the agreement including prime and sub-recipients. Any intermediaries or other management organizations must be clearly identified. The roles and responsibilities of all parties should be described.
Flexibility	The project must not overly encumber the management and administration of services and other interventions. The project includes the flexibility to adjust the service delivery strategy to achieve the negotiated outcomes. If necessary the project should identify and justify any requested flexibilities around regulations and/or administrative requirements. The project should identify the source (federal/state/local) for each requested variation.
Outcomes	Outcomes must be defined in terms of the desired “end state”. The project should identify outcomes that can be measured and given a monetary value. The project should describe the derivation of the monetary value for each desired outcome including identification and assignment of any expected future savings to governmental entity(s).

Outcome Measures	<p>The project must describe how the achievement of outcomes will be measured. The project should provide evidence that the [grantee] and the investors have agreed upon the evaluation/measurement methodology including metrics, timing, independence, and credible comparison groups. This methodology should provide assurances that PFS is paying for impacts and not just outcomes that would have been achieved with or without the intervention. The project should describe the reporting of any interim measures and progress toward achievement of outcomes, including how interim evaluation data could be used to improve program efficacy.</p>
Payments	<p>The obligation and period of availability of government funds should align with payback periods. The project should describe provisions for government payments based upon achievement of proposed outcomes. Payments should only be made based upon substantiated achievement of interim or final outcomes.</p>
Savings/ROI	<p>Savings or return on investment (ROI) generated from the achievement of outcomes should meet or exceed the cost of services and other interventions including management, administration and evaluation. Government and outside entities should identify whether these savings or ROI accrue proportionate to investment for each participating governmental entity.</p>