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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA), is seeking applications for funding 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 individuals returning from incarceration to their communities.

## **Second Chance Act Two-Phase Adult Reentry Demonstration Program: Planning and Implementation FY 2014 Competitive Grant Announcement**

### **Eligibility**

Eligible applicants are limited to state and local government agencies and federally recognized Indian tribes (as determined by the Secretary of the Interior).

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.

**Note: Assessing the outcome of programs funded under the Second Chance Act is a major DOJ priority. Applicants should not apply for funding if they cannot track unique identifiers for participants, gain access to recidivism data, and report recidivism data, particularly returns to incarceration during the period 1 year after release.**

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 26). All applications are due by 11:59 p.m. eastern time on June 2, 2014. (See "Deadlines: Registration and Application," page 4).

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

### **Contact Information**

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

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 below **within 24 hours after the application deadline** and request approval to submit their application.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com), or by live web chat at [www.justiceinformationcenter.us](http://www.justiceinformationcenter.us). 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.

**Grants.gov number assigned to announcement:** BJA-2014-3860

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

## Overview

There are currently over 2.2 million individuals serving time in federal and state prisons, and millions of people cycle through local jails every year. Of those in state and federal prison, approximately 95 percent will be released and return to communities across the nation. A majority of these individuals have needs that, if unaddressed in prison, during the reentry process, and after release, will negatively impact their ability to live productive, prosocial, crime-free lives in the community. These needs include housing and employment challenges, relationship and family issues, and substance abuse and mental health problems.

While members of Native American tribes who are incarcerated possess similar needs, addressing them successfully can be particularly challenging because members of tribal communities return from federal, Bureau of Indian Affairs (BIA), state, local, and tribal facilities. In addition to the difficulties associated with the coordination of services for individuals returning from these diverse facilities, services to address the various needs of the formerly incarcerated often do not exist on tribal lands.

The Second Chance Act of 2007 (Pub. L. 110-199) helps to address these significant challenges by providing comprehensive responses to the significant number of incarcerated adults who are returning to communities from prison, jail, and juvenile residential facilities. Programs funded under the Second Chance Act help to promote public safety by ensuring that the transition individuals make from prison and jail to the community is successful.

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 for this program is authorized under the Department of Justice Appropriations Act, 2014, Pub. L. No. 113-76, 128 Stat. 5, 63.

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on June 2, 2014. See the "How To Apply" section on page 26 for more details. Note that while the deadline for submission is 11:59 p.m. eastern time on June 2, 2014, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see "Contact Information" on page 2 for more information about BJA's Justice Information Center).

## Eligibility

Refer to the title page for eligibility under this program.

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

## Goals, Objectives, and Deliverables

The goal of this program is to support jurisdictions to develop and implement comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism for medium to high risk individuals reentering communities from incarceration. Within the context of this initiative, “reentry” is not envisioned to be a specific program, but rather a process that begins when the individual is first incarcerated (pre-release) and ends with his or her successful community reintegration (post-release).

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 award period will be for a period of 24 months, with the possibility of no-cost extensions.

Successful applicants will also be required to engage a research partner.

## Mandatory Project Components

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

1. Ability to track unique identifiers for participants, gain access to recidivism data, and report recidivism data, particularly returns to incarceration during the period 1 year after release.
2. Engagement of a research partner to assist with a) finalization of strategic plan, b) data collection and analysis, c) finalizing the baseline recidivism rate, d) forecasting eligible program participant flow to ensure program utilization rates, and e) monitoring and evaluating performance. The research partner can be an independent consultant, or located in an academic institution, a state Statistical Analysis Center, or a research organization. The research partner should have demonstrated expertise conducting the type of work proposed.
3. Provide a baseline recidivism rate for the proposed target population including documentation to support the development of the rate. All grantees will be required to provide a baseline recidivism rate upon award.

## Mandatory Second Chance Act 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 comprehensive reentry program:

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. <sup>1</sup>

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.
4. The Task Force should examine ways to pool resources and funding streams and collect data and best practices in reentry from stakeholder agencies and organizations.
5. 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.)
6. 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 collaborated during the planning and implementation of the 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 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.
7. 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.
8. A discussion of the role of state corrections departments, community corrections agencies, and local jail corrections systems in ensuring successful reentry in their communities. Applications must include letters of support from corrections officials responsible for facilities or individuals to be served through this project (see "What an Application Should Include," on page 16).
9. 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. (See "What an Application Should Include," on page 16.)
10. 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

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<sup>1</sup> 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

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.

11. A description of how the project could be scaled up or broadly replicated if demonstrated to be effective.
12. A plan for the analysis of the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of individuals returning from incarceration 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/](http://www.abacollateralconsequences.org/), will assist attorneys, policymakers, and the public to more easily identify what consequences follow from particular criminal offenses.

See the Selection Criteria: Statement of the Problem on page 22 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 the time of application. During the Planning Phase, applicants must demonstrate a commitment to establishing a robust reentry program. During this phase 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. During the planning phase the relationship with the research partner will be cemented, including a contract, memorandum of understanding, or other agreement that clearly delineates the role and responsibilities of the research partner. This document should establish the authority of the research partner to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative. Once Planning and Implementation Guides and research plans 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:

- Support 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 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 individuals returning from incarceration into their communities. Applications must include letters of support from corrections officials responsible for facilities or the individuals 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 populations of individuals returning from incarceration 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 individuals 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 individuals returning from incarceration 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 individuals.
- ***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 individuals returning from incarceration 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 individual'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 the Formerly Incarcerated.*** Based on an individual's risk/needs assessment, applicants are encouraged to make available a

comprehensive range of programs and a process for addressing the dosage needs of each individual returning from incarceration, 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 healthcare 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. This excludes the payment of fines or penalties associated with a driver's license suspension or the payment of child support. For more information, go to [www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf](http://www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf).
- **Affordable Care Act.** Develop and implement strategies to identify and enroll eligible, uninsured program participants in 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 individuals returning home from incarceration. 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 During Both Planning and Implementation Phases**

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

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

### **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 individuals, 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 individuals that score moderate to high risk based on a validated risk assessment tool. “Risk” is defined as the likelihood that a person will re-offend upon release 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 individuals that are experiencing or at risk of chronic homelessness will also be given strong consideration. This would include people 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. For the purposes of this program, 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.

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 individuals, or combination of subsets, that are proposed to be the target population of their project. For example, jurisdictions may choose to target specifically individuals returning from incarceration 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 must develop a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluation.**

**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:

- Focus their initiative on geographic areas with a disproportionate population returning from prisons, jails, and juvenile facilities.
- 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 individual 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 and reform the process by which the applicant adjudicates violations of parole, probation, or supervision following incarceration, taking into account public safety and enhancing 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.
- Target high-risk individuals through validated assessment tools.
- 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, particularly for those who are experiencing or at risk of chronic homelessness (see definitions). This would be people who 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.
- Include input from nonprofit organizations, as relevant and appropriate, consultation with crime victims, and coordination with families of incarcerated individuals.

## **Applicant Resources**

### **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 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 2 and “Paying for Success” at the following web site: [payforsuccess.org](http://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.

### **Integrated Reentry and Employment Strategies**

For a compilation of the latest research and for an understanding of how to target employment services for the reentry population, see: [\*Integrated Reentry and Employment Strategies: Reducing Recidivism and Promoting Job Readiness\*](#).

This White Paper is written for policymakers and practitioners engaged in the corrections and workforce development fields who recognize the need for the two systems to collaborate more closely to improve public safety and employment outcomes for people who have been incarcerated or are on probation or parole. It promotes close collaborations with reentry service providers and provides guidance on prioritizing scarce resources to more effectively reduce rates of reincarceration and joblessness. The paper also outlines principles that should drive both supervision and service decisions—decisions that can help ensure that front-line personnel’s efforts are having the greatest positive effect.

## National Reentry Resource Center (NRRC)

BJA and OJJDP are also collaborating on the oversight of the [National Reentry Resource Center \(NRRC\)](#). The NRRC, funded by BJA, provides training and technical assistance to states, tribes, territories, local governments, service providers, nonprofit organizations, and correctional agencies and institutions working on reentry, including Second Chance Act grantees. The NRRC hosts a funding page that lists all reentry-related federal funding opportunities. All successful applicants will receive intensive technical assistance from the NRRC.

## Evidence-Based Programs or Practices

OJP places a strong emphasis on the use of data and evidence in policy making and program development 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.

Collaborative partnerships between researchers and practitioners have great potential to improve practice and policy. NIJ recently published findings of the Research-Practitioner Partnerships Study, which documents, synthesizes, and shares what makes partnerships between researchers and practitioners successful:

- [“Recommendations for Collaborating Successfully With Academic Researchers, Findings from the Researcher-Practitioner Partnerships Study \(RPPS\)”](#)

## Amount and Length of Awards

Applicants must apply in one of three categories, depending upon their jurisdictional status.

- **Category 1, Competition ID BJA-2014-3861:** Units or components of state government agencies serving adults.
- **Category 2, Competition ID BJA-2014-3862:** Units or components of county or city local government agencies serving adults.
- **Category 3, Competition ID BJA-2014-3863:** Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adults.

BJA anticipates that it will make awards of up to \$750,000 each for a 24-month project period, with up to \$150,000 available during the planning period.

**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 \$600,000. 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 to any modifications or additional requirements that may be imposed by law.

## **Budget Information**

Applicants must budget funds 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.

### **Match Requirement**

As required by the Second Chance Act, a match is required for all applications. Federal funds awarded under this program may not cover more than 50 percent of the total costs of the project being funded. Applicants must identify the source of the 50 percent non-federal portion of the total project costs and how they will use match funds. 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. Detailed information must be provided with match waiver requests.

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

**Note:** The budget detail should distinguish cash from in-kind matched funds using an asterisk to show what percentage of the budget is cash. 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, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

The formula for calculating match is:

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

Required Recipient's Share Percentage x Adjusted Project Cost = Required Match

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

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

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2014 salary table for SES employees is available at [www.opm.gov/salary-tables](http://www.opm.gov/salary-tables). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Assistant Attorney General 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 the individual will provide, 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 to be done.

**A waiver request will not be accepted if it is not submitted with the application. The waiver request must be submitted as a separate attachment and titled as the "Waiver: Employee Compensation."**

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

### **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 for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

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

## Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Post award, recipients will be required to submit quarterly performance metrics through BJA's online Performance Measurement Tool (PMT), located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). Applicants should review the complete list of Second Chance Act Two-Phase Adult Reentry Demonstration Program performance measures at: [www.bjaperformancetools.org/help/scareentryquestionnaire.pdf](http://www.bjaperformancetools.org/help/scareentryquestionnaire.pdf).

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section "What an Application Should Include" on page 16 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](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the "Confidentiality" section on that Web page.

## What an Application Should Include

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include application elements that BJA has designated to be critical, will neither proceed to peer review nor receive further consideration.

Under this solicitation, BJA has designated the following application elements as critical:

- Project Abstract\*
- Program Narrative\*
- Budget Detail Worksheet and Budget Narrative
  - 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, 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. Project Abstract

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

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

**Do not** submit your abstract in pdf. format. BJA requires the ability to copy and paste abstract text. BJA strongly recommends submitting the abstract in a Word document format.

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:**

- Category: State, local, or tribal.
- Identify the research partner.
- 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. Make sure to address the applicant's ability to track unique identifiers for participants, gain access to recidivism data, report recidivism data, particularly returns to incarceration during the period 1 year after release.
- Brief description of both the pre- **and** post-release services to be provided for every program participant.
- Summarize how each of the individual Mandatory Project Components and Mandatory Second Chance Act 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.

**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 web page 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 should address 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, BJA may consider such noncompliance in peer review and in final award decisions.

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

- a. Statement of the Problem
- b. 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

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](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different should include the budget categories listed in the sample budget worksheet and include a budget summary page. Applicants should utilize the following approved budget categories to label the requested expenditures:

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

Applicants must show all computations. The 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. The estimates must provide a breakdown of all costs and adhere to the federal per diem.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

**b. Budget Narrative**

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

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

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

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [OJP Financial Guide](#).

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For assistance with identifying your cognizant agency, contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

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

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, then the application should include appropriate legal documentation, as described above, from all tribes that would receive services/assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

Applicants unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, BJA will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

**7. Additional Attachments**

- a. Project Timeline** that includes each project goal, related objective activity, expected completion date, responsible person, or organization
- b. Position Descriptions** for key positions
- c. Reentry Strategic Plan**
- d. Letter from the Research Partner** demonstrating commitment to the project.
- e. 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."
- f. Applicant Disclosure of Pending Applications**  
 Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

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
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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 on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

*Disclosure of Pending Applications, regardless of the status of pending applications, must be submitted as a separate attachment and titled as the “Disclosure of Pending Applications:....”. -> enter a digit (number pending); i.e., Disclosure of Pending Applications: 0.*

## 8. 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](#).

## 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,” 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 reentry to the community.
- Indicate the jurisdiction or tribal community to be served and include details on the target population, the number of adults to be served and returning to the community, and describe the number and offense type for adults 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 formerly incarcerated

individuals **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for formerly incarcerated individuals that have been released from a local prison or jail, **such as a facility or a systemwide 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.

- Describe how many total people the proposed program plans to serve over the length of the project period. If awarded funds, grantee performance will be measured against this number.
  - 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 (35 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 Project Components and the Mandatory Second Chance Act Requirements specified on pages 5-7 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 7-9.
- Describe aspects of your initiative that fulfill one or more of the Priority Considerations listed on pages 10-11.
- 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. The management and organizational structure described should match the staff needs necessary to accomplish the tasks outlined in the implementation plan.
- Identify the research partner and discuss how the research-practitioner partnership will assist in program development and evaluation.

## **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 16).
- 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.
- Describe the strategy/methodology for tracking participant unique identifiers, gaining access to recidivism data, and reporting this data to BJA.
- Describe the strategy/methodology for assessing the ability of the program to assess for participant risk level and criminogenic needs and to track that responsiveness and dosage of services provided is individualized and attendant to the risk/needs of participants.
- 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.

#### **5. Collaboration (5 percent out of 100)**

- Describe how the proposed project will be integrated with other 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.<sup>2</sup>

- 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

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<sup>2</sup> 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.

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, 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, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

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

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- 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
- Non-profit 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
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

## How To Apply

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

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

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )

Hyphen ( - )	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;amp;” format.</b>		

**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.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

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](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is 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. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization’s AOR. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.812, titled “Second Chance Act Prisoner Reentry Initiative,” and the funding opportunity number is BJA-2014-3860.

6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. 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.
8. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive 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. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review only the most recent valid 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 OJP determines that the applicant failed to follow all required procedures, which resulted in and untimely application submission, OJP will deny the applicant’s request to submit their application.

The following conditions are generally insufficient to justify late submissions:

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

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## Provide Feedback to OJP

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. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

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

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to [ojppeerreview@lmbps.com](mailto: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 2014 Second Chance Act Adult Reentry Demonstration Program: Planning to Implementation Projects

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

#### What an Applicant Should Do:

*Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 27)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 27)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 27)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 27)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 27)
- \_\_\_\_\_ Select the correct Competition ID (see page 28)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 27)
- \_\_\_\_\_ Sign up for Grants.gov email notifications (optional) (see page 26)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

#### General Requirements:

- \_\_\_\_\_ Review "[Other Requirements](#)" web page

#### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit of \$750,000.

#### Eligibility Requirement:

- \_\_\_\_\_ Applicant agency meets eligibility requirements (see title page)
- \_\_\_\_\_ Federally recognized tribe (if applicable) (see title page)

#### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 17)
- \_\_\_\_\_ \*Project Abstract—Including information on number of individuals to be served and **both pre- and post-release services for every program participant** (see page 17)
- \_\_\_\_\_ \*Program Narrative\* - Including information on **both pre- and post-release services for every program participant\*** (see page 18)
- \_\_\_\_\_ \*Budget Detail Worksheet and Budget Narrative (see page 19)
  - \_\_\_\_\_ Match Waiver (if applicable) (see page 15)
  - \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable, see page 15)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 28)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable, see page 20)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable, see page 20)
- \_\_\_\_\_ Additional Attachments (see page 21)
  - \_\_\_\_\_ Project Timeline
  - \_\_\_\_\_ Position Descriptions
  - \_\_\_\_\_ Reentry Strategic Plans
  - \_\_\_\_\_ Letter from the Research Partner
  - \_\_\_\_\_ Letters of Support from corrections officials responsible for facilities or adults to be served through this project
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications

\_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable, see page 22)

**\*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, 2010). 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. (Andrews and Bonta, 2010)
- 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 Considerations from the Research:**

- Correctional staff members need to work with offenders to ensure they have the tools needed for success in the community.
- Correctional and community staff members 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 have funded through your Second Chance grant, or you are proposing to fund through your Second Chance grant application?
- 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?
- Have staff members been trained to appropriately use cognitive-behavioral interventions and strategies?
- What data is collected about offenders reentering communities?
- 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 (2010). *The psychology of criminal conduct, fifth edition*. New Providence, NJ: Matthew Bender & Company, Inc.

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

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

## Appendix 2 Pay for Success Criteria

Criteria	
Target Population	<b>The project must describe the population to be served, the goals to be obtained, and provide adequate protection for vulnerable populations.</b> The project should describe any safeguards and incentives against “creaming.” The project should also describe how it meets a compelling need.
Evidence	<b>The project must describe the types of services and other interventions that will be provided.</b> The project should identify any body of evidence that supports the efficacy of the approach.
Investment	<b>The project should clearly identify the source of working capital and provide evidence of its availability.</b> 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	<b>The project must identify all parties to the agreement including prime and sub-recipients.</b> Any intermediaries or other management organizations must be clearly identified. The roles and responsibilities of all parties should be described.
Flexibility	<b>The project must not overly encumber the management and administration of services and other interventions.</b> 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	<b>Outcomes must be defined in terms of the desired “end state”.</b> 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><b>The project must describe how the achievement of outcomes will be measured.</b> 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><b>The obligation and period of availability of government funds should align with payback periods.</b> 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><b>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.</b> Government and outside entities should identify whether these savings or ROI accrue proportionate to investment for each participating governmental entity.</p>