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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 the Second Chance Act Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders. This program furthers the Department's mission by providing resources to state, local, and tribal governments to establish or enhance the provision of treatment to adults to facilitate the successful reintegration of individuals returning from incarceration to their communities.

## **Second Chance Act Reentry Program for Adults with Co-Occurring Substance Abuse and Mental Disorders FY 2016 Competitive Grant Announcement Applications Due: March 30, 2016**

### **Eligibility**

Eligible applicants are limited to states, units of local government, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

BJA welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

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

#### **NOTES:**

**Recidivism Data:** Assessing the outcome of programs funded under the Second Chance Act is a major DOJ priority. Applicants should consider applying for funding **only** if they can 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. Chief executives from applicant organizations **will need to sign and submit an assurance that participant recidivism indicator data will be collected and submitted**. Applications which do not include an assurance from the applicant agency's Chief Executive to collect and submit participant recidivism indicator data will not be considered. See Appendix 3 on page 41 for more information.

**Mandatory Certification:** This program provides for the treatment and reentry services of people with co-occurring substance use and mental disorders returning to the community from incarceration. All applicants **must certify** that any treatment program proposed in the application

is or will be clinically appropriate and will provide comprehensive integrated substance use and mental disorder treatment. Applicants **must provide official documentation** that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local (city and county), and tribal requirements, as appropriate. If provider organizations are not yet known, this information must be provided post-award. See Appendix 2 on page 40 for more information.

If the applicant is not the Single State Agency (SSA) for Substance Abuse Services, applicants must demonstrate that the proposal has been developed in consultation with the SSA. See [www.samhsa.gov/sites/default/files/ssa-directory.pdf](http://www.samhsa.gov/sites/default/files/ssa-directory.pdf) for a listing of the SSA entities.

Applications submitted by federally recognized tribes must submit a Tribal Authorizing Resolution. See Appendix 2 on page 40 for more information.

For additional eligibility information, see Section [C. Eligibility Information](#).

## Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on March 30, 2016.

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

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

## 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. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How To Apply](#) section.

For assistance with any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); e-mail [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

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# Second Chance Act Reentry Program for Adults with Co-Occurring Substance Abuse and Mental Disorders (CFDA #16.812)

## A. Program Description

### Overview

The Second Chance Act of 2007 ([Pub. L. 110-199](#)) provides a comprehensive response to the large number of incarcerated adults and juveniles who are released from prison, jail, and juvenile residential facilities and returning to communities. There are currently over 2.2 million individuals serving time in our federal and state prisons, and millions of people cycling through tribal and local jails every year<sup>1</sup>. Ninety-five percent of all people incarcerated today will eventually be released and will return to communities. The coordination of reentry of members of Native American tribes is even more complex given that they can return from federal, Bureau of Indian Affairs (BIA), state, local, and tribal facilities. The Second Chance Act helps to ensure that the transition individuals make from prison, jail, or juvenile residential facilities to the community is successful and promotes public safety.

The Second Chance Act Programs are designed to help communities develop and implement comprehensive and collaborative strategies that address the challenges posed by reentry and recidivism reduction. “Reentry” is not a specific program, but rather a process that starts when an individual is initially incarcerated and ends when he or she has been successfully reintegrated in the community as a law-abiding citizen. The reentry process includes screening and assessment in a pre-release setting, the delivery of evidence-based programming in a pre-release setting, and the delivery of a variety of evidence-based programming **for every program participant in a post-release setting** designed to ensure that the transition from prison or jail to the community is safe and successful.

### Program-Specific Information

The Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders is designed to improve outcomes for adults with co-occurring substance use and mental disorders returning to communities after a period of incarceration. BJA recognizes that a significant number of individuals who are incarcerated and returning to the community have chronic substance use and mental disorders and are in need of treatment in order to successfully complete their supervision, reduce recidivism, and promote public safety. The coordination of substance abuse and mental health treatment with correctional planning can encourage participation in treatment and can help incorporate treatment goals into correctional supervision and supports.

A 2014 joint report released by the Treatment Advocacy Center (TAC) and The National Sheriffs' Association, *The Treatment of Persons with Mental Illness in Prisons and Jails: A State Survey*, estimated that in 2012 there were 356,268 inmates with a severe mental illness in prisons and jails<sup>2</sup>, and that in the same year there were approximately 35,000 patients with severe mental illness in state psychiatric hospitals, signifying that the number of incarcerated persons with mental illness was 10 times higher than the number of people with mental disorders residing in state hospitals.

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<sup>1</sup> <http://www.bjs.gov/content/pub/pdf/cpus13.pdf>

<sup>2</sup> [TACReports.org/treatment-behind-bars](http://TACReports.org/treatment-behind-bars) April 8, 2014

The report also demonstrated that in 44 of the 50 states, a prison or jail in that state holds more individuals with serious mental illness than the largest state psychiatric hospital. In a study of jail population, researchers found rates of serious mental disorders were three to six times higher than those found in the general population, affecting approximately 15 percent of men and 31 percent of women.<sup>3</sup> Further, mentally ill prisoners remained in prison and jail longer than regular prisoners and thus contributed to increases in overcrowding and potentially to the use of solitary confinement.<sup>4</sup> They are disproportionately abused, beaten, and/or raped and suicides in prison and jails occur disproportionately more often among prisoners who are mentally ill.<sup>5</sup>

For the majority of those inmates with mental illness, post release/reentry into the community is a vulnerable time, marked by difficulties adjusting, increased drug use, and a 12-fold increased risk of death in the first two weeks after release. Effective transition planning and implementation can minimize the risk of these hazards and improve individual functional outcomes as well as public safety by increasing the possibility that individuals will participate in and complete supervision requirements and treatment.<sup>6</sup>

Research from the National Institute on Drug Abuse indicates that those who complete prison-based treatment and continue with treatment in the community have the best outcomes.<sup>7</sup> In addition, research indicates that medications are an important part of treatment for many justice-involved substance abusers and should be made available as part of substance abuse treatment when appropriate.<sup>8</sup> Outcomes for justice-involved substance abusers can be improved by monitoring drug use and by encouraging and facilitating continued participation in treatment. Ongoing coordination between treatment providers and community corrections is important in addressing the complex needs of these re-entering individuals. Additionally, providing connections to permanent housing, particularly permanent supportive housing, has been demonstrated to result in lower recidivism, reduced homelessness, and improved mental health and substance abuse outcomes for segments of the population with significant histories of homelessness and behavioral health issues.

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

Under this solicitation, BJA is seeking applications to implement or expand treatment programs for adults with co-occurring substance use and mental disorders during the reentry and community reintegration process, as well as expand and improve the screening and assessment for co-occurring disorders that takes place in jails and prisons. These programs should improve the provision of treatment for adults (18 years and over) being treated for co-occurring substance use and mental disorders, focusing primarily on ***post-release programming for every program participant.***

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<sup>3</sup> Henry J. Steadman, Fred C. Osher, Pamela Clark Robbins, Brian Case, and Steven Samuels, "Prevalence of Serious Mental Illness among Jail Inmates," *Psychiatric Services* 60, no. 6 (2009): 761–765.

<sup>4</sup> [www.safealternativestosegregation.org](http://www.safealternativestosegregation.org)

<sup>5</sup> Torrey Fuller, E., Zdanowicz, M., Kennard, A., Lamb, R., Eslinger, D, Biasotti, M. (2014). *The Treatment of Persons with Mental Illness in Prisons and Jails: A State Survey*,

<sup>6</sup> Blandford, A.M. and Osher, Fred, "Guidelines for successful transition of people with behavioral health disorders from jail and prison" Council of State Governments Justice Center, November, 2013

<sup>7</sup> Martin, S.S.; Butzin, C.A.; Saum, C.A.; and Inciardi, J.A. Three-year outcomes of therapeutic community treatment for drug-involved offenders in Delaware: From prison to work release to aftercare. *The Prison Journal* 79(3):294–320, 1999; Prendergast, M.L., Podus, D., Change, E., and Urada, D. The effectiveness of drug abuse treatment: A meta-analysis of comparison group studies. *Drug Alcohol Depend* 67(1):53–72, 2002.

<sup>8</sup> Kinlock, T.W., Gordon, M.S., Schwartz, R.P., Fitzgerald, T.T., and O'Grady, K.E. A randomized clinical trial of methadone maintenance for prisoners: Results at 12 months post-release. *J Subst Abuse Treat* 37(3):277–285, 2009.

The goal of this program is to:

Reduce recidivism by improving functional outcomes for individuals with co-occurring substance use and mental disorders, both pre- and post-release.

The objectives of this program are to:

- 1) Increase the screening and assessment that takes place during incarceration.
- 2) Improve the provision of integrated treatment to adults with co-occurring substance use and mental disorders pre- and post-release from incarceration.
- 3) Develop reentry plans that are informed by risk and needs assessment.

***Allowable Program Activities Include:***

Screening and assessment for co-occurring substance use and mental disorders while in prison and jail; providing preliminary treatment for co-occurring substance use and mental disorders while in prison and jail, including integrated dual diagnosis treatment; pre-release and post-release transition planning; case management; providing linkages to other wrap-around services, including employment, education, and life skills training, and post-release treatment and aftercare programming in the community through the completion of parole or court supervision; and specialized supervision caseloads.

Refer to the “Definitions” section below for more information on “co-occurring disorders,” “evidence-based programs,” and “chronic homelessness.”

**Definitions**

- **Co-Occurring Disorders (COD):** Co-occurring disorders refers to co-occurring substance-related and mental disorders. Clients said to have COD have one or more substance-related disorder as well as one or more mental disorder. At the *individual level*, COD exist “when at least one disorder of each type can be established independent of the other and is not simply a cluster of symptoms resulting from [a single] disorder.”
- **Evidence-Based Programs or Practices:** OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. 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.
  - 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. The [OJP CrimeSolutions.gov](http://ojp.gov/crimesolutions) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services. Another resource is the Substance Abuse and Mental Health Services Administration (SAMHSA) National Registry of Evidence-based Programs and Practices (NREPP), a searchable online registry of more than 350 substance abuse and mental health interventions, including criminal justice/criminogenic-treatment interventions. See: <http://nrepp.samhsa.gov/>.

- **Chronic Homelessness:** In general, the term “chronically homeless” means, with respect to an individual, that the individual:
  - (I) has been continuously homeless for a year or more; OR
  - (II) has had at least four episodes of homelessness in the past 3 years.

“Homeless” is defined as a person sleeping in a place not meant for human habitation (e.g., living in a car) OR living in a homeless emergency shelter.

## Program Design Elements

Grantees will be expected to complete a “Planning Phase” that requires work with BJA’s technical assistance provider and approval from BJA before activity may begin toward the full implementation of their programs.

### Planning Phase:

- Although each of the 16 program design elements must be included in the application, BJA expects that some may be in the preliminary stages of development at time of application. During the Planning Phase, applicants will build upon and strengthen compliance with the mandatory program design elements.
- Grantees will receive intensive technical assistance and will be allowed to access up to \$50,000 of the total grant award in order to complete and submit a required **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. Program budget approval and coordination with a technical assistance coordinator is required to complete and submit a planning and implementation guide.
- Once Planning and Implementation Guides are submitted and approved by BJA, grantees will move into the Implementation Phase of their project and gain access to the remainder of their grant funds.

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

- Continue establishment of program design, including the integration of an Integrated Care Model (see below and page 9 for more information).
- Continue or commence a strategic plan for the implementation of health care services into program design (see page 11 for more information).
- Continue development of a Continuum of Care model, examining the applicant’s current provision of screening and assessment, pre-release treatment services and post-release programming to ensure that all gaps within the remaining system are filled by strategically targeting grant funds for maximum efficacy.
- Improve and enhance use of screening and assessment to ensure that the proper individuals are selected for participation in the most appropriate programming to ensure the best outcomes for program participants.
- Engage in strategic planning to ensure long-term systems change and sustainability for maximum program efficacy.

### Implementation Phase:

The following 16 elements listed below **MUST** be addressed in the proposal. Applicants should consider implementing an “integrated care” approach when designing their programs, which incorporates all mandatory program design elements. For more information on the Integrated Care Model, refer to page 9. Applicants **MUST**:

- 1) **Use an Actuarial-Based Assessment Instrument for Treatment and Reentry Planning:** Applicants **must** use risk and needs assessment tools that are reliable, validated, and normed for their specific target population in order to increase the chances that individuals will be matched with the appropriate type of treatment and reentry services.
- 2) **Target Higher-Risk Individuals:** Prioritize primary supervision and treatment resources for individuals 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 individuals 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 individuals. Maximum benefit is gained only when intervention resources are directed to moderate- and high-risk individuals.
- 3) **Establish Baseline Recidivism Rate and Collect and Report Recidivism Indicator Data:** Provide a baseline recidivism rate specifically for the proposed target population including documentation to support the development of the rate. Collect participant unique identifiers, and collect and report recidivism indicator data.
- 4) **Enhance Intrinsic Motivation:** Staff must be able to relate to individuals in interpersonally sensitive and constructive ways in order to enhance intrinsic motivation in individuals. Research findings suggest that motivational interviewing or other cognitive-behavioral communication techniques can effectively enhance the individual's desire to initiate and maintain behavior changes (Miller and Rollnick, 2002; Miller and Mount, 2001).
- 5) **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 most 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 status; school and/or work; leisure and/or recreation; and substance abuse.

Behavioral change is possible if individuals 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, and provide training for staff in utilizing cognitive-behavioral interventions and strategies.

- 6) **Determine Dosage and Intensity of Services:** Higher-risk individuals require significantly more structure and services than lower-risk individuals. High-risk individuals should receive a minimum of 300 hours of cognitive-based interventions, moderate-risk individuals should receive a minimum of 200 hours, and low-risk individuals should receive a minimum of 100 hours of cognitive-based interventions. Additionally, during the initial 3–9 months post-release, 40–70 percent of high-risk individuals' free time needs to be occupied with delineated routine and appropriate services (Bourgon and Armstrong, 2006; Latessa, 2004; Gendreau and Goggin, 1995).
- 7) **Provide Evidence-Based Substance Use and Mental Disorder Treatment Services:** Provide substance use and mental disorder treatment practices and services that have a demonstrated evidence base and that are appropriate for the target population.<sup>9</sup> Applicants

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<sup>9</sup> Applicants can also find information on evidence-based practices in SAMHSA's *Guide to Evidence-Based Practices* available at [www.samhsa.gov/ebpwebguide](http://www.samhsa.gov/ebpwebguide). The guide provides a short description and a link to dozens of websites with relevant evidence-based practices information—either specific interventions or comprehensive reviews of research findings. Note that SAMHSA's *Guide to Evidence-Based Practices* also references NREPP, a searchable

should identify the evidence-based practice being proposed for implementation, identify and discuss the evidence that shows that the practice is effective, discuss the population(s) for which this practice has been shown to be effective, and determine that it is appropriate for the proposed target population.

**8) Provide Integrated Treatment for Substance Use and Mental Disorders<sup>10</sup>:**

BJA anticipates funding applicants that demonstrate an integrated treatment approach, knowing that integrated treatment produces better outcomes for individuals with co-occurring substance use and disorders. Without integrated treatment, one or both disorders may not be addressed properly.

While integrated care here refers to the range of processes and strategies for combining substance use services and mental health services to address the needs of individuals with co-occurring substance use and mental disorders, integrated care can also refer to combining different types of services provided by different agencies and systems beyond substance use and mental health, including primary health care, housing, and treatment to address criminogenic needs.

There are two levels of integration: systems integration and services integration. **Systems integration** refers to the process by which individual systems or collaborating systems (e.g., criminal justice, substance use, mental health) organize themselves to implement services integration to clients with co-occurring substance use and mental health disorders and their families.<sup>11</sup> **Services Integration**<sup>12</sup> refers to the participation of providers trained in both substance use and mental health services to develop a single treatment plan addressing both sets of conditions, and the continuing formal interaction and cooperation of these providers in merging separate clinical services to meet the individual's substance use, mental health, and other needs. Services integration has two levels: **integrated programs** are changes within an entire agency that help practitioners provide integrated treatment, and **integrated treatment interventions**<sup>13</sup> are specific treatment strategies or techniques at the individual-practitioner level and include all services and activities that are combined in a single contact or series of contacts over time.

**Services integration** means providing *at a minimum*:

- Integrated screening for mental and substance use disorders.

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database of interventions for the prevention and treatment of mental and substance use disorders. NREPP is intended to serve as a decision support tool, not as an authoritative list of effective interventions. *Being included in NREPP, or in any other resource listed in the guide, does not mean an intervention is "recommended" or that it has been demonstrated to achieve positive results in all circumstances.* Applicants must document that the selected practice is appropriate for the specific target population and purposes of their project.

<sup>10</sup> SAMHSA and the World Health Organization have made available a number of resources on developing treatment that integrates mental health, substance use, and health care into one system. The definitions above have been sourced from these resources. Please visit the SAMHSA integration page for tools on how best to incorporate this type of service delivery into the planning of your program: [http://www.who.int/healthsystems/service\\_delivery\\_techbrief1.pdf](http://www.who.int/healthsystems/service_delivery_techbrief1.pdf). They also have an evidence-based practice toolkit for integrating treatment for co-occurring disorders, here:

<http://store.samhsa.gov/product/Integrated-Treatment-for-Co-Occurring-Disorders-Evidence-Based-Practices-EBP-KIT/SMA08-4367>. The World Health Organization has a technical brief on the importance of incorporating integrated health services into practice, found here:

[http://www.who.int/healthsystems/service\\_delivery\\_techbrief1.pdf](http://www.who.int/healthsystems/service_delivery_techbrief1.pdf). And lastly, please visit this link for a best practices brief on the integration of services into policy and practice, by Dr. Kenneth Minkoff, found here:

<http://kenminkoff.com/articles/dualdx2006-4-whatisintegration.pdf>

<sup>11</sup> For more information, please see SAMHSA (2007). *Systems Integration*. U.S. Department of Health and Human Services. Retrieved from <https://store.samhsa.gov/shin/content/SMA07-4295/SMA07-4295.pdf>

<sup>12</sup> For more information, please see SAMHSA (2007). *Services Integration*, U.S. Department of Health and Human Services. Retrieved from <https://store.samhsa.gov/shin/content/SMA07-4294/SMA07-4294.pdf>

<sup>13</sup> For more information, please see SAMHSA (2010). *Integrated Treatment for Co-Occurring Disorders Evidence-Based Practices (EBP) Kit*. Retrieved from <http://store.samhsa.gov/product/SMA08-4367>

- Integrated assessment.
- Integrated treatment planning.
- Integrated or, at least, coordinated treatment.
- Continuing care.

The overall vision of an integrated system is to effectively serve individuals with co-occurring substance use and mental disorders no matter where they enter the system. In the context of reentry, integrated care models unite and align evidence-based treatment approaches to provide seamless and coordinated pre-release and post-release services that address both criminogenic risk and needs, health needs, and general reentry needs. Typical integrated care programs in reentry unite treatment for co-occurring substance use mental disorders with trauma care and criminogenic risk reduction strategies. Services begin during incarceration and continue in the community following release. Those applicants designing prison-based programs must provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit in a facility exclusively for use by participants—from the general correctional population. Individuals included in prison-based programs must be within 6–12 months before scheduled release to the community.

Proposed programs should require urinalysis and/or other proven reliable forms of drug and alcohol testing for program participants, including both periodic and random testing, and for former participants while they remain in the custody, or under community supervision, of the state, local, or tribal government.

- 9) Provide Evidence-Based Pharmacological Drug Treatment Services:** Applicants are encouraged to utilize pharmacological drug treatment services (also referred to as “Medication Assisted Treatment”), as appropriate and available, as part of any drug treatment program.

In consultation with federal partners at SAMHSA, Medication Assisted Treatment (MAT) is supported and considered an evidence-based substance abuse treatment protocol. BJA supports the right of individuals to have access to appropriate MAT under the care and prescription of a physician. BJA recognizes that all communities may not have access to MAT due to a lack of physicians who are able to prescribe and oversee clients using anti-alcohol and opioid medications. This will not preclude the applicant from applying, but where and when available, BJA supports the client’s right to access MAT.

- 10) Use Cognitive-Behavioral Interventions:** These strategies are focused on changing the individual’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.

- 11) Implement Transition Planning Procedures:** Developing and implementing transition planning procedures to ensure linkages to services and benefits is a critical part of the reentry process. Applicants should consider institutionalizing appropriate information sharing with relevant community corrections and behavioral health partner agencies, assessing insurance and benefit status (including Medicaid, Supplemental Security Income [SSI], Social Security Disability Insurance [SSDI], veterans’ benefits, and other government entitlement programs) and eligibility, and assisting inmates in the insurance/benefits application process.

- 12) Support a Comprehensive Range of Recovery Support Services:** Applicants are encouraged to make available a comprehensive range of programs, including 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, including supported employment; ongoing evidenced-based substance abuse (including alcohol abuse); and mental disorder treatment; housing, physical health care services; veteran-specific services as applicable; programs that encourage safe, healthy, and responsible family and parent-child relationships and enhance family reunification, as appropriate; mentoring, and permanent supportive housing.

**13) Provide Sustained Aftercare, Case Planning/Management in 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 from the time of release, or through the completion of parole or court supervision, whichever is shorter, and is especially responsive to the individual's transition from incarceration to the community. Aftercare services must involve coordination between the correctional treatment program, community supervision program, and other social service and rehabilitation programs, such as education and job training, parole supervision, halfway houses, self-help, and peer group programs. Post-release treatment and aftercare must be coordinated, including information sharing, and in-reach allowed for community-based treatment providers. This should also include efforts to increase enrollment of individuals in health coverage (Medicaid or private health insurance) and encourage connection to community-based health care services to ensure continuity of care. Applicants are strongly urged to also link case management services to affordable and supportive housing for target populations where chronic homelessness is a risk factor for recidivism.

**14) Provide Community Supervision Services which Follow Evidence-Based Practices:**

Funds may be used to provide evidence-based community supervision services including the development and supervision of individualized case plans which stem from risk and needs assessments; the use of graduated responses including the employment of structured, swift, and incremental responses to violations; structuring supervision caseloads which reflect the level of risk and needs for the target population; and staff development including training in effective individual management techniques.

Applicants are encouraged to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluation. One resource that applicants may be interested in using is the e-Consortium for University Centers and Researchers for Partnership with Justice Practitioners ([www.gmuconsortium.org](http://www.gmuconsortium.org)). The purpose of this e-Consortium is to provide a resource to local, state, federal, and other groups that seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial to the criminal justice community.

**15) Plan for Data Collection and Performance Measurement to Meet Grant's Performance Measurement Reporting Requirements, and Plan for Conducting Process/Outcome:**

Programs collect data for different purposes: to keep track of participants or other grant project-related activities (program operations), to measure the grant project's performance on an ongoing basis (performance measurement), and to determine whether the grant project is operating as intended and having the intended results (process and outcome evaluations respectively).

It is important for programs to be able to measure the performance and impact of the grant project and make a case to different constituencies for sustaining it beyond the grant period. This information may come from program performance measures or from program evaluation measures, but there is often confusion on what distinguishes the two types. Understanding the differences will help you determine how to develop plans for conducting both performance measurement and program evaluation, tailoring both to your objectives and resources. While both forms of assessment "aim to support resource allocation and other policy decisions to

improve service delivery and program effectiveness,” there are key differences.<sup>14</sup>

There is a basic level of data collection and analysis for the ongoing monitoring and reporting of program accomplishments (performance measurement) that can typically be conducted by program or agency management. However, specialized skills are required for conducting systematic studies—conducted periodically or on an ad hoc basis—to assess whether a program has achieved its objectives (program evaluations), requires identification of measurement performance standards and data analysis that is conducted in a way that ensures accurate results, and provides a basis for making informed decisions. Your team should identify someone—either from an evaluation department of a participating agency, or a research group from a nearby university—who has the skills and capacity to analyze the data you generate and design and conduct a program evaluation study.

Evaluators, whether in-house or external, can play a crucial role in generating reliable information on the performance of the program, what impact it had, for whom, and why. Engaging them at the onset of the program helps ensure that the evaluation will be driven by the jurisdiction’s goals and objectives of the program and broader system-level policy questions. They play an important role in ensuring issue spotting and exploring patterns in the data that can lead to a deeper understanding of program outcomes, and provide program recommendations on moving forward.

Several factors should be considered when choosing an evaluator:

- Allocated resources (i.e., availability of resources, such as staff time).
- Type of data to be collected (e.g., large data sets, qualitative data, cost data, etc.).
- Knowledge of the field (e.g., mental health, substance use, criminal justice, law enforcement).
- How the evaluation will be used (e.g., to identify the benefits of a program? To determine how to improve it?).
- Time commitment (e.g., will the evaluator be available for the duration of the project? Are there other competing priorities to be aware of?).
- Expected duties (e.g., will the evaluator be responsible for training staff, engaging community leaders and stakeholders and communicating results?).
- Other agendas (e.g., does the evaluator’s agenda align with the goals of the project?).

There is variety among program evaluation designs; while double-blind randomized or controlled studies are most rigorous from a methodological perspective, it’s not required that program evaluations take these specific forms.

## **16) Strategies for Increasing Access to Health Care**

Applicants are encouraged to focus on planning and implementing strategies for increasing access to health care, including behavioral health treatments for reentering populations that are anticipated to reduce recidivism and costs associated with detention and incarceration. Strategies include increasing enrollment in Medicaid and private health insurance available through employment or the health insurance marketplace (also known as exchanges), addressing behavioral health parity, and facilitating the continuity of care between correctional and community-based health care providers. Examples of how funding may be utilized to meet these goals include: incorporating health literacy into pre-release planning; institutionalizing enrollment activities; building capacity for correctional health care and

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<sup>14</sup> See U.S. Government Accountability Office, “Performance Measurement and Evaluation: Definitions and Relationships” (U.S. GAO, 1997), <http://www.gao.gov/special.pubs/gg98026.pdf>.

community health care providers to share information, including the use of health information technology; providing guidance on the applicability of the individual mandate for the criminal justice population; identifying options and exclusions under Medicaid and private coverage relating to court-mandated treatment; identifying opportunities for maximizing health care coverage for the criminal justice population in traditional and expanded Medicaid programs; and collaborating with state Medicaid agencies to address policies relating to Medicaid managed care enrollment and suspending and/or terminating Medicaid benefits during incarceration.

**Resource Note: Behavioral Health Framework for Adults Under Correctional**

**Supervision:** For a compilation of research regarding targeted 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.

**Priority Considerations**

Priority consideration will be given to applicants that include the following elements in the development of their program:

- Focus their program on geographic areas with demonstrated high rates of people returning from prisons or jails.
- Incorporate innovative uses of information technology which leverage electronic information sharing and communication to advance the specific goals of this solicitation, including but not limited to the sharing of electronic medical records. Such proposals should clearly state how justice information sharing will be employed to address business solutions using architecture, standards, policy, and technology deployment. Applicants must also demonstrate utilization of DOJ's Global-recommended specifications and guidelines where applicable, to include implementation of the Global Standards Package. For more information, visit [www.it.ojp.gov/gsp](http://www.it.ojp.gov/gsp).
- Link grant-funded activities and services to affordable and supportive housing, leveraged through partnerships with nonprofit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care that support stable housing and prevent homelessness.

**Resource Note: The National Reentry Resource Center**

BJA provides oversight of the NRRC for the provision of training and technical assistance (TTA) to Second Chance Act grantees. The NRRC, funded by BJA, provides education and TTA to states, tribes, territories, local governments and service providers, nonprofit organizations, and corrections institutions working on reentry. Grantees will be provided a TTA Coordinator who will provide assistance in planning and implementing their program.

**Resource Note: Civil Legal Aid**

Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. An allowable use of Second Chance Act funds for reentry services includes referral to and payment of legal services related to the purpose of the grant, such as: securing a driver's license, expunging criminal records, litigating inappropriate denials of housing or employment and

violations of the Fair Credit Reporting Act, creating and/or modifying child support orders, and other family law services that help stabilize individuals and families. For more information, go to [www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf](http://www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf). This excludes the payment of fines or penalties associated with a driver's license suspension or the payment of child support.

## B. Federal Award Information

### Amount and Length of Awards

BJA estimates that it will make up to eight awards of up to \$650,000 each for an estimated total of \$5.2 million for a 36-month project period, beginning on October 1, 2016.

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

- **Category 1, Competition ID BJA-2016-9327:** Units or components of state government agencies serving adult individuals.
- **Category 2, Competition ID BJA-2016-9328:** Units or components of county or city local government agencies serving adult individuals.
- **Category 3, Competition ID BJA-2016-9329:** Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adult individuals.

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

### Type of Award<sup>15</sup>

BJA expects that it will make any award from this announcement in the form of a grant.

### Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>16</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework," issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the recipient's (and any subrecipient's) compliance with statutes, regulations, and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

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<sup>15</sup> See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements [a type of grant]).

<sup>16</sup> For purposes of this solicitation (or program announcement), "pass-through entity" includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the recipient (or any subrecipient) considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the DOJ Grants Financial Management Online Training available [here](#).

## **Budget Information**

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

In addition to the unallowable costs identified in the Financial Guide, award funds may not be used for:

- 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 2015 DOJ Grants Financial Guide at <http://ojp.gov/financialguide/DOJ/index.htm>.

### **Cost Sharing or Matching Requirement**

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

For more information on matching or cost sharing requirements, go to the 2015 DOJ Grants Financial Guide, Chapter III: [http://ojp.gov/financialguide/DOJ/pdfs/2015\\_DOJ\\_FinancialGuide.pdf](http://ojp.gov/financialguide/DOJ/pdfs/2015_DOJ_FinancialGuide.pdf)

### **Pre-Agreement Cost (also known as Pre-award Cost) Approvals**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#) for more information.

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

With respect to any award of more than \$250,000 made under this solicitation, 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.<sup>17</sup> The 2016 salary table for SES employees is available on the Office of Personnel Management [website](#). **Note:** A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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.

**Note:** A waiver request will not be accepted if it was not submitted with the application.

Compensation Waiver request must be submitted as a separate attachment and entitled "**Waiver: Employee Compensation.**"

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.

### **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/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.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 conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training 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 under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For additional eligibility information, see title page.

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<sup>17</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

For additional information on cost sharing or matching requirements, see [Section B. Federal Award Information](#).

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How To Apply](#).

## **D. Application and Submission Information**

### **What an Application Should Include**

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the 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: Program Abstract, Program Narrative, Budget Detail Worksheet, Budget Narrative, and Chief Executive Assurance to Collect and Submit Participant Recidivism Indicator Data. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How To Apply](#) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use **appropriately descriptive file names** (e.g., "Abstract," "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Disclosure of Pending Applications," and "Résumés") **for all attachments**. Also, OJP recommends that applicants include résumés in a single file. For better identification of application attachments during review, place the application number at the top of each application document.

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP's Grants Management System (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). The SF-424 should include the funds requested for the entire 36-month project period.

### **Selecting the Appropriate Point of Contact (POC) and the Authorized Representative:**

Applicants should be cognizant that these two contacts should not be the same. 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. Make sure that the name, contact information, title, and salutation is correct.

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

## 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.

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative. **The abstract should include the following clearly labeled information:**

- Name of applicant (agency/correctional facility), title of the project, and amount of funding requested.
- Whether the agency/correctional facility is a state, local, or tribal entity.
- Brief description of the target population (e.g., size and make-up of the target population, etc.), the geographic location for the target population, the projected number of individuals to be serviced, and the jurisdiction’s population.
- Baseline recidivism rate for the proposed target.
- Brief description of the program design that includes a description of both the pre- **and** post-release treatment services to be provided for every program participant.
- Description of the type of objective assessment instrument(s) used to identify and determine the individual’s criminogenic risks, needs, and intervention treatment.
- Information on the collaborative partnerships with community-based substance abuse service providers to ensure coordinated reentry.
- Briefly explain which, if any, of the Priority Considerations the application has addressed as described on page 13.
- Describe how many total people the proposed program plans to serve over the length of the project period. If the applicant is requesting funds for a program that is currently operational, the applicant must state how many people the program has served (who meet the stated target population characteristics) over the past 6 months. If the applicant is proposing to implement as a “new program,” the applicant must state how many people met the target population characteristics within the past 6 months. **Those served or eligible over the past 6 months will provide the foundation for determining the total number of people the proposed program plans to serve.**
- Name the research partner who will be providing the evaluation of the program and the type of evaluation to be conducted.

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

**NOTE:** BJA recommends that the abstract be submitted as a Microsoft Word document.

**Permission to Share Project Abstract with the Public:** It is unlikely that BJA will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding 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 unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### **3. Program Narrative**

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

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

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures.

To demonstrate program progress and success, as well as 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 Co-Occurring Substance Abuse and Mental Disorders program performance measures at: [www.bjaperformancetools.org/help/scaco-occurringquestionnaire.pdf](http://www.bjaperformancetools.org/help/scaco-occurringquestionnaire.pdf)

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.

#### **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 Funding Resource Center](http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page:

[ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm](http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

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

##### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at <http://ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf>. The Budget Detail Worksheet should be broken down by year. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet:

- 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 a 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, D.C.

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.

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

In addition to the unallowable costs identified in the 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 Financial Guide at <http://ojp.gov/financialguide/DOJ/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 [2015 DOJ Grants Financial Guide](#).

**d. Pre-Agreement Cost Approvals**

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

**5. Assurance to Collect and Submit Participant Recidivism Indicator Data**

Applications must include an assurance signed by the applicant organization’s chief executive (see Appendix 3 for Assurance form) that all participant recidivism indicator data will be collected and submitted at the end of the grant period. Applications which do not include this assurance will not be considered. Inability or refusal to submit data after award may impact the organization’s ability to receive future BJA competitive grant funding.

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

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant is eligible to use and elects to use the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

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 the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [2015 DOJ Grants Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 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 <http://ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the "de minimis" indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the "de minimis" rate) and its election. If the applicant elects the "de minimis" method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>18</sup>

- 7. 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, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or 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.

**8. Applicant Disclosure of High Risk Status**

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must e-mail the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high risk.
- Date the applicant was designated high risk.
- The high risk point of contact name, phone number, and e-mail address, from that federal agency.
- Reasons for the high risk status.

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<sup>18</sup> See 2 C.F.R. § 200.414(f).

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

**9. Additional Attachments:**

**NOTE:** OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Timeline,” “Position Descriptions,” “Memoranda of Understanding,” “Disclosure of Pending Applications,” and “Resumes”) for all attachments. Also, OJP recommends that applicants include resumes in a single file.

- a. **Project Timeline** with each project goal, related objective, activity, expected completion date, responsible person, or organization.
- b. **Position Descriptions** for key positions.
- c. **Letters of Support/Memoranda of Understanding** from all key partners, detailing the commitment to work with the applicant to promote the mission of the project.
- d. **Mandatory Certification Requirements and Mandatory Coordination Requirement Form** (see also Appendix 2): Applicants must certify that any treatment program proposed in the application is clinically appropriate, will provide comprehensive treatment, and has been developed in coordination with the SSA for Substance Abuse Services. Treatment providers who are serving the intended target population of this program must provide documentation that demonstrates credentials to provide integrated substance use and mental disorder treatment services.

Applicants should also provide official documentation that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local (city, county), and tribal requirements, as appropriate.

**e. 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 Budget Detail 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
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 to their application. The file should be named “Disclosure of Pending Applications.”

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 Budget Detail Worksheet in the application under this solicitation”).

**f. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
  - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by BJA grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had

itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

#### **10. Financial Management and System of Internal Controls Questionnaire**

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205,, federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

#### **11. Disclosure of Lobbying Activities**

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying

Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

**How To Apply**

Applicants must register in and submit applications through Grants.gov, a primary source 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 e-mail [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Note on Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please ensure all required documents are attached in the mandatory category.

**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.

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>		

Grants.gov is designed to forward successfully submitted applications to OJP’s Grants Management System (GMS).

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” 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:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply

with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2, and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget (OMB) 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. . SAM registration and renewal can take as long as 10 business days to complete.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. **Once the SAM registration/renewal is complete, 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 for organizations, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 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. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. 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 number for this solicitation is 16.812, titled “Second Chance Act Prisoner Reentry Initiative,” and the funding opportunity number is BJA-2016-9094.

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:
  - **Category 1, Competition ID BJA-2016-9327:** Units or components of state government agencies serving adult individuals.
  - **Category 2, Competition ID BJA-2016-9328:** Units or components of county or city local government agencies serving adult individuals.
  - **Category 3, Competition ID BJA-2016-9329:** Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adult individuals.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** 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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on March 30, 2016.
8. 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 the same application, BJA will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

#### **Experiencing Unforeseen Grants.gov Technical Issues**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicant 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 an 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. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the 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.gov/funding/Explore/CurrentFundingOpportunities.htm](http://www.ojp.gov/funding/Explore/CurrentFundingOpportunities.htm).**

## E. Application Review Information

### Selection Criteria

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, "Statement of the Problem," is worth 15 percent of the entire score in the application review process.

#### 1. Statement of the Problem (15 percent)

- Describe the problems with meeting the needs of adult individuals with co-occurring substance use and mental disorders returning to the community.
- Indicate the jurisdiction or tribe to be served, including information about the correctional facilities from which individuals will be reentering communities. Provide information on the target population (i.e., size and make-up of the target population, etc.), the number of individuals with co-occurring substance use and mental disorders within the correctional/detention facilities who are returning to the community, and any recidivism and substance use data available for the target population.
- Summarize the basic components of the current process for identifying individual risk/needs, availability of substance use and mental health treatment services, reentry planning for these individuals, linkages to community-based treatment providers, and case management.
- Provide justification and support documentation for selecting the target population.
- Provide a baseline recidivism rate, including the method for calculating the rate, for the proposed target population and discuss what level of reduction in recidivism you would consider to be success. If the applicant does not have a baseline recidivism rate for a historical sample of ex-individuals **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for ex-individuals that have been released from a local prison or jail, **such as a facility 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.

#### 2. Program Design and Implementation (35 percent)

- Describe the proposed program and the project's purpose, goals, and objectives.

- Describe how the Planning Phase activities will be addressed, including the completion of the *Planning and Implementation Guide*.
- Address each of the 16 Program Design Elements (pages 7-12 and Appendix 1).
- Address the Priority Considerations (page 13).
- Provide operational guidelines for identifying eligible program participants, which should include a plan to screen potential participants, conduct risk and needs assessments, and refer individuals to the program.
- Describe how many total people the proposed program plans to serve over the length of the project period. If awarded grant funds, BJA will track the number of participants actually provided services with the number proposed in this section of the competitive application.
  - 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**.
- Provide a description of both the pre-release screening and assessment process and post-release services to be provided for every program participant.
- Describe the process for linking individuals to treatment and other recovery support services. Describe any modifications/adaptations needed to make this practice meet the goals of your project and why the changes will improve the outcomes.
- Describe the mechanisms that will be put in place to ensure the accountability of the service delivery system on an ongoing basis.

### 3. Capabilities, Competencies, and Coordination (25 percent)

- 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 implementing agency and collaborative partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program. Include position descriptions for key personnel (as an attachment).
- If applicable, describe the experience of the project researcher, and in particular their experience evaluating criminal justice programs, particular experience measuring and reporting recidivism and improvement in functional outcomes for justice-involved individuals with behavioral health disorders, and ability to work across multiple data sets.
- Demonstrate and identify partnership organizations with community-based substance abuse and mental health treatment programs to ensure coordinated reentry efforts within the correctional facility/facilities and ongoing treatment and/or aftercare programming upon individual reentry to the community.

### 4. Plan for Data Collection and Performance Measurement to Meet Grant’s Performance Measurement Reporting Requirements, and Plan for Conducting Process/Outcome Evaluation (15 percent)

- Describe the current ability to collect and analyze participant-level, if applicable, and program-level performance and outcome data. In addition, this description should also include the ability to share data with other agencies, such as the department of mental health or other relevant service agencies. Outline how and what data and information will be collected and analyzed to determine the effectiveness of the treatment programs implemented or enhanced and describe how randomized trials will be used where feasible. Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.
- Identify existing barriers to collaboration between the criminal justice and behavioral health systems within the jurisdiction and with its intergovernmental partners as relevant, and describe how this grant will improve collaboration to improve access to treatment services beyond this particular program.
- Discuss how variables like stakeholder support and service coordination will be defined and measured.
- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources to sustain the project when the federal grant ends.
- Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery.

## **5. Budget (10 percent)**

- Provide a proposed budget for the entire project period, including both the Planning Phase and the Implementation Phase, 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>19</sup>
- Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff members to attend two meetings in Washington, D.C.
- Upon the granting of this award, initial funds will be available only for the Planning Phase. Please be mindful that the Planning and Implementation Guide must be submitted and approved by BJA before grantees move into the Implementation Phase of their project and gain access to the remainder of their funds.
- See the additional budget and budget narrative requirements on pages 20-21.

## **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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although

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<sup>19</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.

program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the System for Award Management (SAM).

For a list of critical elements, see [What an Application Should Include](#) under [Section D. Application and Submission Information](#).

BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.
3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official. The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date. Recipients will be required to log in; accept any outstanding assurances and certifications on the award;

designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

### **Administrative, National Policy, and other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>20</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

### **General Information about Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

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<sup>20</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 [FFATA]).

Special Reporting requirements may be required by OJP depending on the statutory, legislative, or administrative obligations of the recipient or the program.

## **G. Federal Awarding Agency Contact(s)**

For Federal Awarding Agency Contact(s), see title page.

For contact information for Grants.gov, see title page.

## **H. Other Information**

### **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 email your résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your résumé. **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 2016 Second Chance Act Reentry Program for Adults with Co-Occurring Substance Abuse and Mental Disorders**

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
- \_\_\_\_\_ Sign up for Grants.gov e-mail [notifications](#) (optional) (see page 26)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 16)

*After application submission, receive Grants.gov e-mail notifications that:*

- \_\_\_\_\_ (1) application has been received,
- \_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 28)

*If no Grants.gov receipt, and validation or error notifications are received:*

- \_\_\_\_\_ contact the NCJRS Response Center regarding experiencing technical difficulties (see page 26)

**General Requirements:**

- \_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

**Scope Requirement:**

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$650,000.

**Eligibility Requirement:**

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

## What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) Form (see page 17)
- \_\_\_\_\_ \*Project Abstract—Including information on ***both pre- and post-release services for every program participant*** (see page 18)
- \_\_\_\_\_ \*Program Narrative—Including information on ***both pre- and post-release services for every program participant*** (see page 19)
- \_\_\_\_\_ \*Budget Detail Worksheet and \*Budget Narrative (see page 20)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 21)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 22)
- \_\_\_\_\_ Additional Attachments (see page 23)
  - \_\_\_\_\_ Project Timeline
  - \_\_\_\_\_ Position Descriptions
  - \_\_\_\_\_ Letters of Support/Memoranda of Understanding
  - \_\_\_\_\_ Mandatory Certification Requirements and Coordination Requirements\*
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (if applicable) (see page 25)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 25)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 15)
- \_\_\_\_\_ \*Chief Executive Assurance to Collect and Submit Participant Recidivism Indicator Data (see page 21)

**\* 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**

### **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 individuals—in a reliable and valid manner—is essential for the effective supervision and treatment of people returning from prisons, jails, and juvenile facilities (Andrews and Bonta, 1998). The levels of supervision and services for individuals must be matched to individual risk and need.
- 2) Enhance Intrinsic Motivation:** Staff must be able to relate to individuals in interpersonally sensitive and constructive ways in order to enhance intrinsic motivation in individuals. Research findings suggest that motivational interviewing or other cognitive-behavioral communication techniques can effectively enhance the individual's desire to initiate and maintain behavior changes (Miller and Rollnick, 2002; Miller and Mount, 2001).
- 3) Target Higher-Risk Individuals:** Prioritize primary supervision and treatment resources for individuals 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 individuals 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 individuals. Maximum benefit is gained only when intervention resources are directed to moderate- and high-risk individuals.
- 4) Address Individuals' Greatest Criminogenic Needs.** The greatest emphasis must be placed on addressing those needs that are most closely associated with criminal behavior. When the factors that lead the individual 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 individual's thinking patterns in order to change future behavior. The most effective interventions provide opportunities for participants to practice new behavior patterns and skills with feedback from program staff.
- 6) Determine Dosage and Intensity of Services:** Higher-risk individuals require significantly more structure and services than lower-risk individuals. High-risk individuals should receive a minimum of 300 hours of cognitive-based interventions, moderate-risk individuals should receive a minimum of 200 hours, and low-risk individuals should receive a minimum of 100 hours of cognitive-based interventions. Additionally, during the initial 3–9 months post-release, 40–70 percent of high-risk individuals' free time needs to be occupied with delineated routine and appropriate services (Bourgon and Armstrong, 2006; Latessa, 2004; Gendreau and Goggin, 1995).

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

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

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

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

## **References:**

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

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

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

Fontanarosa J, Uhl S, Oyesanmi O, et al. Interventions for Adult Offenders With Serious Mental Illness [Internet]. Rockville (MD): Agency for Healthcare Research and Quality (US); 2013 Aug. (Comparative Effectiveness Reviews, No. 121.) Introduction. Available from: <http://www.ncbi.nlm.nih.gov/books/NBK158901/>

Gendreau, P. and C. Goggin (1995). Principles of effective correctional programming with individuals. 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 *Individual rehabilitation in practice: Implementing and evaluating effective programs*. Edited by D.F. Gary Bernfeld, Alan Leschied. New York, NY: John Wiley & Sons, LTD.

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

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

Torrey, Fuller E. and Zdanowicz, et al. (2014) "The Treatment of Persons with Mental illness in Prisons and Jails: A State Survey: Treatment Advocacy Center, A Joint Report

**Appendix 2**  
**Mandatory Certification and Coordination Requirement Form**  
***(Submit with the Application as an Attachment)***

As the Authorized Representative of [*insert name of applicant organization*]  
\_\_\_\_, I assure BJA the following:

**Mandatory Certification Requirement: Service Provider Licensing/ Accreditation/ Certification Documentation:** In addition, as the Authorized Representative I also assure BJA that all collaborating service provider organizations listed in this application meet applicable licensing, accreditation, and certification requirements.

As the authorized representative, I also understand that the following information is required to receive funding, and these materials have been included within the application materials:

- A letter of commitment that specifies the nature of the participation and what service(s) will be provided from every service provider organization listed in the application that has agreed to participate in the project.
- Official documentation that all service provider organizations collaborating in the project have been providing relevant services for a minimum of 2 years prior to the date of the application in the area(s) in which services are to be provided. Official documents must definitively establish that the organization has provided relevant services for the last 2 years.
- Official documentation that all collaborating service provider organizations are in compliance with all local (city, county) and state/tribal requirements for licensing, accreditation, and certification or official documentation from the appropriate agency of the applicable state/tribal, county, or other governmental unit that licensing, accreditation, and certification requirements do not exist.

**Note:** Official documentation is a copy of each service provider organization's license, accreditation, and certification.

- Documentation of accreditation will not be accepted in lieu of an organization's license. A statement by, or letter from, the applicant organization or from a provider organization attesting to compliance with licensing, accreditation and certification or that no licensing, accreditation, certification requirements exist, does not constitute adequate documentation.

**Mandatory Coordination Requirement:** I assure BJA that, if my organization is not the Single State Agency (SSA) for Substance Abuse Services, the proposal has been developed in coordination with SSA support, except in the case of federally recognized tribal government applicants.

Signature of Authorized Representative

Date

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**Appendix 3**  
**Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data**

I hereby assure that, if awarded grant funds under the Second Chance Act Reentry Program for Adults with Co-Occurring Substance Abuse and Mental Disorders Program, my organization will collect unique identifiers and recidivism indicator performance data for each program participant, and will aggregate all such data and submit it via the Bureau of Justice Assistance Performance Measurement Tool as required upon grant closeout. I understand that the inability or refusal to submit such data after an award is made may impact my organization's ability to receive future Bureau of Justice Assistance competitive grant funding.

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Signature

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Title

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Date