

U.S. Department of Justice  
Office of Justice Programs  
Bureau of Justice Assistance



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA), is pleased to announce that it is seeking applications for funding for the Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects. This program furthers the Department's commitment to providing services and programs to help facilitate the successful reintegration of offenders as they return to their communities.

## Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects FY 2012 Competitive Grant Announcement

### Eligibility

Applicants are limited to state and local government agencies and federally recognized Indian tribes (as determined by the Secretary of the Interior). Applicants must adhere to all of the eligibility and funding requirements of the Second Chance Act.

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

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 16). All applications are due by 11:59 p.m. eastern time on April 24, 2012. (See "Deadlines: Registration and Application," page 4.)

### Contact Information

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

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

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

**Grants.gov number assigned to announcement:** BJA-2012-3112

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# Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects

## CFDA 16.812

### Overview

The Second Chance Act of 2007 ([Pub. L. 110-199](#)) provides a comprehensive response to the increasing number of incarcerated adults and juveniles who are released from prison, jail, and juvenile residential facilities and returning to communities. There are currently over 2.3 million individuals serving time in our federal and state prisons, and millions of people cycling through local jails every year. Ninety-five percent of all offenders incarcerated today will eventually be released and will return to communities.

The Second Chance Act Programs are designed to help communities develop and implement comprehensive and collaborative strategies that address the challenges posed by offender reentry and recidivism reduction. "Reentry" is not a specific program, but rather an evidence-based process that starts when an offender is initially incarcerated and ends when the offender has been successfully reintegrated in his or her community as a law-abiding citizen. The reentry process includes the delivery of a variety of evidence-based program services for every program participant *in both a pre- and post-release setting*.

### Collaboration with Other Federal Agencies

BJA and the Office of Juvenile Justice and Delinquency Prevention (OJJDP) are collaborating closely on the Second Chance Act implementation. BJA and OJJDP will continue to collaborate to ensure that both juvenile and adult reentry efforts are supported. Similarly, both BJA and OJJDP are working with the National Institute of Justice in support of the research and evaluation activities called for in the Act. For more information on BJA's implementation of the Second Chance Act initiatives and Frequently Asked Questions, visit BJA's Second Chance Act web page at [www.bja.gov/grant/SecondChance.html](http://www.bja.gov/grant/SecondChance.html). For those interested in submitting applications for specific juvenile-related demonstration reentry projects, visit the OJJDP web site at [www.ojjdp.gov](http://www.ojjdp.gov).

BJA and OJJDP are also collaborating with the National Reentry Resource Center (NRRC) to provide training and technical assistance (TTA) for Second Chance Act grantees. Established by FY 2009 Second Chance Act appropriations, the NRRC provides education and TTA to states, tribes, territories, local governments, service providers, nonprofit organizations, and corrections institutions working on reentry. The NRRC is coordinated by the Council of State Governments (CSG) Justice Center, with support from BJA and OJJDP. For more information on the NRRC, visit [www.nationalreentryresourcecenter.org](http://www.nationalreentryresourcecenter.org).

### Pay for Success

Pay for Success projects represent a new way to potentially achieve positive outcomes with the criminal justice population at a lower cost to governments. Under a typical Pay for Success model, service providers either directly or through an intermediary organization secure capital to fund their operations and achieve specified outcomes for a predefined target population. The funding organizations only recoup their investment at such time that the outcomes for the target population have been achieved and that achievement has been verified via an evaluation

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

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

## **Deadlines: Registration and Application**

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register with Grants.gov several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on April 24, 2012. See the “How To Apply” section on page 16 for more details. Note that while the deadline for submission is 11:59 p.m. eastern time on April 24, 2012, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see “Contact Information” on the title page for more information about BJA’s Justice Information Center).

## **Eligibility**

Refer to the cover page of this solicitation for eligibility under this program.

## **Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects—Specific Information**

Section 101 of the Second Chance Act authorizes federal awards to state and local governments and federally recognized Indian tribes that may be used for demonstration projects to promote the safe and successful reintegration into the community of individuals who have been incarcerated or detained. Under this solicitation applicants may apply for either “planning” or “implementation” projects, but not both.

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

The goal of Section 101 of the Second Chance Act is to provide support to eligible applicants for the development and implementation of comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism. Within the context of this initiative, “reentry” is not envisioned to be a specific program, but rather a process that begins when the offender is first incarcerated (pre-release) and ends with the offender’s successful community reintegration (post-release), evidenced by lack of recidivism.

This process should provide the offender with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender.

The objectives of this program are to provide all offenders participating in the program with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender, in both a pre and post release setting.

### **Mandatory Requirements of a Comprehensive Reentry Program:**

Section 101 of the Second Chance Act is very clear in outlining the following Mandatory Requirements that must be included in an application (for both Category 1: Planning Projects and Category 2: Implementation Projects) to secure funding for a comprehensive reentry program.

1. A reentry strategic plan that describes the jurisdiction's long-term reentry strategy, including measurable annual and 5-year performance outcomes, relating to the long-term goals of increasing public safety and reducing recidivism. One goal of the plan shall be a 50 percent reduction in the rate of recidivism over a 5-year period.
2. A detailed reentry implementation schedule and sustainability plan for the program.
3. Documentation reflecting the establishment of a Reentry Task Force comprised of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders. The Task Force should examine ways to pool resources and funding streams and collect data and best practices in offender reentry from stakeholder agencies and organizations. BJA notes that this required task force and the strategic planning requirement above provide a key opportunity for local policymakers to work together to identify and address local barriers to effective reentry, including barriers that are policy or procedural in nature. The American Bar Association (ABA) National Study on the Collateral Consequences of Criminal Convictions provides a nationwide database of collateral consequences of criminal convictions for federal, state, and U.S. territories. This sophisticated database consists of statutes and administrative rules that contain a collateral consequence that will allow attorneys, policymakers, and the public to more easily identify what consequences follow from particular criminal offenses: [isrweb.isr.temple.edu/projects/accproject](http://isrweb.isr.temple.edu/projects/accproject).
4. Discussion of the role of local governmental agencies, nonprofit organizations, and community stakeholders that will be coordinated by, and that will collaborate on, the offender reentry strategy of the applicant, and certification of the involvement of such agencies and organizations. Participants in the creation of the reentry strategy should include representatives from the fields of public safety, corrections, housing (including partnerships with public housing authorities), health, education, substance abuse, children and families, victims' services, employment, and business.
5. Extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing, child welfare, education, substance abuse, victims services, state child support, and employment services, and with local law enforcement agencies.

6. An extensive discussion of the role of state corrections departments, community corrections agencies, and local jail corrections systems in ensuring successful reentry of offenders into their communities. Applications must include letters of support from corrections officials responsible for facilities or offenders to be served through this project (see “What an Application Should Include,” on page 18).
7. Documentation that reflects explicit support of the chief executive officer of the applicant state, unit of local government, territory, or Indian tribe and how this office will remain informed and connected to the activities of the project.
8. A description of the evidence-based methodology and outcome measures that will be used to evaluate the program and a discussion of how such measurements will provide a valid assessment of the impact of the program. The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental strategies of evidence-based correctional practice that are widely accepted as efficacious in reducing future criminal behavior. These six strategies are outlined in **Appendix 1: Second Chance Act Grantees: What You Need to Know to Ensure Your Program is Built on Principles of Effective Practice**, located on page 29. Applicants are required to clearly articulate how these evidenced-based strategies are integrated into their program design.
9. A description of how the project could be broadly replicated if demonstrated to be effective.
10. A plan for the analysis of the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of offenders into the community. (Note: this may be integrated into the strategic planning requirement and guided by the local task force discussed above.)

### **Target Population**

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

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

### **Target Population Data Collection and Local Research Partnerships**

In applying for these grants, lead grantees and their sub-grantees agree to cooperate in any and all related research efforts and program evaluations by collecting and providing enrollment and participation data during all years of the project. Applicants also agree to provide detailed individual-level data, in the format specified by OJP during this time period (and for the following five years for recidivism data). This may include *but will not be limited to* the following:

Participant Characteristics:

- Age

- Gender
- Race/Ethnicity
- Criminal history
- Educational history
- Incarceration history
- Employment history
- Substance abuse history
- Mental health history
- Family history
- Social and personal history
- Post-release recidivism
- Post-release employment
- Post-release housing

Intervention Information:

- Service history
- In-program services provided
- Program costs
- Duration of services
- Point of service (pre/post release)

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

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

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

### Priority Considerations

Priority consideration will be given to applicants who:

- Focus their program on geographic areas with a disproportionate population of offenders released from prisons or jails.
- Target high-risk offenders as determined through use of a validated risk/needs assessment instrument, to include sex offenders, mentally ill offenders, or offenders who have been dually diagnosed with major mental health disorders and alcohol or substance addictions at the same time, for participation in the funded program.

- Clearly demonstrate how the six evidenced-based strategies are incorporated into the project program design (see Appendix 1 on page 29).
- Provide for an independent evaluation of reentry programs that include, to the maximum extent possible, random assignment and controlled studies to determine the effectiveness of such programs.
- Include input from relevant nonprofit organizations (in any case where relevant input is available); crime victims; individuals who have been released from prisons, jails, and juvenile facilities; and families of offenders.
- Demonstrate effective case assessment and management abilities to provide a comprehensive and continuous reentry process, including the following:
  - Using an actuarial-based assessment instrument for reentry planning that targets the criminogenic needs of the offender that affect recidivism, and provide sustained case management and services during incarceration and for at least 6 months in the community.
  - Pre-release planning and transition housing.
  - Establishing pre-release planning procedures to ensure that the eligibility of an individual for federal or state benefits is established before release and those individuals will obtain all necessary referrals for reentry services.
  - Delivery of continuous and appropriate drug treatment, medical care, job training and placement, educational services, or any other service or support needed for successful reentry.
- Review the process by which the applicant adjudicates violations of parole, probation, or supervision following incarceration, taking into account public safety and the use of swift, certain, graduated and proportionate responses.
- Provide a baseline recidivism rate for the proposed target population including documentation to support the development of the rate.
- Incorporate a “Pay for Success” model into their projects.

## **Definitions**

### **Recidivism**

The Second Chance Act requires that recidivism be a measure of success in funded programs. For purposes of this solicitation, recidivism is defined as “a return to prison and/or jail with either a new conviction or as the result of a violation of the terms of supervision within 12 months of initial release.”

### **Evidence-Based Programs or Practices**

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

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change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## **Award Categories, Amount, and Length**

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

Two categories for adult offender reentry programs are solicited. Category 1 supports Planning Projects, and Category 2 supports Implementation Projects. Applicants may apply under Category 1 or Category 2, but not both.

**Note: As indicated above, priority consideration will be given to those applications that provide a baseline recidivism rate for the proposed target population, including documentation to support the development of the rate. All grantees will be required to provide a baseline recidivism rate upon award. See the Selection Criteria, Category 1: Planning Projects—Statement of the Problem on page XXX, and Selection Criteria-Category 2: Implementation Projects—Statement of the Problem on page XXX for more information.**

BJA also advises applicants that in FY 2012, BJA is also supporting the Second Chance Act Demonstration Field Experiment: Fostering Desistance through Effective Supervision competitive solicitation, as well as potentially providing limited continuation funding for reentry programs competitively selected in previous years that have demonstrated strong progress. As a result of potentially limited continuation for existing awardees, applicants should expect more rigorous competition for funding through this solicitation.

### **CATEGORY 1: Planning Projects. Up to: \$50,000. Project period: 12 months. Competition ID: BJA-2012-3113.**

Complying with the above Mandatory Requirements takes significant resources and time. Category 1 applicants will constitute jurisdictions which have demonstrated a commitment to establishing a reentry program, and have made progress on the Mandatory Requirements for a Comprehensive Reentry Program, but have not yet fully completed each step. In addition to funding, successful Category 1 applicants will receive targeted technical assistance to help them in the planning process. Applications for Category 1 must include specific strategies for meeting the Mandatory Requirements referenced above.

During this planning stage, grantees will receive intensive technical assistance and will be required to complete and submit a *Planning and Implementation Guide*, the format for which will be provided by the BJA technical assistance provider. A completed and BJA-approved Planning and Implementation proposal based on the *Guide* will mark successful completion of the planning phase. Grantees may then be eligible to receive additional resources for the implementation of the proposed project based on the availability of funds.

### **Approved Uses for Award Funds**

Approved uses for award funds under Category 1 include the following:

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

### **CATEGORY 2: Implementation Projects. Up to: \$750,000. Project period: 12 months. Competition ID: BJA-2012-3114.**

The initial award period will be for a period of 12 months, with the possibility of no-cost extensions.

Applications for Category 2 must include specific strategies for implementing the Mandatory Requirements of a Comprehensive Reentry Program, referenced above.

### **Approved Uses for Award Funds**

Approved uses for award funds under Category 2 include the following:

- ***Use Actuarial-Based Assessment Instruments for Reentry Planning.*** There is strong evidence from the research literature that offender populations should be assessed to determine criminogenic risk and needs factors and determine supervision levels and services so that appropriate interventions can be delivered. Use of assessment instruments

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that are reliable, validated, and normed for a specific population increase the chances that individuals will be matched with the appropriate type of treatment and reentry services.

- **Target Criminogenic Needs that Affect Recidivism.** While offenders reentering the community have a variety of treatment and behavioral needs, which are themselves risk factors for future offending, criminogenic needs are the dynamic risk factors mostly closely associated with offending behavior. Criminogenic risk and needs factors include history of anti-social behavior; anti-social personality pattern; anti-social cognition; anti-social associates; family and/or marital; school and/or work; leisure and/or recreation; and substance abuse. Behavioral change is possible if offenders are provided with tailored, sequential programming that addresses individual criminogenic needs that affect the risk of recidivism. Applicants are strongly urged to provide treatment interventions that target criminal thinking, especially for higher-risk offenders.
- **Provide Sustained Case Planning/Management in the Community.** Reentry programs should ideally begin when the individual is first incarcerated and continue when the individual is released to the community. Since most offenders are at the highest risk of re-arrest the first few months after release, services should be most intensive at the time of release to the community. Applicants are strongly urged to use consistent pre- and post-release case management and supervision that is sustained over a period of at least 6 months and is especially responsive to the offender's transition from incarceration to the community.
- **Support a Comprehensive Range of Services for Offenders.** Based on an individual offender's risk/needs assessment, applicants are encouraged to make available a comprehensive range of programs and a process for addressing the dosage needs of individual offenders, including the following: treatment services that employ the cognitive, behavioral, and social learning techniques of modeling, role playing, reinforcement, resource provision, and cognitive restructuring; educational, literacy, vocational, and job placement services; substance abuse treatment (including alcohol abuse); housing, mental, and physical health care services; veteran-specific services as applicable; programs that encourage safe, healthy, and responsible family and parent-child relationships and enhance family reunification, as appropriate; and, mentoring.

## Budget Information

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

With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp).) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General (AAG) for the Office of Justice

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Programs. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request that the applicant adjust and resubmit their budget.

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

### **Minimization of Conference Costs**

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

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

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

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

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

### **Match Requirement**

As required by the Second Chance Act, a match is required for all applications submitted under either Category 1 or Category 2. A grant made under this program may not cover more than 50 percent of the total costs of the project being funded. The applicant must identify the source of the 50 percent non-federal portion of the budget and how match funds will be used. The recipient of a grant must provide a minimum of 25 percent of the total project cost in cash match, and 25 percent of the total project cost may be matched by making in-kind contributions of goods or services that are directly related to the purpose for which the grant was awarded. Federal funds received and cash match provided by the grantee shall be used to supplement, not supplant, non-federal funds that would otherwise be available for the activities funded under this section. **The applicant must identify the source of the 25 percent non-federal cash portion of the budget and how both cash and in-kind match funds will be used.**

**Match Waiver:**

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

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

The formula for calculating match is:

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

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

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

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

**Performance Measures**

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA's online Performance Measurement Tool (PMT) located at: [www.bjaperformancetools.org](http://www.bjaperformancetools.org). The following measures are examples of some of the core performance measures for the Second Chance Act Adult Reentry Program for Category 1 and Category 2. Implementation Projects applicants should examine the complete list available at: [www.bjaperformancetools.org/help/SCAReentryQuestionnaireNarrativeQuestions.pdf](http://www.bjaperformancetools.org/help/SCAReentryQuestionnaireNarrativeQuestions.pdf).

Objective	Measure	Data Grantee Provides
	Submit a Planning and Implementation Guide for a reentry strategy	Provide updates on the completion of key components of the Planning and Implementation Guide.
Category 1 Planning Projects:  Develop a reentry strategic plan that will provide offenders with appropriate evidence-based services—including addressing	Strategic plan status	Describe any updates or modifications concerning the long term reentry strategy. Include measurable annual and 5-year performance outcomes that relate to the long-term goals of increasing public safety and reducing recidivism.
	Reentry plan status	Describe any updates or modifications concerning the reentry plan implementation schedule and sustainability plan for the program.

Objective	Measure	Data Grantee Provides
individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender.	Data collection plan status	Describe any updates or modifications to the data collection plan and policy including how data will be collected and what indicators will be utilized upon implementation. Describe how data and program outcomes will be obtained by program managers and service providers.
	Reentry task force composition	Provide the current status of the establishment of a Reentry Task Force. Include a description of relevant leaders, representatives of agencies, service providers, nonprofit organizations, and other key stakeholders.
	Reentry population	Describe the target population including relevant information on demographics, risk level, and offense types.
	Anticipated capacity	Enter the number of participants expected to be admitted to the reentry program per year of the grant.
	Risk and needs assessment	A. What risk assessment instrument will be used, if any? B. Describe how offenders will be assessed.
	Baseline recidivism	Describe how a baseline recidivism rate will be calculated for the proposed target population.
	Recidivism rate reduction	Discuss what level of reduction in recidivism you would consider to be success. Include a description of the follow-up period length (post-release), and the recidivism rate targeted such as arrest, conviction, revocation, and/or reincarceration.
<p>Category 2 Implementation Projects:</p> <p>Provide offenders with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender.</p>	Percentage of participants who successfully completed the program	<p>A. Number of participants enrolled in pre-release services</p> <p>B. Number of participants who completed pre-release services</p> <p>C. Number of participants enrolled in post-release services</p> <p>D. Number of participants who completed post-release services</p>
	<p>Percentage of unsuccessful program exits</p> <p>Percentage of program incompletes</p>	<p>A. Number of enrolled program participants</p> <p>B. Number of participants no longer in the program due to failure to meet program requirements</p> <p>C. Number of participants no longer in the program due to court or criminal involvement (technical violation, arrest, conviction, revocation, reincarceration)</p> <p>D. Number of participants no longer in the program due to a lack of engagement (no shows and nonresponsive participants)</p> <p>E. Number of participants no longer in the program due to absconding</p> <p>F. Number of participants no longer in the program due to relocating or case transfer</p> <p>G. Number of participants no longer in the program due to death or serious illness</p>

Objective	Measure	Data Grantee Provides
		H. Number of participants who did not complete the program for other reasons (please specify) I. Specify other reasons
	The recidivism rate for program participants	A. Number of program participants B. Number of participants who had a technical violation of supervised release while participating in the program C. Number of participants who were arrested while participating in the program D. Number of participants who were convicted while participating in the program E. Number of participants who had a revocation of the terms of supervised release while participating in the program F. Number of participants who were reincarcerated while participating in the program
	Rate of recidivism for the participants who have successfully completed the program	A. Number of pre-lease program participants who have successfully completed the program B. Number of participants who had a technical violation of supervised release after successfully completing the program C. Number of participants who were arrested for a new offense after successfully completing the program D. Number of participants who were convicted of a new offense after successfully completing the program E. Number of participants who had a revocation of the terms of supervised release after successfully completing the program F. Number of participants who were reincarcerated for a new offense after successfully completing the program

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page 18 for additional information.

**Note on Project Evaluations**

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation,

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

## Notice of Post-Award FFATA Reporting Requirement

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

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

## How To Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, 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 up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of 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. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

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2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.812, titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2012-3112.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
8. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** The

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disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

### **Note: Duplicate Applications**

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

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

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must e-mail the BJA Justice Information Center (see page 1 for contact information) **within 24 hours after the deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. **Note: Requests are not automatically approved by BJA.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, BJA will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment, including firewalls.

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

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

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

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by BJA to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical:

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

OJP strongly recommends use of appropriately descriptive file names (e.g., "Abstract," Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that resumes be included in a single file.

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

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

- Ensure that all the information is correct.
- Check spelling and pay careful attention to the legal name, award amount, address, and the points of contact.
- Select appropriate Point of Contact (POC) and the Authorized Representative. The two contacts cannot 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.
- Ensure that the name, contact information, title, and solicitation is correct.

See [www.grants.gov/assets/SF424Instructions.pdf](http://www.grants.gov/assets/SF424Instructions.pdf) for instructions on how to complete the SF-424.

### **2. Abstract**

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

- Characteristics of target population and projected number of clients to be served
- Overall program design elements which clearly reflect both pre- and post-release service delivery
- Use of risk principle
- Use of needs principle
- Use of responsivity principle
- Use of dosage principle
- Plan for establishing a baseline recidivism rate
- Plan for collecting and reporting key data elements

- Brief description of both the pre- **and** post-release services to be provided for every program participant
- Permission to Share Abstract and Contact Information with Private Funders: It is unlikely that BJA will be able to fund all competitive applications, but may have the opportunity to share unfunded competitive application information with private foundations. Applicants should indicate whether they give BJA permission to share their Abstract and Contact Information for both the Authorized Representative and Point of Contact with potentially interested private foundations. Granting this permission will not affect BJA's funding recommendations, and if the application is not funded, it will not guarantee that information will be shared, nor does it guarantee funding from any other source.

### 3. Program Narrative

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

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

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Impact/Outcomes, Evaluation, and Sustainability and Plan for Collecting the Data Required for this Solicitation's Performance Measures  
Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJA as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.
- e. Collaboration

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

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

#### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants should clearly demonstrate a full breakdown of all costs, and show calculations and computations for each budget category. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included (i.e., Personnel, Fringe Benefits, Travel, Equipment, Supplies, Consultants/Contracts, and Other category).

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The budget must indicate how the match requirement will be allocated in the overall budget. Match funds must be clearly identified in the budget showing all calculations/computations.

Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings in Washington, DC. All expenses must be reasonable, allowable and necessary to the project.

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

**b. Budget Narrative**

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

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

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided 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 authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions (or comparable legal documentation).

## 7. Additional Attachments: Project Timeline, Position Descriptions, Strategic Plans, and Letters of Support

Attach a *Project Timeline* that includes each project goal, related objective, activity, expected completion date, responsible person, or organization; *Position Descriptions* for key positions; *Reentry Strategic Plan*; and *Letters of Support* from all key partners, detailing the commitment to work with reentry initiative partners to promote the mission of the project.

The Letter of Support from the lead organization responsible for the operational aspects of the project must include (1) certification that the lead agency has consulted with other local parties, and (2) the following statement: "The agency agrees to provide individual criminal history information for all participants to evaluators, unless prohibited by law. These data will be provided in response to periodic requests from the grantees and evaluator throughout the period of performance of this project to capture both criminal history prior to the program enrollment and subsequent recidivism."

## 8. Other Standard Forms

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

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

## Selection Criteria—Category 1: Planning Projects

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

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

- Describe the nature and scope of the problem in the jurisdiction, and provide any local/state data and a trend analysis to support the discussion.
- Discuss the efforts that have been made to date in planning for a program that responds to the intent of the Second Chance Act such as establishment of a Reentry Task Force or preliminary meetings of potential stakeholders in any proposed reentry effort.

- Provide justification and support documentation for defining the target population and establishing a baseline recidivism rate.

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

- Describe proposed planning activities, expected outcomes, and process for meeting the Mandatory Requirements of a Comprehensive Reentry Program (see pages 5-6).
- Planning activities should include establishing a collaborative structure, with agreements in place that address the organization and composition of the planning/oversight body; developing a statement of the program's goals, objectives, and work plan agreed upon by collaborative partners identifying a list of services and resources in the jurisdiction that can support the proposed project; defining the target population; and developing a data-driven strategy, including operational guidelines and assessment and referral tools, for identifying and enrolling eligible program participants.
- Provide a description of both the pre- **and** post-release services to be provided for every program participant.

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

- Describe the project collaboration structure and how it will ensure successful project planning and potential implementation of a reentry demonstration project.
- Identify stakeholders and their respective roles.
- Describe the anticipated role of consumers, advocates, and family members in the project.
- Indicate each project goal, related objective, activity, expected completion date, and responsible person or organization in the attached Project Timeline.
- Describe any potential barriers to implementing the project and strategies to overcome them.

## **4. Impact/Outcomes, Evaluation, Sustainment, and Plan for Collecting Data for this Solicitation's Performance Measures (15 percent out of 100)**

- Identify a plan for responding to the performance measures and who will be responsible for data collection.
- Provide a clear and comprehensive description of the evidence-based methodology and outcome measures that will be used to evaluate the program and a discussion of how such required data on performance measurement and recidivism will be collected, maintained and reported.
- Discuss how stakeholder support and service coordination will be defined and measured.
- 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.

## 5. Collaboration (10 percent out of 100)

- Describe how the proposed project will be integrated with other offender reentry efforts in the same jurisdiction (state, local, county/city, tribe).
- Describe how the project has worked collaboratively with partners from multiple disciplines.
- Describe how the proposed project will use this prior experience to enhance the project's overall goal of reducing recidivism.

## 6. Budget (10 percent out of 100)

- Provide a proposed budget that is complete; reasonable and allowable; cost effective, and necessary for project activities.
- The budget must indicate how the 50 percent federal funds and the 50 percent match will be allocated in the overall budget.

## Selection Criteria—Category 2: Implementation Projects

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

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

- Describe the problems with returning adult offenders to the community.
- Indicate the jurisdiction or tribal community to be served, include details on the target population, the number of offenders to be served and returning to the community, and describe the number and type of offenders in facilities.
- Summarize the basic components of the current reentry process in the jurisdiction, including:
  - How risk and need assessments are currently utilized to develop individualized transition/reentry plans
  - Data collection and analysis methodology
- Provide justification and support documentation for selecting the target population.
- Provide a baseline recidivism rate for the proposed target population and discuss what level of reduction in recidivism you would consider to be successful. If the applicant does not have a baseline recidivism rate for a historical sample of ex-offenders **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for ex-offenders that have been released from a local prison or jail, **such as a facility or a system-wide recidivism rate**. Make sure to include a description of the type of recidivism rate targeted such as arrest, conviction, revocation, and/or reincarceration. 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. Project/Program Design and Implementation (30 percent out of 100)**

- Describe in detail how the Mandatory Requirements of a Comprehensive Reentry Program specified on pages 5-6 of this solicitation have been met.
- Describe proposed activities that fall within one or more of the Approved Uses of Award Funds for grant funds specified on pages 10-11 of this solicitation.
- Describe aspects of your initiative that fulfill one or more of the Priority Considerations listed on pages 7-8 of this solicitation.
- Provide a description of both the pre- **and** post-release services to be provided for every program participant.

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

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

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

- Describe the process for assessing the initiative's effectiveness through the collection and reporting of the required performance metrics data (see Performance Measures on page 13).
- Identify goals and objectives for program development, implementation, and outcomes.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.
- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.
- Discuss how this effort will be integrated into the state and local justice system plans or commitments, how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.
- Describe the strategy/methodology for tracking offenders assigned to the reentry process for a period of up to 3 years after their release from prison or jail.

**5. Collaboration (10 percent out of 100)**

- Describe how the proposed project will be integrated with other offender reentry efforts in the same jurisdiction (state, local county/city, tribe).
- Describe how the project has worked collaboratively with partners from multiple disciplines.

- Describe how the proposed project will use this prior experience to enhance the project's overall goal of reducing recidivism.

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

- Provide a proposed budget that is complete; reasonable and allowable; cost effective, and necessary for project activities.
- The budget must indicate how the 50 percent federal funds and the 50 percent match will be allocated in the overall budget.

## **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. BJA reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with BJA, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General (AAG), who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

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

- Civil Rights Compliance

- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-Profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

## **Provide Feedback to OJP on This Solicitation**

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

# Application Checklist

## FY 2012 Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects

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

### Eligibility Requirements:

- \_\_\_\_\_ Applicant agency meets eligibility requirements (see title page)
- \_\_\_\_\_ Category 1: Planning Projects—The proposed budget is within the allowable limits (\$50,000) (see page 9)
- \_\_\_\_\_ Category 2: Implementation Projects—The proposed budget is within the allowable limits (\$750,000)(see page 10)
- \_\_\_\_\_ Federally recognized tribe (if applicable) (see title page)

### What an Application Should Include:

- \_\_\_\_\_ SF-424 Form (see page 19)
- \_\_\_\_\_ Abstract—Including information on **both pre- and post-release services for every program participant\*** (see page 19)
- \_\_\_\_\_ Program Narrative\*—Including information on **both pre- and post-release services for every program participant\*** (see page 20)
- \_\_\_\_\_ Budget Detail Worksheet and Budget Narrative\* (see page 20)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 17)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable, see page 21)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable, see page 21)
- \_\_\_\_\_ Additional Attachments (see page 22)
  - \_\_\_\_\_ Project Timeline
  - \_\_\_\_\_ Position Descriptions
  - \_\_\_\_\_ Strategic Plans
  - \_\_\_\_\_ Letters of Support
- \_\_\_\_\_ Other Standard Forms including (as applicable, see page 22):
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire

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

# Appendix 1

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

### Fundamental Principles of Evidence-Based Correctional Practice

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

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

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

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

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

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

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

## References:

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

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

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

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

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

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

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

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

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

## Appendix 2 Pay for Success Criteria

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

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