

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 seeking applications for funding under the Second Chance Act to provide grants to state and local government agencies, and Indian tribes to provide reentry services and programs. This program furthers the Department's mission to reduce recidivism and combat violence by facilitating the successful reintegration of offenders with co-occurring substance abuse and mental illness returning from incarceration

Improving Reentry for Adults with Co-occurring Substance Abuse and Mental Illness

Applications Due: June 18, 2018

Eligibility

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

Mandatory Certification: This program provides for treatment and reentry services for people with co-occurring substance abuse and mental illness returning to the community from incarceration. All applicants **must certify** that any treatment program proposed in their applications is or will be clinically appropriate and will provide comprehensive integrated substance abuse and mental illness treatment. Also, applicants **must provide official documentation** that all collaborating service provider organizations are in compliance with all the 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 C: Mandatory Certification and Coordination Requirement Form on page 46 for more information.

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

Note: Assessing the outcomes of programs funded under the Second Chance Act is a BJA priority. Applicants should not apply for funding if they cannot track unique identifiers for the target population, 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 must sign and submit an assurance that all recidivism indicator data will be collected and submitted. Applications that do not include an assurance from the applicant agency's chief executive to collect and submit recidivism indicator data will not be considered. See Appendix D: Mandatory Chief Executive Assurance To Collect and Report Recidivism Indicator Data on page 47 for more information.

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee. BJA welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (subgrantees).¹ The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (“subgrantee”) in more than one application.

BJA may elect to fund applications submitted under this FY 2018 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on June 18, 2018.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant 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.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

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

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800–518–4726, 606–545–5035, at <https://www.grants.gov/web/grants/support.html>, or at support@grants.gov. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the contact identified below **within 24 hours after the application deadline** to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How To Apply](#) section.

For assistance with any unforeseen Grants.gov technical issues beyond an applicant’s control that prevent it from submitting its application by the deadline, or any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800–

¹ For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

851-3420; via TTY at 301-240-6310 (hearing impaired only); email 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.

Grants.gov number assigned to this solicitation: BJA-2018-13632

Release date: May 1, 2018

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Improving Reentry for Adults with Co-occurring Substance Abuse and Mental Illness

CFDA #16.812

A. Program Description

Overview

The Improving Reentry for Adults with Co-occurring Substance Abuse and Mental Illness Program is designed to improve access to and delivery of services to offenders with co-occurring substance abuse and mental illness when they leave incarceration to reenter the community. BJA recognizes that a significant number of these adult offenders are in need of treatment in order to successfully complete their supervision, which in turn will reduce recidivism and promote public safety. Coordination among corrections, substance abuse and mental health treatment providers, correctional health, and parole or probation enables the development of collaborative comprehensive case plans that address criminogenic risk, substance abuse, and mental health needs.

Statutory Authority: This program is authorized under Section 201 (Offender Reentry Substance Abuse and Criminal Justice Collaboration Program) of the Second Chance Act of 2007 (Public Law 110-199), codified at 34 U.S.C. §60521. Any awards under this solicitation will be made under statutory authority provided by the Consolidated Appropriations Act, 2018.

Program-specific Information

The focus of the Improving Reentry for Adults with Co-occurring Substance Abuse and Mental Illness Program is to provide standardized screening and assessment; collaborative comprehensive case management; and pre- and post-release programming that address criminogenic risk and needs, including mental illness and substance abuse.

BJA is seeking applications to implement or expand systems approaches to improve outcomes for adults with co-occurring substance abuse and mental illness who are reentering communities following incarceration. The expectation is that jail or prison systems will develop or refine a standardized screening process for all offenders in the correctional facility. The jail or prison systems will also make assessments for co-occurring mental illness and substance abuse during incarceration and prior to an offenders release to the community.

Further, community-based treatment providers must coordinate with corrections, correctional health, parole, and probation, as applicable, to develop collaborative comprehensive case plans to aid in the reentry process. The collaborative [comprehensive case plan model](#) was developed specifically for SCA grantees and outlines best and promising practices for case management. Below is an example of a Correctional Facility Lead Case Planner and the entities necessary for coordination, in order to develop a collaborative comprehensive case plan. The web-based tool provides information on what information the lead case planner should provide and receive from each partner agency.



In June 2017, two Bureau of Justice Statistics (BJS) reports were released that provide national data on indicators of mental health problems, drug use, dependence, and abuse among prisoner and jail inmates. A summary of some of the findings from the *Indicators of Mental Health Problems Reported by Prison and Jail Inmates, 2011-12*, include:²

- Prisoners were three times more likely to have serious psychological distress than the total adult general population.
- Jail inmates were five times more likely to have serious psychological distress than the total adult general population.
- Female prisoners and jail inmates were more likely than males to have an indicator of a mental health problem.
- Prisoners and jail inmates with an indicator of a mental health problem were more likely to have a rule violation than inmates without an indicator.

A summary of some findings from the BJS report *Drug Use, Dependence, and Abuse Among State Prisoners and Jail Inmates, 2007-2009*, include:³

² Bronson, Jennifer; Berzofsky, Marcus. *Indicators of Mental Health Problems Reported by Prisoners and Jail Inmates, 2011-12*. Washington DC: Bureau of Justice Statistics, June 2017. <https://www.bjs.gov/content/pub/pdf/imhprpji1112.pdf>.

³ Bronson, Jennifer; Zimmer, Stephanie; and Berzofsky, Marcus. *Drug Use, Dependence, and Abuse Among State Prisoners and Jail Inmates, 2007-2009*. Washington DC: Bureau of Justice Statistics, June 2017. <https://www.bjs.gov/content/pub/pdf/dudaspi0709.pdf>.

- 58 percent of state prisoners and 63 percent of sentenced jail inmates met the Diagnostic and Statistical Manual of Mental Disorders (DSM-IV) criteria for dependence or abuse. This compared to about 5 percent of the total general population.
- The percentage of inmates who met the DSM-IV criteria was higher for property offenders compared to violent offenders or public order offenders.
- A larger percentage of females than males used drugs in the month before the offense.
- Among those inmates who met the DSM-IV criteria for dependence or abuse, 28 percent of prisoners and 22 percent of jail inmates participated in a drug treatment program since admission.

These statistics point to high rates of mental illness and substance abuse in the prisons and jails. Of those offenders with serious mental illness in the justice system, three-fourths have a substance abuse problem,⁴ which is why integrated treatment is critical to achieving reduced recidivism. In order to reduce recidivism and increase public safety, jurisdictions need to focus on systems level responses to people with mental illness and substance abuse issues.

Objectives and Deliverables

The purpose of the program is to increase corrections systems' ability to address the needs of offenders with co-occurring substance abuse and mental illness in order to reduce recidivism, and improve public safety and public health.

The objectives of the program are:

- Standardize screening processes for mental illness and substance abuse using a validated tool for all offenders entering the correctional facility (e.g., booking, intake, or classifications).
- Provide assessments for mental illness and substance abuse prior to a person's release from the corrections facility.
- Provide evidence-based pre- and post-release mental illness and substance abuse treatment and cognitive behavioral interventions to address criminogenic risk factors.
- Develop collaborative comprehensive case plans that incorporate information from the criminogenic risk assessment and mental illness and substance abuse assessments.
- Create a performance measurement plan that outlines who is responsible for data collection, input, and analysis.

Allowable program activities include:

- Screening and assessment for substance abuse and mental illness and validated risk assessment while the person is in prison or jail.

⁴ Kessler RC, Chiu WT, Demler O, Walters EE. "Prevalence, severity, and comorbidity of twelve-month DSM-IV disorders in the National Comorbidity Survey Replication" (NCS-R). *Archives of General Psychiatry*, 2005 Jun; 62 (6): 617-27; Steadman, Henry; Osher, Fred C.; Robbins, Pamela C.; Case, Brian; and Samuels, Steven. "Prevalence of Serious Mental Illness Among Jail Inmates," *Psychiatric Services*, 60 (2009): 761-65; Abram, K. M.; Teplin, L. A. (1991). "Co-occurring disorders among mentally ill jail detainees," *American Psychologist*, 46 (10), 1036-1045.

- Providing treatment for co-occurring substance abuse and mental illness while the person is in prison or jail, including integrated dual diagnosis treatment.
- Pre-release and post-release collaborative comprehensive case planning.
- Case management.
- Providing linkages to other wraparound or recovery support services, including health care coverage, employment, education, housing and life skills training, and post-release treatment and aftercare programming in the community, which may include parole, probation, or court supervision with specialized caseloads.

Program Design Phases and Elements

Grantees will be expected to complete a planning phase that requires working with BJA's technical assistance provider and approval from BJA before activity may begin on the full implementation of their programs.

Planning Phase

While the planning design elements must be described in the application, BJA expects that some elements may already be in the preliminary stages of development at the time of the application. The planning phase will be used to work toward being able to address the eight program design elements in the implementation phase. The following are the planning design elements that applicants must address:

- **Completion and Submission of the *Planning and Implementation Guide*.** Grantees will receive intensive technical assistance and will be allowed to access up to \$150,000 of the total grant award in order to complete and submit a required *Planning and Implementation Guide* to be provided by the BJA technical assistance provider—the [National Reentry Resource Center](#) (NRRC)—which will guide each grantee in developing a plan for systems enhancements that incorporates evidence-based programs, policies, practices, data collection, and ongoing monitoring. The *Planning and Implementation Guide* must be completed in coordination with the technical assistance provider and then receive final approval by BJA. Grantees will have 12 months to complete the *Planning and Implementation Guide*. A completed guide must include:
 - Description of the plan for standardized screening and assessment, and the collaborative comprehensive case plan process.
 - A research plan that identifies the solution(s) to be tested, intended outcomes, and evaluation metrics, including the research base for the proposed strategies.
 - A performance measurement and evaluation plan, to include ongoing analysis, monitoring, and assessment of overall project impact.
- **Advisory Group Meetings.** During the planning phase, there must be meetings with an advisory group with high level leaders within the criminal justice and behavioral health systems.

Allowable uses for award funds during the planning phase include:

- **Plan Meetings:** Grantees will convene planning meetings that include criminal justice, mental health, and substance abuse partners to discuss the planning design elements. A planning team should be created in order to increase stakeholder engagement and develop partnerships that will assist in implementation. This can include creating or using an existing advisory group. Leaders may include department of corrections directors, department of behavioral health directors, chief probation or

parole officers, sheriffs, judges, prosecutors, defense attorneys, Medicaid or insurance commissioners, social service agency directors, and corrections health providers or other contracted entities providing medical services in the facility.

- **Outline Screening and Assessment Processes:** The planning team will create an outline of the screening and assessment processes in the correctional facility. If the grantee has not selected any screening and assessment instruments for criminogenic risk, substance abuse, and mental illness, they can select validated tools as a part of the planning process. For grantees that have validated screening and assessment tools in place, they will develop a process flow chart to indicate how offenders will be identified to receive co-occurring substance abuse and mental illness services.
- **Create Case Management Protocols:** Grantees will choose a lead case planner who will be responsible for the coordination. The lead case manager will work with the partners to outline a process for information sharing, case conferencing, and access to health and other benefits.
- **Build Information-Sharing Protocols:** Grantees will develop information-sharing protocols that will provide guidelines on what information is to be shared with which partners. This information should assist with developing collaborative comprehensive case plans and describe the roles of different partner agencies (e.g. corrections, parole, probation, housing, mental health provider, and substance abuse treatment provider(s)).
- **Select and Incorporate Evidence-Based Practices (EBPs) To Address Criminogenic Risk, Mental Illness, and Substance Abuse:** Grantees will select, plan for the implementation of, and put in place quality assurance processes for EBPs to address criminogenic risk and co-occurring mental illness and substance abuse. Grantees will:
 - a. Select cognitive behavioral health interventions to address criminogenic risk that will be provided in the corrections facility.
 - b. Provide pre- and post-release co-occurring mental illness and substance abuse treatment.Applicants are encouraged to provide evidenced-based pharmacological drug treatment services such as medication-assisted treatment to address alcohol and opioid abuse.
- **Decide on Recovery Support Services Options:** Grantees will work with the planning or advisory group to select and plan for a comprehensive range of recovery support services that can be provided through partnerships as the offender reenters the community. Grantees will review the options in the community and develop partnerships to provide a range of options (e.g. housing, employment, vocational services, etc.).
- **Begin Performance Measurement and Plan for Evaluation:** Grantees will develop a plan for performance measurement and evaluation that clearly outlines who is responsible for data collection, input, and analysis, including:
 - a. Work with the evaluator or data lead on the team to outline the performance measures that will be collected in the implementation phase. Start with the measures already being used and think through additional measures to match with program objectives.
 - b. Coordinate with the evaluator or data lead to actively participate in the planning or advisory group. Work with the group to set standards for regular reports back to the program team on process and outcome measures during the implementation phase of the grant.

- c. As part of performance measurement, consider using process measures related to implementation fidelity for evidence-based practices. This will help BJA measure the success of the work over the grant period and beyond.

Implementation Phase

During the implementation phase, grantees will address the following eight design elements:

- (1) Continue Leadership Engagement** through the advisory group as well as provide data reports to update leaders on the progress of building systems level efforts to address co-occurring substance abuse and mental illness, including:
 - a. Provide regular updates on program implementation progress and data.
 - b. Work with leadership to resolve implementation issues and develop a sustainability plan.
- (2) Conduct Screening** for mental illness and substance abuse for all offenders who enter the corrections facility, including:
 - a. Use a validated mental illness screening tool, substance abuse screening tool, and/or co-occurring screening tool.⁵
 - b. Monitor the screening process in order to enhance training and streamline referral processes.
 - c. Put in place quality assurance mechanisms to ensure the screening of every offender in the corrections facility will continue after the grant period has ended.
- (3) Conduct Assessments**, including:
 - a. Use criminogenic risk and needs assessment tools that are reliable and validated and address static and dynamic factors in order to increase the chances that offenders will be matched with the appropriate type of treatment and reentry services.⁶ This will enable grantees to target offenders who are at moderate to high risk to reoffend.
 - b. Assess for co-occurring mental illness and substance abuse using validated tools.
 - c. Receipt of assessment or other relevant information should be provided by the correctional health or other contracted medical or behavioral health provider in the corrections facility and be incorporated in the collaborative comprehensive case plan.
- (4) Provide Collaborative Comprehensive Case Plans**, including:
 - a. Utilization of criminogenic risk and co-occurring substance abuse and mental illness assessment information to develop the case plan.
 - b. Consistent monitoring and refinement of the collaborative comprehensive case plan process.
 - c. Meetings among partners (e.g. corrections, parole, probation, and treatment

⁵ See Substance Abuse and Mental Health Services Administration. *Screening and Assessment of Co-occurring Disorders in the Justice System*. HHS Publication No. (SMA)-15-4930. Rockville, MD: Substance Abuse and Mental Health Services Administration, 2015. <http://store.samhsa.gov/shin/content/SMA15-4930/SMA15-4930.pdf>.

⁶ See Demarais, S. and Singh, J., *Risk Assessment Instruments Validated and Implemented in Correctional Settings in the United States: An Empirical Guide*. Retrieved from: <https://csgjusticecenter.org/wp-content/uploads/2014/07/Risk-Instruments-Guide.pdf>.

providers) to ensure each program participant has a plan to connect pre- and post-release co-occurring mental illness and substance abuse treatment in an integrated manner (see Appendix B for information on the Integrated Care Model).

- d. Continued review of the recovery support services needed as the offender reenters the community.
- e. Ongoing monitoring of access to health care and other benefits (Supplemental Security Income/Social Security Disability [SSI/SSDI], Medicaid, veterans benefits, food stamps).
- f. Development of written protocols for reviewing the case plan and updating the information.

(5) Engage in Information Sharing, including follow-up and continued monitoring of information-sharing policies and procedures to ensure that collaborative comprehensive case plans can be developed.

- a. Continue refinement of information-sharing protocols

(6) Use Evidence-based Practices for Criminogenic Risk, Mental Illness, and Substance Abuse, including:

- a. Provide substance abuse and mental illness treatment practices and services that have a demonstrated evidence base and that are appropriate for the target population **pre- and post-release**.⁷ Applicants should identify the evidence-based practice being proposed for implementation; identify and discuss the evidence for effectiveness; discuss the population(s) for which this practice has been shown to be effective; and discuss how staff can be trained and coached to implement the EBP in their systems.
- b. Provide evidence-based pharmacological drug treatment services. Applicants are encouraged to utilize pharmacological drug treatment services or medication-assisted treatment (MAT). MAT is supported and considered an evidence-based substance abuse treatment protocol. BJA supports the option for offenders to have access to appropriate MAT under the care and prescription of the appropriate prescriber.
- c. Provide cognitive behavioral interventions that address criminogenic risk and needs, such as criminal thinking, and provide guidance on incorporating them into case plans
- d. Provide training for staff and continued monitoring for the implementation of the EBPs for criminogenic risk, including mental illness and substance abuse.

(7) Support a Comprehensive Range of Recovery Support Services. A comprehensive range of recovery supports should be available that address cognitive, behavioral, and social needs

⁷ Applicants can also find information on evidence-based practices in SAMHSA's *Guide to Evidence-Based Practices* available at 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 database of interventions for the prevention and treatment of mental illness and substance abuse. 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.

and cognitive restructuring. Recovery support services can include education, literacy, vocational, and job placement services; supported employment; housing and physical health care services; veteran-specific services, as applicable; services to encourage safe, healthy, and responsible family and parent-child relationships; mentoring; and supportive housing.

- a. This can also include the use of peer recovery support specialists or peer mentors.
- b. A memorandum of understanding (MOU) should be in place with housing partners wherever possible. Partnerships with housing services agencies should include a data-sharing agreement, and grant-funded activities should include screening program participants for housing needs, risk of homelessness, and/or chronic homelessness status.

(8) Provide Performance Measurement and Evaluation. Grantees will build on the performance measurement plan developed in the planning phase, including:

- a. Follow and refine the plan for performance measurement and evaluation that clearly outlines who is responsible for data collection, input, and analysis.
- b. Work closely with an identified research or evaluation partner to meet on a regular basis, provide feedback on process and outcome measures, and assist in the development of materials for the advisory board meetings.
- c. Develop processes for continuous quality improvement to monitor the implementation of screening, assessment, case plans, and EBPs.
- d. Focus on the ability to collect pre- and post-release data on initiation, engagement, retention, and continuity of care.
- e. Demonstrate baseline recidivism data exists for the target population and that there is a mechanism to track recidivism data for the cohort going forward, including:
 - i. Provide a baseline recidivism rate specifically for the proposed target population, including documentation to support the development of the rate.
 - ii. Collect participant unique identifiers, and collect and report recidivism indicator data.

Priority Consideration:

BJA will give priority to applicants that demonstrate they can provide **integrated treatment for substance abuse and mental illness**, knowing that integrated treatment produces better outcomes.

Resources

[The National Reentry Resource Center \(NRRC\)](#): BJA funds and provides oversight of the NRRC, which provides training and technical assistance (TTA) to Second Chance Act grantees. NRRC provides education and TTA to states, tribes, territories, local governments, service providers, nonprofit organizations, and corrections institutions working on reentry. Each grantee will be assigned a TTA coordinator who will provide assistance in planning and implementing their programs.

[Collaborative Comprehensive Case Plan Web-based Tool](#): The NRRC developed the collaborative comprehensive case plan web-based tool specifically in response to the needs of previous SCA grantees. This tool provides 10 key priorities for developing collaborative comprehensive case plans, guidance on case planning information needed from partners (e.g., housing providers, participants, medical providers). There are also sections with tailored content for lead case planners whether they be

behavioral health treatment providers, corrections, parole, or probation. The 10 key priorities include: interagency collaboration and information sharing; staff training; screening and assessment; case conference procedures; participant engagement; prioritized needs and goals; responsiveness; legal information; participant strengths; and gender considerations.

Behavioral Health Framework for Adults Under Correctional Supervision: For a compilation of research regarding targeted programming for offenders with behavioral health needs in jails or prisons, 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 offenders under correctional control, parole, or probation by making the most effective use of scarce resources to improve outcomes for those offenders and ensure officer safety.

Process Measures at the Interface Between Justice and Behavioral Health Systems: Advancing Practice and Outcomes: These are client and systems-level process measures intended to gauge how well the justice and behavioral health systems are collaboratively addressing offenders' behavioral health needs. The measures are designed to track offenders as they move through the reentry process from pre- to post-release as they received co-occurring substance abuse and mental illness services.

The Objectives and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

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 website at <https://www.crimesolutions.gov> is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

Information Regarding Potential Evaluation of Programs and Activities

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that the Office of Justice Programs

may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and sub-recipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

B. Federal Award Information

BJA expects to make up to 12 awards of up to \$750,000 each, with an estimated total amount awarded of up to \$9,000,000. BJA expects to make awards for a 36-month period of performance, to begin on October 1, 2018.

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

Category 1, Competition ID BJA-2018-13986: Units or components of state government agencies serving adult offenders.

Category 2, Competition ID BJA-2018-13987: Units or components of county or city local government agencies serving adult offenders.

Category 3, Competition ID BJA-2018-13988: Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adult offenders.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

BJA expects to make any award under this solicitation in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁸) must, as described in the Part 200 Uniform Requirements⁹ as 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.
- (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.

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire—the [OJP Financial Management and System of Internal Controls Questionnaire](#)—that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

⁸ For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to a subrecipient (subgrantee) to carry out part of the funded award or program. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

⁹ The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

Budget Information

Unallowable Uses for Award Funds

In addition to the unallowable costs identified in the DOJ Grants 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 DOJ Grants Financial Guide at <http://ojp.gov/financialguide/DOJ/index.htm>.

Award Special Condition – Withholding of Funds for Planning Phase

Each grant award will have in place a special condition withholding all but \$150,000, which will allow grantees to complete, submit, and receive approval of their *Planning and Implementation Guides*. Grantees will not be authorized to obligate, expend, or draw down funds in excess of \$150,000 until BJA has reviewed and approved their *Planning and Implementation Guides* and a Grant Adjustment Notice has been issued and approved to remove the special condition. The *Planning and Implementation Guide* will be provided by NRRC, BJA's technical assistance provider, which will help each grantee develop a strategic plan that incorporates systems enhancement for offenders with co-occurring substance abuse and mental illness.

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 additional information on cost sharing and match, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>.

Pre-agreement Costs (also known as Pre-award Costs)

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal 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. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs **before** submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm> 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, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the 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.¹⁰ The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the Budget Narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address, in the context of the work the individual would do under the award, the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at <https://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, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include 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.

¹⁰ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

C. Eligibility Information

For eligibility information, see title page.

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

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following critical elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet and Budget Narrative, Memorandums of Agreement (MOA or MOU), Integrated Substance Abuse and Mental Disorder Treatment Mandatory Certification and Coordination Requirements, and Mandatory Chief Assurance to Collect and Report Recidivism Indicator Data.

NOTE: OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See "Budget Information and Associated Documentation" below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the "Note on File Names and File Types" under [How To Apply](#) to be sure applications are submitted in permitted formats.

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 the OJP 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).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for "Legal Name" (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP's financial system.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8c exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8b of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How To Apply](#) section for more information on SAM and DUNS numbers.

Intergovernmental Review: This solicitation ("funding opportunity") is **not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response 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 (such as Times New Roman) with 1-inch margins.

The abstract should provide an overall summary of the project and should include the following clearly labeled and delineated information:

- Legal name of the grant recipient and the title of the project.
- Geographic location.
- Whether the correctional partner agency/facility is a state, local, or tribal entity.
- Project's purposes, objectives, and deliverables.
- Target population characteristics and projected number of participants to be served through the project.
- The baseline recidivism rate and method used to calculate it.
- Name of the validated risk and needs assessment tool(s) used, either by the program or by the partner correctional agency/ies, to appropriately target moderate to high risk offenders and appropriately match treatment and services.
- Description of both the pre- **and** post-release services to be provided.

- Description of training and other supports provided to staff.
- Confirmation that an MOA has been obtained from the correctional agency/ies.
- Summary of how each individual critical requirement is met.
- Indication if the priority considerations have been met.

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

All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

3. Program Narrative

The Program Narrative must respond to the solicitation and the Review Criteria (a-d) in the order given. The Program Narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must not exceed 20 pages. Number pages "1 of 20," "2 of 20," etc.

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

The following sections should be included as part of the program narrative¹¹:

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

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the objectives and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

More information on performance measurement at OJP is provided at www.ojp.gov/performance.

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 <https://bjapmt.ojp.gov>. Applicants should examine the complete list of measures for the Second Chance Act Improving Reentry for Adults with Co-Occurring Substance Abuse and Mental Illness Program, which is available at the following link: <https://bjapmt.ojp.gov/help/scaco->

¹¹ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

[occurringquestionnaire.pdf](#). The application should demonstrate understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Note on Project Evaluations

An applicant that proposes to use award funds 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.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

“Research,” for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the “Requirements related to Research” webpage of the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)," available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the objectives 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 Budget Narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make *subawards*. Applicants also may propose to enter into procurement *contracts* under the award.

Whether an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a *subaward* for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should: (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to

applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement. An applicant that (at the time of its application) intends—without competition—to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

d. Pre-Agreement Costs

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (unexpired), federally approved indirect cost rate; or
- (b) The recipient 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).

An applicant with a current (unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1–800–458–0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both—(1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.) For the “de minimis” rate requirements (including on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

6. Tribal Authorizing Resolution (if applicable)

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award 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 award. 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.

An applicant unable to submit an application that includes a fully-executed (i.e., signed) copy of legal appropriate 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, OJP will make use of and access to award funds contingent on receipt of the fully-executed legal documentation.

7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high risk status)

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant’s systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant’s financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional

reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk
- The date the applicant was designated high risk
- The high risk point of contact at that federal awarding agency (name, phone number, and email address)
- The reasons for the high risk status, as set out by the federal awarding agency

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Additional Attachments

- a. Letters of support or Memoranda of Understanding (MOUs)** from multiple stakeholders, which may include, but are not limited to, department of corrections, department of behavioral health, sheriff, judge, prosecutor, defense attorney, correctional health provider, community-based behavioral health, parole, probation, and other social services providers. These letters of support are meant to outline the leadership’s buy-in for this program. Letters of support should include: the roles and responsibilities of all staff from agencies that will be involved in the program, terms of access to the correctional facility or facilities for program staff, the data elements and performance measures that the partnering agencies will provide or assist the grantee in obtaining for the purpose of measuring the impact of grant activities, and a statement describing the information-sharing protocols that are established or will be established among agencies for the purpose of sharing criminal history information, unless prohibited by law, and sharing behavioral health information, consistent with the standards outlined under the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and 42 C.F.R. Part 2.
- b. Project Timeline** with each project objective, activity, expected completion date, responsible person, or organization.

c. **Position Descriptions** for key positions.

d. **Appendix C: Mandatory Certification Requirements and Mandatory Coordination Requirement Form.**

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 Single State Agency for Substance Abuse Services. Treatment providers that are serving the intended target population of this program must provide documentation that demonstrates their credentials to provide integrated substance abuse and mental illness treatment services.

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

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

Applications must include an assurance signed by the applicant organization's chief executive (see Appendix D 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.

f. **Applicant Disclosure of Pending Applications**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, **and** (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward ("subgrant") federal funds).

OJP seeks this information to help avoid 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.

Each applicant that has one or more pending applications as described above is 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 federal or state funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/Substance Abuse and Mental Health Services Administration	Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant’s Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.”

g. Research and Evaluation Independence and Integrity

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below:

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
 - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are 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 would not be given an award 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), because the organization in such an instance might 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, each applicant is to address 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 actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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.

How To Apply

Applicants must register in and submit applications through [Grants.gov](https://www.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 <https://www.grants.gov/web/grants/support.html>. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Important Grants.gov update. Grants.gov has updated its application tool. The legacy PDF application package has been phased out and was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

Browser Information: Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

Note on Attachments: Grants.gov has two categories of files for attachments: "mandatory" and "optional." OJP receives all files attached in both categories. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.) Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed "mandatory" attachments within another file.

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

Characters
Upper case (A – Z)
Lower case (a – z)
Underscore (_)
Hyphen (-)
Space
Period (.)

Special Characters		
Parenthesis ()	Curly braces { }	Square brackets []
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma (,)	Semicolon (;)	Apostrophe (')
At sign (@)	Number sign (#)	Dollar sign (\$)
Percent sign (%)	Plus sign (+)	Equal sign (=)

***When using the ampersand (&) in XML, applicants must use the “&,” format.**

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:

Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

Registration and Submission Steps

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. 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 <https://www.dnb.com/>. A DUNS number is usually received within 1–2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information

about the notarized letter is posted at https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).

An application 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 as long as 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.

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. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/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 (CFDA) number for this solicitation is *16.812*, titled *Second Chance Act Program for Improving Reentry for Adults with Co-occurring Substance Abuse and Mental Illness* and the funding opportunity number is BJA-2018-13632.
6. **Select the correct Competition ID.**

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

- Category 1, Competition ID BJA-2018-13986: Units or components of state government agencies serving adult offenders.
- Category 2, Competition ID BJA-2018-13987: Units or components of county or city local government agencies serving adult offenders.
- Category 3, Competition ID BJA-2018-13988: Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adult offenders.

7. **Access Funding Opportunity and Application Package from Grants.gov.** Select “Apply” under the “Actions” column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
8. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been 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 an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **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. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on June 18, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify 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 untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are 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, such as issues with firewalls or browser incompatibility

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria:

1. Description of the Issue (10 percent)

- Describe the problems with meeting the needs of adults with co-occurring substance abuse and mental illness returning to the community from incarceration at a systems level.
- Indicate the jurisdiction or tribe to be served, including information about the correctional facility or facilities from which offenders will be reentering their communities. Provide information on the target population (i.e., size, make-up, etc.), the number of offenders with co-occurring substance abuse and mental illness within the correctional/detention facilities who are returning to the community, and any recidivism and substance abuse data available for the target population.
- Indicate the current use of risk need assessment, including the quality assurance in place for the risk need assessment.
- Detail the substance abuse and mental illness screening and assessment processes in the correctional facilities.
- Identify how criminogenic risk assessment and behavioral health assessments are utilized to develop reentry plans.
- Define the issues with information sharing in the correctional facility and throughout the reentry process, including partnerships with the community behavioral health provider and parole or probation.
- Describe current evidence-based practices and recovery support services available in the correctional facility and as offenders reenter the community, including monitoring the quality of those services.
- Provide justification and support documentation for choosing a systems approach to meet offender's needs and provide the target number of offenders to receive pre- and post-release services.
- 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 the applicant would consider to be a success. If the applicant does not have a baseline recidivism rate for a historical sample of offenders **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for offenders who 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 a description 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 systems improvements and the purpose and objectives.
- Describe how the planning phase activities will be addressed, including the completion of the *Planning and Implementation Guide*.
- Address each of the eight Program Design Elements for the implementation phase (pages 11–13 and Appendix B: Integrated Substance Abuse and Mental Illness Treatment).
- Address the Priority Consideration that applicants should demonstrate they can provide integrated treatment for substance abuse and mental illness, knowing that integrated treatment produces better outcomes. (page 13).
- Provide information on the development of policies and procedures for developing a standardized screening process, identifying offenders who will receive assessments pre-release, collaborative comprehensive case plans, co-occurring mental illness and substance abuse services, and cognitive behavioral interventions to address criminogenic risk.
- Describe how many total offenders will be screened in the corrections facilities, receive assessments, receive case management, and receive pre- and post-release treatment over the length of the project period. BJA will track and compare the number of participants actually provided services with the number proposed in this section of the application.
 - If the applicant is requesting funds for a program that is currently operational, the applicant must state how many offenders the program has served (**who meet the stated target population characteristics**) **over the past 6 months** and how this grant will expand this program to focus on the integration of systems.
 - If the applicant already has a standardized screening process for all offenders entering the corrections facility, the applicant must detail this process and how this grant would enhance the current work.
 - If the applicant is proposing to implement a new program, the applicant must state **how many offenders met the target population characteristics within the past 6 months**.
- Provide a description of both the pre-release screening and assessment process, case planning processes, **and** post-release services.
- Describe the process for in-reach by the community-based treatment provider into the correctional facility and linking offenders to treatment and other recovery support services in the facility and community. Describe any modifications or adaptations needed to make this practice meet the objectives of the 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 (30 percent)

- Describe the level of leadership buy-in in the applicant jurisdiction, the advisory group meeting plan, the management structure, staffing of the project, and identify 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 advisory group meetings and developing information-sharing protocols, collaborative comprehensive case plans, data collection, and evaluation. Include position descriptions for key personnel as an attachment.
- Describe the experience of the project researcher (if applicable) as it relates to the objectives of the program.
- Demonstrate and identify partnership organizations with community-based substance abuse and mental health treatment programs to ensure coordinated reentry efforts, including in-reach into corrections facility/facilities and ongoing treatment and/or aftercare programming upon reentry to the community.

4. Performance Measurement and Evaluation (15 percent)

- Describe the applicant's current ability to collect and analyze participant, program, and systems level performance and outcome data.
- Provide an overview of the applicant's ability to share data or develop data-sharing agreements during the planning phase of the grant with other agencies such as the department of behavioral health, correctional health, parole, probation, or other relevant service agencies.
- Outline how and what data and information will be collected and analyzed to determine the effectiveness of the systems level approaches implemented or enhanced. Describe how performance will be documented, monitored, and evaluated and identify the potential impact of the implemented components.
- Identify existing barriers to collaboration between the criminal justice and behavioral health systems within the jurisdiction and how leadership will address these issues. Describe how this grant will improve collaboration to improve access to treatment services beyond this particular program.
- Discuss how variables like initiation, engagement, retention, continuity of care, and stakeholder support will be defined and measured.
- Describe the evaluation partner or how that person will be selected. Include information on how the evaluation partner will assist in the planning phase and have ongoing engagement throughout the life of the grant.
- 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)

- Propose a budget for the entire period of performance, including both the planning and implementation phases, that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). The Budget Narrative should generally demonstrate how the applicant will maximize cost effectiveness of grant expenditures. The Budget Narrative should demonstrate cost effectiveness in relation to potential alternatives and

the objectives of the project.¹²

- 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 can move into the implementation phase of their projects and gain access to the remainder of their funds.
- See the additional budget and budget narrative requirements on page 23.

Review Process

OJP is committed to ensuring a fair and open process for making awards. 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 an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject 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 of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for BJA include geographic diversity, strategic priorities, and available funding, as well as the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by the applicant. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to

¹² 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.

performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System, FAPIIS).

Important note on FAPIIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by the applicant.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as:

1. Applicant financial stability and fiscal integrity
2. Quality of the applicant's management systems, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

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 take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2018. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning and submission 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 OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards”](https://ojp.gov/funding/index.htm) available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards”](https://ojp.gov/funding/index.htm) are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

General Information about Post-Federal Award Reporting Requirements

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically 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 or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at <https://ojp.gov/performance/> to view the specific reporting requirements for this grant program.

G. Federal Awarding Agency Contact(s)

For OJP contact(s), see the title page.

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

H. Other Information

Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure

that prospective applicants can directly reach an individual who can address 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@l-secb.com. (Do not send your résumé to the OJP Solicitation Feedback email account.)

Note: Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Appendix A: Application Checklist

FY 2018 Improving Reentry for Adults with Co-occurring Substance Abuse and Mental Illness

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in Grants.gov:

_____ Acquire a DUNS Number (see page 32)

_____ Acquire or renew registration with SAM (see page 32)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 33)

_____ Acquire AOR confirmation from the E-Biz POC (see page 33)

To Find Funding Opportunity:

_____ Search for the Funding Opportunity on Grants.gov (see page 33)

_____ Select the correct Competition ID (see page 33)

_____ Access Funding Opportunity and Application Package (see page 34)

_____ Sign up for Grants.gov email [notifications](#) (optional) (see page 31)

_____ 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 18)

After Application Submission, Receive Grants.gov Email Notifications That:

_____ (1) application has been received,

_____ (2) application has either been successfully validated or rejected with errors (see page 34)

If No Grants.gov Receipt, and Validation or Error Notifications are Received:

_____ contact NCJRS regarding experiencing technical difficulties (see pages 3 and 34)

Overview of Post-Award Legal Requirements:

_____ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

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

Eligibility Requirement: See page 1 of this document.

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 19)

_____ Project Abstract* (see page 20)

_____ Program Narrative* (see page 21)

_____	Budget Detail Worksheet*	(see page 23)
_____	Budget Narrative*	(see page 23)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 25)
_____	Tribal Authorizing Resolution (if applicable)	(see page 26)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 26)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 27)
_____	Additional Attachments	
_____	Letters of Support or MOUs*	(see page 27)
_____	Mandatory Certification and Coordination Requirement Form*	(see page 28)
_____	Applicant Disclosure of Pending Applications	(see page 28)
_____	Position Descriptions	(see page 28)
_____	Project Timeline	(see page 27)
_____	Research and Evaluation Independence and Integrity	(see page 29)
_____	Mandatory Chief Executive Assurance to Collect Recidivism Indicator Data*	(see page 47)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 12)

***Mandatory for application to be submitted for peer review.**

Appendix B: Integrated Substance Abuse and Mental Illness Treatment

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 abuse, mental health) organize themselves to implement services integration to clients with co-occurring substance abuse and mental illness and their families.¹³ **Services Integration**¹⁴ refers to the participation of providers trained in both substance abuse 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 an individual's substance abuse, 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**¹⁵ 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 illness and substance abuse
- Integrated assessment
- Integrated treatment planning
- Integrated or, at least, coordinated treatment
- Continuing care

The overall vision of an integrated system is to effectively serve offenders with co-occurring substance abuse and mental illness 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 abuse and mental illness with trauma care and criminogenic risk reduction strategies. Services begin during incarceration and continue in the community following release.

¹³ 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>

¹⁴ 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>

¹⁵ SAMHSA (2010). *Integrated Treatment for Co-Occurring Disorders Evidence-Based Practices (EBP) Kit*. Retrieved from <http://store.samhsa.gov/product/SMA08-4367>

Appendix C:
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 the Bureau of Justice Assistance (BJA) the following:

Mandatory Certification Requirement: Service Provider

Licensing/Accreditation/Certification Documentation: 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 with 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 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), state, and 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

Appendix D:

Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

I hereby assure that, if awarded grant funds under the Second Chance Act for Improving Reentry for Adults with Co-Occurring Substance Abuse and Mental Illness 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.

Signature

Title

Date