

# **Innovative Reentry Initiatives: Building System Capacity & Testing Strategies to Reduce Recidivism**

April 24, 2019

This solicitation has been changed to update the amount of money agencies may obligate, expend, or draw down prior to BJA removing the special withholding condition. That amount is \$75,000. Thank you for your attention to this update.

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP) [Bureau of Justice Assistance](#) (BJA) is seeking applications under the Second Chance Act from units of state, local, and Indian tribal governments to assess and develop the capacity for reentry systems improvement. This program furthers the Department's mission by providing resources to implement and test promising and evidence-based strategies that result in improved public safety including lower crime and reduced recidivism.

## **Innovative Reentry Initiatives: Building System Capacity & Testing Strategies to Reduce Recidivism**

**Applications Due: June 25, 2019**

### **Eligibility**

Eligible applicants are units of state and local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior):

**Category 1, Competition ID BJA-2019-15320:** Units of state government agencies serving adults

**Category 2, Competition ID BJA-2019-15321:** Units of county or local government agencies serving adults.

**Category 3, Competition ID BJA-2019-15322:** Units of federally recognized Indian tribes and Alaska Native tribes serving adults.

**Note: Assessing the outcomes of programs funded under the Second Chance Act is a BJA priority. Applicants for this program must be able to track and report individual-level recidivism data for all adults in reentry who experience grant-supported activities. Chief executives from applicant organizations must sign and submit an assurance that all participant recidivism indicator data will be collected and submitted. Additionally, Chief executives must indicate assurance to comply with all statutory and program requirements. Applications that do not include a signed assurance form (Appendix B) from the applicant agency's chief executive will not be considered.**

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).<sup>1</sup> 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.

BJA may elect to fund applications submitted under this FY 2019 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/home.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on June 25, 2019.

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](mailto: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 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this solicitation: **BJA-2019-15250**

Release date: **April 23, 2019**

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

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# Innovative Reentry Initiatives: Building System Capacity & Testing Strategies to Reduce Recidivism

## CFDA # 16.812

### A. Program Description

#### Overview

The purpose of the FY 2019 Innovative Reentry Initiatives (IRI): Building System Capacity and Testing Reentry Strategies to Reduce Recidivism is to provide state and local jurisdictions and Indian tribes with the resources and training and technical assistance (TTA) necessary to identify assets and gaps in their reentry systems and to develop capacity and partnerships to provide services that prevent recidivism, reduce crime, and improve public safety in their jurisdictions.

**Statutory Authority:** Awards under this solicitation are authorized pursuant to Section 101 of the Second Chance Act, codified at 34 U.S.C. § 10631. Additional authority for awards made under this solicitation may be provided by the Consolidated Appropriations Act, 2019, 133 Stat 13, 114.

#### Program-Specific Information

At year-end 2016, there were over 2.1 million individuals incarcerated in state or federal prisons or held in local jails.<sup>2</sup> Approximately 95 percent of those incarcerated will be released and return to communities across the nation. A majority of these individuals have needs that, if unaddressed in prison and jail, may negatively impact their ability to live productive, crime-free lives after release, thereby impacting the safety of communities nationwide. IRI seeks to improve the capacity and effectiveness of state, local, and tribal jurisdictions to increase the success of offenders<sup>3</sup> returning to their communities from incarceration through a combination of system-level improvements and demonstration projects.

IRI is part of BJA's Innovations in Public Safety portfolio, also known as the "Innovations Suite." The Innovations Suite of programs invests in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies that are effective and economical.<sup>4</sup> This data-driven approach enables jurisdictions to understand the full nature and extent of the crime challenges they face and to direct resources to the highest priorities. Successful partnerships between practitioners and researchers require investments of planning, time, communication, complementary skills, and adequate resources.<sup>5</sup>

Additionally, applicants awarded under this solicitation may be selected to receive expert technical assistance to build their capacity to evaluate and sustain grant-funded reentry

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<sup>2</sup> Correctional Populations in the United States, 2016, Bureau of Justice Statistics, <https://www.bjs.gov/content/pub/pdf/cpus16.pdf>.

<sup>3</sup> Per the Second Chance Reauthorization Act of 2018, in the First Step Act, "offenders" includes adults who have been exonerated, as set forth at 34 U.S.C. § 60502.

<sup>4</sup> For more information about the Innovations Suite of programs, see: <https://www.bja.gov/Programs/CRPPE/>.

<sup>5</sup> For guidance about identifying and working with a research partner, see: <http://www.psnmsu.com/documents/ResearchPartnerQ&A.pdf>.

strategies. These grantees will be required to engage with the Evaluation and Sustainability TTA provider, including to track evaluation progress and conduct sustainability planning.

### **Objectives and Deliverables**

BJA will fund grantees to develop and implement comprehensive reentry strategies to reduce recidivism among offenders who are at medium to high risk for recidivating upon release from prison or jail. Within the context of this initiative, “reentry” is not a specific program; it is a process that begins when the offender is incarcerated (pre-release) and ends with his or her reintegration into the community (post-release). The reentry process should utilize empirically validated risk and needs assessments to determine offenders’ risk of recidivism, identify the criminogenic needs that contribute to it, and include individualized reentry plans to mitigate risks and address needs through programs, services, and/or community supervision. Reentry plans should reflect specific and ongoing pre-release and post-release needs, and a strategy for ensuring that these needs are met throughout the duration of the reentry process.

More broadly, a well-functioning system has comprehensive data collection and usage, adequate information sharing to ensure referral to the right programs and services, adequate staffing and skills to execute effective delivery, and a community landscape with enough resources to address the needs of returning citizens. Through IRI, grantees will assess their reentry system, identify strengths and gaps, and then build capacity in two ways: (1) general system improvements and (2) a reentry demonstration or pilot project to reduce recidivism among a particular subset of the reentering population.

Applicants should propose to meet the following objectives and deliverables in three phases over the 4-year grant period:

Phase 1: Planning (up to 12 months). During the planning phase, grantees will have access up to \$75,000 of the grant award (see [Section B. Federal Award Information](#)); will be required to participate in technical assistance; and will be required to complete and submit an Action Plan to guide implementation.

1. Understand the landscape of your jurisdiction by engaging a Task Force and assessing policies and practices in four capacity areas: data-driven decision making, staff allocation to maximize impact, quality and capacity of community providers to address client needs, and other barriers to successful reentry, such as housing. (See Appendix A for an overview of assessment criteria.)

Engage a third-party evaluator in a research-practitioner partnership throughout the award period, including to complete the planning assessment, develop the implementation plan, routinely review process and outcome data, tweak implementation accordingly, and to complete the evaluations. During the planning period, establish a baseline recidivism rate, identify a target population for the demonstration project (see Demonstration projects below), and use the baseline data and target population characteristics to derive a goal for recidivism reduction during the 3-year period beginning on the date of implementation of the program.<sup>6</sup> See Appendix C.

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<sup>6</sup> The Second Chance Reauthorization Act of 2018 establishes this as a priority consideration for applications. This solicitation sets it as a requirement for all IRI awardees.

*Deliverable 1: Task Force documentation*

*Deliverable 2: Action Plan Part 1 - Assessment results*

2. Develop a plan to address identified gaps and deficits through general system improvements and a demonstration project. General system improvements should benefit all offenders in reentry. Implement the improvements through policy and practice changes, including: developing and revising standard operating procedures; aligning hiring, training, and performance standards; and updating partnerships and service provider agreements (e.g., move to performance-based contracting).

Demonstration projects should aim to reduce recidivism among a target population—specific subset or subsets of reentering offenders—identified through data analysis as having a relatively high recidivism rate, a specific demographic or set of demographics (e.g., age, gender), returning to a particular jurisdiction area where a disproportionate population of offenders will be released from prisons or jails (e.g., specific neighborhood or ZIP code), or who are housed in the same facility prior to release. (See page 34.)

Applicants should propose system improvements and a demonstration project based on known or anticipated gaps or deficits. Proposed activities may be revised during the planning period based on assessment results. Applicants are required to provide detailed information on the number of offenders to be serviced through the demonstration program (minimum of 150 over the grant period), with a majority of offenders served to be under parole or probation supervision. For federally recognized Indian tribes, the individuals may be housed in a tribal, regional, county, or local jail pursuant to state or tribal law.

General system improvements and demonstration projects should incorporate innovative and evidence-based practices shown to reduce recidivism. There are six fundamental strategies that are widely accepted as effective in reducing recidivism: objectively assess criminogenic risk and needs; enhance intrinsic motivation; target medium and high risk individuals; address individuals' greatest criminogenic needs; use cognitive behavioral interventions; and determine dosage and intensity of services. Applicants are required to clearly describe how some or all of these evidence-based strategies are integrated into their program design in both pre- and post-release settings.

*Deliverable 3: Action Plan Part 2 - problem analysis; logic model; summary of strategies and intended outcomes; case flow analysis confirming demonstration project will serve 150 offenders; and research base for proposed strategies. (See page 14.)*

Phase 2: Implementation (24 months). Once their Action Plans are approved by BJA, grantees will move into the implementation phase and gain access to the remainder of their grant funds.

3. Implement the general system improvements to test strategies for addressing the gaps and deficits in your jurisdiction's reentry system. Also implement the demonstration project (or expand or improve an existing project) to address gaps and deficits as they relate to the target population.

*Deliverable 4: Preliminary process evaluation reflecting demonstration project and system improvements due at 30 months. The process evaluation should not assess the planning phase.*

### Phase 3: Evaluation (12 months)

4. Track recidivism and other outcomes defined in the evaluation to assess effectiveness of the interventions. Recidivism measures must include arrest, conviction, and incarceration. See Appendix C for full list. F

*Deliverable 5: Preliminary outcome and/or impact evaluation due at 36 months. Final process and outcome evaluations due at grant closeout, 90 days after end of grant period (51 months).*

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.

### **Mandatory Second Chance Act Requirements**

Section 101 of the Second Chance Act, as amended by the Second Chance Reauthorization Act of 2018, outlines Mandatory Requirements that must be satisfied by an applicant in order to be eligible for an IRI grant. BJA expects that some may be in the preliminary stages of development at the time of application and will be completed during the grant period with assistance from the BJA technical assistance provider—the [National Reentry Resource Center \(NRRC\)](#)—and demonstrated through the objectives and deliverables enumerated above. The Mandatory Requirements are to establish, maintain, and document:

1. A reentry strategic plan that describes the jurisdiction's long-term reentry strategy to increase public safety and reduce recidivism, including measurable annual and 3-year performance outcomes. A specific objective of the plan should be to reduce recidivism over a 3-year period for offenders served by IRI.<sup>7</sup> (*Deliverable 3: Action Plan*)
2. A detailed reentry implementation schedule and sustainability plan for the program. (*Deliverable 3: Action Plan*)
3. The establishment and ongoing engagement of a reentry task force, including relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders. The task force should:
  - a. Examine ways to pool resources and collect data and best practices in reentry from stakeholder agencies and organizations;
  - b. Identify and address barriers to successful reentry, including barriers that are policy or procedural in nature;
  - c. As appropriate, engage nonprofit organizations, crime victims and offenders, families of offenders, reentry coordinating council, or other interested parties.<sup>8</sup> (*Deliverable 1: Task force documentation*)
4. An independent evaluation of grant activities that include, to the extent possible, random assignment and controlled studies to determine the effectiveness of such programs. (*Deliverables 4 and 5: Process and outcome evaluations*)

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<sup>7</sup> The Second Chance Reauthorization Act of 2018 establishes this as a priority consideration for applications. This solicitation sets it as a requirement for all IRI awardees.

<sup>8</sup> As required by the Second Chance Reauthorization Act of 2018.



5. Evidence of collaboration with state and local government agencies overseeing health, mental health, housing, homeless services, child welfare, education, substance abuse, victims' services, state child support, and employment services, and with local law enforcement agencies. *(Deliverables 1, 2, and 3: Task force documentation, assessment results, and action plan)*
6. Consideration of the role of state corrections departments, parole and probation agencies, and local jail corrections systems in ensuring successful reentry in their communities. Applications must include letters of support from corrections officials responsible for facilities or offenders to be served through this program. (See "[What an Application Should Include](#)." *(Deliverables 1, 2, and 3: Task force documentation, assessment results, and action plan)*)
7. Explicit support of the chief executive officer of the applicant unit of government or Indian tribe and how this office will remain informed and connected to the activities of the program. (See "[What an Application Should Include](#)." *Deliverable 1: Task force documentation, assessment results, and action plan)*)
8. Understanding of evidence-based methods and outcome measures that will be used to evaluate the impact of the program. *(Deliverables 3-5: Action plan, process and outcome evaluations)*
9. Description of how the program could be scaled up or broadly replicated if demonstrated to be effective. *(Deliverables 4 and 5: Process and outcome evaluations)*
10. A plan to analyze the statutory, regulatory, rules-based, and practice-based hurdles to reentry. *(Deliverable 2: System assessment)*

### **Priority Consideration**

Priority consideration will be given to applicants who propose to:

1. Reduce violent recidivism among medium and high risk offenders through validated assessment tools.<sup>9</sup> The proposals must include a description of how this group will be identified and demonstrate access to and use of relevant data.
2. Target offenders with histories of homelessness, substance abuse, or mental illness, including a prerelease assessment of the housing status of the offender and their behavioral health needs to inform individual release plans that coordinate mental health, substance abuse, and homelessness services systems to achieve stable and permanent housing outcomes with appropriate support service.<sup>10</sup>
3. Improve reentry-related services in geographic areas with disproportionately large numbers of reentrants. Proposals must include data to demonstrate that a higher concentration of adults return from incarceration to the identified community than to others in the jurisdiction or the surrounding jurisdictions.<sup>11</sup>

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<sup>9</sup> As required by the Second Chance Reauthorization Act of 2018.

<sup>10</sup> As required by the Second Chance Reauthorization Act of 2018.

<sup>11</sup> The Second Chance Reauthorization Act of 2018 establishes proposals that include geographic areas with a disproportionate population of offenders released from prisons, jails, and juvenile facilities as a priority consideration.

4. Employ randomized controlled trial (RCT) methods to assess the effectiveness of programs and practices.<sup>12</sup> A strong RCT design should include low sample attrition, sufficient sample size, close adherence to random assignment, valid outcome measures, and statistical analyses.

In order to receive priority consideration, applicants must demonstrate they satisfy the criteria defined in this section in addition to all selection criteria defined throughout this solicitation.

### **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 OJP 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.

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This solicitation operationalizes that through priority consideration for jurisdictions that are, or contain, Opportunity Zones.

<sup>12</sup> The Second Chance Act Reauthorization of 2018 establishes proposals that include, to the maximum extent possible, random assignment and controlled studies as a priority consideration. This solicitation sets RCTs as the priority consideration.

## **Encouraging Program Investments in Economically Distressed Communities (Qualified Opportunity Zones)**

Under this program, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that directly benefit federally designated Qualified Opportunity Zones (QOZs).<sup>13</sup> In order to assist OJP in considering this factor, applicants should include information in the application that specifies how the project will enhance public safety in the specified QOZs. For resources on QOZs, and for a current list of designated QOZs, see the U.S. Department of the Treasury's resource webpage, accessible at <https://www.cdfifund.gov/pages/opportunity-zones.aspx>.

## **B. Federal Award Information**

BJA expects to make up to 15 awards of up to \$1,000,000 each, with an estimated total amount awarded of up to \$15,000,000. BJA expects to make all awards for a 48-month project period, beginning on October 1, 2019. Pending grantee performance and availability of future appropriations, each grantee will be considered to receive one supplement of up to \$500,000.

The funding during the initial 12-month period should support planning activities followed by 24 months of implementation activities, and a 12-month evaluation follow up period. The budget for the initial 12-month planning period should not exceed \$75,000. Implementation may begin earlier, subject to approval of the Action Plan. The budget for the final 12-month period should support evaluation activities only, including data collection, review, and other evaluation-specific tasks. The total federal award budget must not exceed \$1,000,000.

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 entities<sup>14</sup>) must, as described in the Part 200 Uniform Requirements<sup>15</sup> as set out at 2 C.F.R. 200.303:

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<sup>13</sup> See Public Law 115-97, Title I, Subtitle C, Part IX, Subpart B, Sec. 13823.

<sup>14</sup> 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.

<sup>15</sup> 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.

- (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://onlinegfmt.training.ojp.gov/>. (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.

### **Budget Information**

Proposed budgets should reflect the Planning, Implementation, and Evaluation phases outlined above, with no more than \$75,000 to support planning prior to completing and receiving BJA approval of *Deliverable 3: Action Plan*. Funding during the 24-month implementation period should support both general system improvements and the demonstration project. The budget for the last 12-months should support evaluation activities only. The total budget must not exceed \$1,000,000.

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>. **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, or food and beverages.**

### **Cost Sharing or Matching Requirement (cash or in-kind)**

Federal funds awarded under this solicitation may not cover more than 50 percent of the total costs of the project, and 50 percent of the match must be cash match. The remaining 50 percent of the match may be in-kind. An applicant must identify the source of the 50 percent non-federal portion<sup>16</sup> of the total project costs and how it will use match funds. If a successful applicant's proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. ("Match" funds may be used only for purposes that would be allowable for the federal funds.) See the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm> for examples of "in-kind" services. The formula for calculating the match is:

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

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

**Example:** 50% match requirement: for a federal award amount of \$350,000, calculate match as follows:

$$\frac{\$350,000}{50\%} = \$700,000 \quad 50\% \times \$700,000 = \$350,000 \text{ match}$$

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

### **Match Waiver**

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

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

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

### **Award Special Condition – Withholding of Funds for BJA Action Plans**

Once awarded, each grant award will have in place a special condition withholding all but \$75,000, which will allow the grantee to complete, submit, and receive approval of its Action

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<sup>16</sup> Indian tribes and tribal organizations that otherwise are eligible for an award may be able to apply certain types of funds received from the federal government (for example, certain funds received under an Indian "self-determination contract") to satisfy all or part of a required "non-federal" match.

Plan within 6 months of the grantee receiving final approval of its program's budget from the Office of the Chief Financial Officer (OCFO). The grantee will not be authorized to obligate, expend, or draw down funds in excess of \$75,000 until BJA has reviewed and approved the Action Plan and a Grant Adjustment Notice has been issued and approved to remove the special condition.

The Action Plan is a comprehensive work plan based on a [Planning and Implementation Guide](#) provided by BJA's technical assistance provider, the National Reentry Resource Center. It will include:

Part 1 - An assessment of the reentry system as outlined in Appendix A.

Part 2

- A description of the problem and the data that led to its identification as identified through the system assessment in the Planning phase.
- Case flow analysis confirming demonstration project will serve 150 offenders.
- A brief description of the solution(s) to be tested (the general system improvements and strategies in the demonstration project), intended outcomes, and evaluation metrics, including the research base for proposed strategies.
- An evaluation plan, to include ongoing analysis, monitoring, and assessment of the overall program impact.
- Research partner materials -- A contract, memorandum of understanding, or other agreement that clearly delineates the research partner's role, responsibilities, and authority to access data.
- Letters of commitment from external agencies or organizations that are expected to participate in the program, to the extent that letters have not already been provided.
- Demonstrate executive support and commitment of agency resources to the program.

### **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.<sup>17</sup> The 2019 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/19Tables/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.

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>.

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<sup>17</sup> 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.

## 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 application elements as critical: Abstract, Program Narrative, Budget Detail Worksheet, *and* Budget Narrative, Timeline, Mandatory Chief Executive Assurance to Comply with Statutory and Program Requirements, Disclosure of Proposed Subrecipients, and résumés/curriculum vitae of key personnel. Letters of support from partners, a letter from the Applicant Agency Executive, and a Reentry Strategic Plan, if the agency has one, should also be added.

**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.*

### 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, recipients should enter the Employer Identification Number (EIN) in box 8b 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 8c 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) 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.
- **Clearly label and include the following information:**
  - Legal name of the grant recipient and the title of the program.
  - Funding category (state, locality, or tribe).
  - Name of the research partner.
  - Program purposes, objectives, and deliverables.
  - Priority considerations, if applicable.
  - Projected number of participants to be serviced through the demonstration program and target population characteristics.
  - Baseline recidivism rate.
  - Name of the validated risk assessment tool used.

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

## 3. Program Narrative

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman preferred); have no less than 1-inch margins; and should not exceed 20 pages. Pages should be numbered.

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

The following sections should be included as part of the program narrative<sup>18</sup>:

- a. Statement of the Problem
- b. Project Design and Implementation

An applicant should demonstrate how it satisfies or will satisfy priority considerations (if applicable), statutory requirements, and program requirements. (See Appendix B for summary of considerations and requirements.)

- 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 goals, objectives, and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

Applicants should visit OJP's performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP.

Post award, recipients will be required to submit quarterly performance metrics through BJA's online Performance Measurement Tool (PMT), located at <https://bjapmt.ojp.gov>. Applicants should review the complete list of performance measures for this program at: <https://bjapmt.ojp.gov/help/scareentryquestionnaire.pdf>.

The application should demonstrate the applicant's 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

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<sup>18</sup> 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](#).

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 goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The 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 \$250,000<sup>19</sup>)**

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

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<sup>19</sup> Consistent with the provisions of Office of Management and Budget memorandum, OMB M-18-18, dated June 20, 2018, and entitled, "Implementing Statutory Changes to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance," DOJ will allow recipients (and any subrecipients) of awards made under this solicitation to use a simplified acquisition threshold of \$250,000 and a micro-purchase threshold of \$10,000, for federal grants administrative purposes.

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, \$250,000—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 \$250,000 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 \$250,000) 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 \$250,000 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](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <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 information 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)**

In accordance with Part 200 Uniform Requirements as set out by 2 C.F.R. 200.205, all federal agencies must have in place a framework for evaluating the risks posed by an applicant before it receives a federal award. 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. 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."

#### 10. Applicant Disclosure and Justification – DOJ High Risk Grantees<sup>20</sup>

An applicant that is designated as a DOJ High Risk Grantee is to submit, as a separate attachment to its application, information that OJP will use, among other pertinent information, to determine whether it will consider or select the application for an award under this solicitation. The file should be named "DOJ High Risk Grantee Applicant Disclosure and Justification." (See, also, Application Review Information, for a brief discussion of how such information may be considered in the application review process.)

OJP constantly seeks to optimize its investments in criminal- and juvenile justice-focused programs and activities, increase program effectiveness, and maximize the return – and program impact – from limited programmatic resources. Therefore, OJP may remove from consideration or not select for award a "DOJ High Risk Grantee" applicant that is determined to pose a substantial risk of program implementation failure. In making such determinations, OJP will consider one or more of the following factors: the applicant's lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee designation; the nature and severity of the issues leading to or accompanying the applicant's DOJ High Risk Grantee designation; or the applicant's expected ability to manage grant funds and achieve grant goals and objectives.

<sup>20</sup> A "DOJ High Risk Grantee" is a recipient that has received a DOJ High-Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

In this attachment, the applicant is to provide any additional information or justification – especially with regard to corrective actions yet to be implemented (as of the application date) – that may help demonstrate how the applicant has addressed or otherwise mitigated such uncorrected matters, such that any negative impact on the proposed program and its implementation would be immaterial or would be significantly reduced or eliminated. (To the extent that the applicant believes that any of the information provided pursuant to this disclosure may be confidential in nature, the applicant should specifically identify it.)

## 11. Additional Attachments

### a. Information regarding Communication with the Department of Homeland Security (DHS) and/or Immigration and Customs Enforcement (ICE)

Each applicant must provide responses to the following questions as an attachment to the application:

- (1) Does your jurisdiction have any laws, policies, or practices related to whether, when, or how employees may communicate with DHS or ICE?
- (2) Is your jurisdiction subject to any laws from a superior political entity (e.g., a state law that binds a city) that meet the description in question 1?
- (3) If yes to either:
  - Please provide a copy of each law or policy.
  - Please describe each practice.
  - Please explain how the law, policy, or practice complies with 8 U.S.C. § 1373.

Note: Responses to these questions must be provided by the applicant as part of the application. Further, the requirement to provide this information applies to all tiers of funding and for all subawards made to state or local government entities, including public institutions of higher education. All subrecipient responses must be collected and maintained by the direct recipient of funding and must be made available to DOJ upon request. Responses to these questions are not required from subrecipients that are either a tribal government/organization, a nonprofit organization, or a private institution of higher education.

OJP will not deny an application for an FY 2019 award for failure to submit these required responses by the application deadline, but a recipient will not receive award funds (and its award will include a condition that withholds funds) until it submits these responses.

### b. Project Timeline/Project Plan outlining key tasks, benchmarks, and persons or entities responsible.

### c. Letter from Applicant Agency Executive demonstrating agency commitment to the project and requirements outlined in this solicitation. The letter must include:

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

- d. **Applicant Disclosure of Proposed Subrecipients.** Attach a list of proposed subrecipients of grant funding, if applicable, that includes the name, organizational affiliation, and location of the proposed subrecipient entity.
- e. **Letters of Support/Memoranda of Agreement (MOA) From All Key Partners** (if applicable) detailing the commitment to work with the applicant to promote the mission of the project.
- f. **Mandatory Chief Executive Assurance to Comply with Statutory and Program Requirements.** Applications must include an assurance signed by the applicant organization's chief executive (see Appendix B for the Assurance form) that all participant recidivism indicator data will be collected and submitted at the end of the grant period, and indicating assurance to comply with other statutory and program requirements. Applications that do not include this assurance will not be considered. Inability or refusal to comply after award may impact the organization's ability to receive future BJA competitive grant funding.
- g. **Position Descriptions for key roles.** A position description should relate to the role on the proposed project, not the person's role within the applicant organization, and describes the critical competencies and expectations regarding the project responsibilities.
- h. **Résumés or Curricula Vita (CVs) for key personnel.** Applicants may combine position descriptions and résumés or CVs into a single document. Applications that do not include these will neither proceed to peer review nor receive further consideration by BJA.
- i. **Reentry Strategic Plan as required by the Second Chance Act.** (See page 8).
- j. **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.

**k. Documentation of Anticipated Benefit to Qualified Opportunity Zones (if applicable)**

As is mentioned above, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that will likely enhance public safety in federally designated Qualified Opportunity Zones (QOZs). Each applicant proposing a project it anticipates will likely enhance public safety in one or more QOZs should provide a sufficient narrative explanation in order for OJP to identify clearly the public safety benefit the applicant anticipates that its project will have on a specified QOZ(s). The attachment(s) should be clearly labeled as addressing QOZs. The applicant may also include tables, charts, graphs, or other relevant illustrations that may be useful in comprehending the manner in which the proposed project is anticipated to benefit a QOZ(s).

**How To Apply**

Applicants must register in and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <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.

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. 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.

An applicant must use the **Add Attachment** button to attach a file to its application. Do not click the paperclip icon to attach files. This action will not attach the files to the application. After adding an attachment, select the **View Attachment** button to confirm you attached the correct file. To remove the file, select the **Delete Attachment** button.

An application can be checked for errors via the **Check Application** button on the **Forms** tab of the **Manage Workspace** page. The button is active if the set of forms in the workspace matches those required in the application package. If you receive a **Cross-Form Errors** message after clicking the **Check Application** button, refer to the Cross-Form Errors help article for more detailed information about this validation error.

**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 “&amp;” 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 SAM and unique entity identifier (currently, a 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 (or updating or renewing a registration) in SAM.gov must submit an original, signed notarized letter appointing the authorized Entity Administrator within thirty (30) days of the registration activation. **Notarized letters must be submitted via U.S. Postal Service Mail.** Read the Alert at [sam.gov/SAM/](http://sam.gov/SAM/) to learn more about what is required in the notarized letter, and read the *Frequently Asked Questions (FAQs)* at [www.gsa.gov/samupdate](http://www.gsa.gov/samupdate) to learn more about this process change. 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). Information about SAM registration procedures can be accessed at [sam.gov/SAM/](http://sam.gov/SAM/).

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.

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 “Innovative Reentry Initiatives: Building System Capacity & Testing Strategies to Reduce Recidivism” and the funding opportunity number is BJA-2019-15250.

6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

**Category 1: BJA-2019-15320**

**Category 2: BJA-2019-15321**

**Category 3: BJA-2019-15322**

7. **Download Funding Opportunity and Application Package from Grants.gov.** Select “Apply for Grants” under the “Applicants” column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Select the desired download option (i.e., Workspace or Legacy), following the instructions provided by Grants.gov.
8. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** To preview the application prior to (or after) submitting, go to the **View Application** tab in Workspace. For additional information, review the [View Application Tab](#) help article and [Attachments Tab](#) help article. 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 25, 2019.

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 and demonstrate understanding of the nature and scope of the problems with reentry, using data and research as support.
- Describe in detail how your organization meets the Mandatory Second Chance Act Requirements (Section 101) listed on pages 8–9.
- Describe related and successful efforts to date, including:
  - Current utilization or risk and needs assessments to develop individualized transition/reentry plans.
  - Data collection and analysis methodology.
- Describe the need for assistance and resources to address the problem.
  - Indicate the jurisdiction or tribe to be served and include details on the target population, the number of adult offenders to be served and returning to the community, and the number and offense type for offenders in facilities.
- Provide a baseline recidivism rate and a recidivism reduction goal, including a definition of recidivism, such as arrest, conviction, revocation, and/or re-incarceration. Also, provide an explanation of the population (demographics, risk

level, offense type), the follow-up period length (post-release), and the dates when the recidivism rate was calculated. If a baseline recidivism rate for a historical sample of formerly incarcerated individuals is not available, applicants should supply recidivism data for a comparable population.

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

- Address in detail how the applicant proposes to undertake and accomplish each of the goals, objectives, and deliverables outlined for this program, including priority considerations (if applicable) and statutory and program requirements (see pages 5–10). Applicants may propose other objectives or deliverables in addition to the ones listed.
- Use data and cite a research basis to support the program design or components therein.
- Describe the roles and responsibilities of each partner and how they will be integrated into the applicant’s proposed strategy:
  - Identifying and engaging the target population in a demonstration program. Describe the pre- *and* post-release services to be provided for every program participant.
  - Assessing and making general system improvements to reentry.
- Demonstrate ability to reach enrollment requirement of 150 or greater. Indicate the number of offenders (reentrants) who would receive services through the demonstration program over the length of grant. If awarded funds, grantee performance will be measured against this number.
  - If the applicant is requesting funds for a program that is currently operational, the applicant must state how many offenders the program has served (who meet the stated target population characteristics) over the past 6 months.
  - If the applicant is proposing to implement a new program, the applicant must state how many offenders met the target population characteristics within the past 6 months.
- Provide a timeline that identifies the major tasks and deliverables of the proposed program and the agency or organization responsible for each activity.

## **3. Capabilities and Competencies (25 percent)**

- Describe the management structure and staffing of the program, identifying the agency responsible for the program and the reentry coordinator.
- Describe the structure and staffing that will facilitate the required deliverables (see pages 5–9). Describe staff roles and attach their résumés.

## **4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5 percent)**

- Describe the manner in which the data required for this solicitation’s performance measures will be collected, including the system(s) used and the staff responsible.
- Describe whether and how other relevant performance metrics will be documented, monitored, and evaluated.

## 5. Budget: (10 percent)

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for program activities).
- Budget Narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures in relation to potential alternatives and the objectives of the program.<sup>21</sup>

## 6. Impact/Outcomes, Evaluation, Sustainability (15 percent)

- Describe the methodology for assessing that individualized case plans are developed and executed for clients in reentry, including tracking risk levels, criminogenic needs, and dosage of services and programs provided.
- Describe how performance of general system improvements and the demonstration project will be documented, monitored, and evaluated, and how impact will be assessed.
- Describe the strategy/methodology for tracking unique participant identifiers, gaining access to recidivism data, and reporting this data to BJA.
- Discuss how the project timeline allows for collection of recidivism data that will be sufficient to draw conclusions about the effectiveness of the general system improvements and the demonstration project.
- Discuss how this effort will be integrated into the jurisdiction's justice system plans or commitments.
- Describe how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.

### 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:

1. The application must be submitted by an eligible type of applicant.
2. The application must request funding within programmatic funding constraints (if applicable).
3. The application must be responsive to the scope of the solicitation.
4. The application must include all items designated as "critical elements."

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

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<sup>21</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

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 internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. 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 (specifically including, but not limited to, demonstrable potential enhancement to public safety in one or more federally designated Qualified Opportunity Zones), potential project sustainability factors such as voluntary committed cost sharing (or match), 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 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 \$250,000 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.

**Note on applicants with a “high risk” designation:** Risks associated with DOJ High Risk Grantees, or applicants designated as “high risk” by a federal grant-making agency outside of DOJ, are taken into account during the review process, and each applicant with such “high risk” designations will be considered for funding on a case-by-case basis, depending on the nature and severity of the issues that led to the DOJ High Risk Grantee (or non-DOJ high risk) designation, status of progress in addressing corrective actions, and expected ability to manage grant funds and achieve grant goals and objectives. A “high risk” designated applicant is to submit disclosure and justification documentation consistent with the requirements specified, above, under “What an Application Should Include” in Section C. Application and Submission Information.

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, 2019. 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 a physical signature on the award document by the authorized representative. The fully-executed award document must then be scanned and submitted 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](#),” 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](#)" 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 2019. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, or 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.

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to verification of employment eligibility. The condition will, generally speaking, require the recipient (and any subrecipient) that accepts the award to verify the employment eligibility of any individual hired under the award, consonant with 8 U.S.C. § 1324a(a)(1).

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to competition requirements set forth at 2 C.F.R. § 200.319. The condition will, generally speaking, prohibit recipients (and any subrecipients) from procuring goods and services with award funds by means of any competition that disadvantages or excludes vendors on the basis of their having (or their having had) a prior or existing contractual relationship with the federal government.

OJP will include as appropriate an award condition (the specific terms of which will govern the award) requiring recipients of OJP grant funding that will support projects that involve or serve minors under the age of 18 to develop and implement written screening procedures (consistent with pertinent federal, state, and local law) for individuals who will interact in a staff or volunteer capacity with minors involved in the grant-funded programs.

Individual FY 2019 awards made pursuant to this solicitation will, as appropriate and to the extent consistent with law, include conditions that will require the recipient (and any subrecipient) that accepts the award to do various things, with respect to the "program or activity" that would receive federal financial assistance thereunder. Although the specific terms of each of those conditions are what will govern the awards, included among such conditions will be some that, generally speaking, will require the recipient (and any subrecipient) that accepts the award to do some or all of the following:

- Not to impede the exercise of the authority of the federal government under 8 U.S.C. § 1266(a) & (c) (authorizing arrest and detention of certain aliens and providing that the federal government "shall take into custody" certain criminal aliens "when the alien is released") and 8 U.S.C. § 1231(a)(4) (relating to removal from the United States of aliens after detention/confinement at the federal, state, and local level), specifically by requiring such recipients to provide (where feasible) at least 48 hours' advance notice to DHS regarding the scheduled release date and time of an alien in the recipient's custody when DHS requests such notice in order to take custody of the alien pursuant to the Immigration and Nationality Act.

- Not to impede the exercise by DHS agents, “anywhere in or outside the United States” (8 C.F.R. § 287.5(a)(1)), of their authority under 8 U.S.C. § 1357(a)(1) to “interrogate any alien or person believed to be an alien as to his right to be or to remain in the United States,” specifically by requiring such recipients to permit DHS agents to have access to any correctional facility in order to meet with an alien (or an individual believed to be an alien) and inquire as to his right to be or remain in the United States.

### **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 [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP.

## **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](mailto: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 [ojpprsupport@usdoj.gov](mailto:ojpprsupport@usdoj.gov). (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: Assessing Your Reentry System

In order to most effectively reduce crime and recidivism among reentering adults, criminal justice systems should have comprehensive data collection and usage, risk and need assessment and information sharing to ensure referral to the right programs; adequate staffing to execute program delivery; and a community landscape with enough programming to address the needs of returning citizens. Justice agencies should understand their current system capacity as it relates to the domains below, scale up successful policies and practices, and make improvements to gaps or deficits.

### **Data**

High-functioning agencies are data-driven. They understand the population they serve, routinely assess their impact and make adjustments as needed, and cultivate resources and partners accordingly.

Assess: Do you make data-driven decisions? *If not, what should you be doing to get there?*

- What data do you collect? (Case processing data, offender population data, demographics, criminal history, sentence length, program/service engagement, sanctions and incentives, recidivism-technical violations and new offenses)
- How is it collected?
- How do you store it?
- What do you do with it?
- With whom do you share it?

Recommend representation from: lead agency's data management staff.

### **Pre-release planning**

Effective case assessment and management requires beginning to plan for reentry at the time of admission.

Assess: Do you have policies, practices, and resources to maximize the likelihood offenders will desist from crime and antisocial behavior upon release?

- Is a validated risk and need assessment administered to all offenders? What assessment, at what point in the process, and how frequently is it repeated?
- Are results used to inform in-custody programming to address needs and mitigate risk upon release? If so, how? How do results inform pre-release planning?
- Do offenders obtain all necessary referrals for reentry services, including assistance identifying and securing suitable housing, continuous and appropriate mental health services, drug treatment, medical care, job training and placement, educational services, vocational services, and any other service or support needed for reentry?<sup>22</sup>
- When are referrals secured?
- Is the eligibility of an offender for Federal, tribal, or State benefits upon release established prior to release, subject to any limitations in law?<sup>23</sup>

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<sup>22</sup> The Second Chance Reauthorization Act of 2018 establishes this as a priority consideration for applications. This solicitation sets it as a requirement for all IRI awardees.

<sup>23</sup> The Second Chance Reauthorization Act of 2018 establishes this as a priority consideration for applications. This solicitation sets it as a requirement for all IRI awardees.

Recommend representation from: institutional and community corrections, pre-release planning unit, and relevant partners.

### **Staff capacity**

Correctional and community staff members should be trained to meaningfully engage offenders through routine interactions as well as programming and treatment. Every contact is an opportunity to reinforce pro-social and non-criminogenic thinking. Staff should additionally understand the importance of working with high risk individuals to demonstrate that their program can decrease recidivism. The most effective organizational change strategies involve supervision and coaching of staff to reinforce the expected way of doing business—training alone is not sufficient.

Assess: Are staff resources allocated in a way to maximize impact? If not, what should you be doing to get there?

- What job-related training do staff receive?
- Do staff have adequate training and competencies to execute their jobs well?
- Do staff have adequate time and resources to complete all assigned duties within their assigned work hours?
- Do hiring standards and performance assessments reflect expectations of staff?

Recommend representation from: the lead agencies at the senior management, middle management, and line staff level.

### **Behavioral health**

All offenders should be screened for substance abuse and mental health problems at entry to the criminal justice system, and assessments should be repeated to detect changes over time. Proper screening and assessment requires standardized instruments, trained staff to administer them, and referral to treatment as indicated by results. Proper treatment can lead to positive outcomes such as reduced substance abuse and arrests, which requires availability of quality treatment.

Assess: Are there sufficient and effective pre- and post-release treatment resources to address the jurisdiction's needs? If not, what should you be doing to get there?

- What treatment resources are currently available?
- What are the behavioral health needs of your agency's clients and the target population?
- How many treatment slots are available to address their needs? Are there enough slots in each type of service and in each facility or community, or are there long waiting lists?
- Are the treatment providers effective to reduce the negative effects of, or outcomes related to, behavioral health problems? What results do you track and/or do they report to your agency about offender engagement and outcomes?
- Does dosage or program and treatment intensity reflect offenders' risk level?
- How do you incentivize quality services? Are you including those into contracting or other mechanisms? (May be a corrections agency or the behavioral health agency that does the contracting)
- How do you leverage other funding streams (particularly in Medicaid expansion states)?
- State level --- How do you ensure mental health services are provided in parity with other services? (e.g., caps on visits should be same as cardiac treatment, what's included in your state Medicaid plan, what's the cultural capacity)

Recommend representation from: behavioral health treatment provider and consumers of behavioral health services.

## **Community supervision**

Collaboration between those responsible for custodial sanctions (jails and prisons) and community sanctions (probation, parole) is critical to reducing crime and recidivism. As offenders transition from custody to community supervision, as well as from community supervision into custody, individualized case plans should transition as well. The responsible agency – or party within an agency, if for example, a DOC is responsible for both prisons and parole – should have access to information about previously completed risk and needs assessments, programming and treatment engagement, and case plans. Each subsequent case plan should build on the prior one, and details will depend on whether/how the individual offender's risk, needs, and other circumstances have changed.

Assess: Are institutional and community corrections coordinated in mission and practice?

- Are risk and need assessment results conducted by institutional corrections available to community corrections, and vice versa? How is the information shared (e.g., occasionally or consistently, systematic transfer of data for upcoming releases or by making a request for individual records)?
- How often are parole releases delayed due to wait times for otherwise eligible offenders to complete required programs and/or treatment?
- What is the process to adjudicate violations of parole, probation, or supervision following release from prison? How are graduated, community-based sanctions used for minor and technical violations that are not otherwise, and independently, a violation of law?<sup>24</sup>

Recommend representation from: community supervision agency, paroling authorities (if addressing parole release), and Community/Specialty Courts (e.g., Drug, Reentry, Mental Health, Veterans).

## **Key areas of need**

Understand what other barriers exist to prevent successful reentry related to housing, education, employment, and housing. Is the community environment set up for people to succeed? If not, how can you improve the environment and opportunities therein to decrease recidivism?

Education: One barrier to successful reintegration may be the lack of education or under education, which reduces the ability to secure employment at a level to be self-sufficient. Proposals in this domain may request funds to improve or expand the provision of or connection to educational/vocational services that will increase the likelihood of obtaining meaningful employment.

Recommend representation from: local adult education/literacy programs, community colleges, vocational education centers, and/or other institutions of higher education.

Employment: Engaging reentering adults in employment provides a positive, structured use of time in the community, and having a job provides income to contribute to personal and family support, reduces reliance on social services, and increases self-efficacy. Yet offenders face many barriers to obtaining and sustaining employment. Proposals in this domain may request funds to implement or improve use of a structured job readiness curricula enhanced by transitional and subsidized employment opportunities that will lead to long-term employment with wages that promote self-sufficiency.

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<sup>24</sup> The Second Chance Reauthorization Act of 2018 establishes this as a priority consideration for applications. This solicitation sets it as a requirement for all IRI awardees.

Recommend representation from: local Workforce Development Board/American Job Center (also known as One-Stop Centers), Chamber of Commerce, and/or labor unions.

Housing: Successful reentry requires access to safe and secure housing. Proposals in this domain may request funds to link reentering adults to affordable and supportive housing, especially permanent supportive housing, where appropriate. Funds may also be used to establish or leverage partnerships with nonprofit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care (CoCs) that support stable, affordable housing and prevent homelessness.

Recommend representation from: local CoCs (a collaborative planning body that oversees the use of federally funded homelessness assistance programs such as supportive housing), the Public Housing Agency (PHA, which oversees programs like Section 8 Housing, Choice Vouchers, and public housing), the city and county housing departments and the state housing agency (which help finance and regulate affordable housing), and faith-based and neighborhood organizations (which often have resources that assist people experiencing homelessness).

## Appendix B: Mandatory Chief Executive Assurance to Comply with Statutory and Program Requirements

The Second Chance Act of 2008 and the Second Chance Reauthorization Act of 2018 establish statutory requirements for IRI awards, including general conditions and priority considerations for applications thereto. BJA incorporates these as, and additionally establishes, program requirements and priority considerations to reflect the Attorney General's priorities.

Complete the table below to indicate whether the applicant organization seeks priority consideration, and provide assurance the organization will meet all statutory and program requirements if awarded an IRI grant. **The Chief Executive of the applicant organization must sign this form for it to be valid. Applicants are ineligible to receive IRI grant funds if they do not assure compliance.**

Mandatory Chief Executive Assurances
<p><b>Priority Considerations</b></p> <p>Enter "Yes" or "No" to indicate whether the applicant organization seeks the following priority considerations outlined on pages 9–10.</p> <ol style="list-style-type: none"><li>1. Target medium and high risk offenders. _____</li><li>2. Target offenders with histories of homelessness, substance abuse, or mental illness; use a prerelease assessment and individual release plans to achieve permanent housing outcomes with support services. _____</li><li>3. Grant activities will benefit Opportunity Zones. _____</li><li>4. Employ randomized controlled trial (RCT) methods to assess effectiveness. _____</li></ol>
<p><b>Meet Mandatory Requirements</b></p> <p>Enter "Yes" to indicate assurance the applicant agency will meet the Mandatory Requirements set forth on pages 8–9, if awarded an IRI grant. _____</p> <p>Enter "Yes" to indicate assurance the applicant agency will assess their reentry system to address all items in Appendix A, and document results in the Action Plan. _____</p>
<p><b>Collect and Report Recidivism Indicator Data</b></p> <p>Enter "Yes" to indicate assurance the applicant 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 BJA Performance Measurement Tool upon grant closeout. The inability or refusal to submit such data after the award is made may impact this project or the organization's ability to receive future BJA competitive grant funding. _____</p>

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Signature of the Chief Executive of the Applicant Organization

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Title

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Date

## Appendix C: Recidivism Metrics

Per the Second Chance Reauthorization Act of 2018, passed as part of the First Step Act, IRI grantees:

1. Must partner with a third-party evaluator to use baseline data and target population characteristics to derive a target goal for recidivism reduction during the 3-year period beginning on the date of implementation of the program. The target should be derived during the planning period, and recidivism data captures over the 2-year implementation and additional 1-year evaluation follow-up period. See page 6.
2. Shall measure effectiveness by such metrics as
  - a. increased number of staff trained to administer reentry services;
  - b. increased proportion of individuals served by the program among those eligible to receive services;
  - c. increased number of individuals receiving risk screening needs assessment, and case planning services;
  - d. increased number of individuals enrollment in, and completion of treatment services, including substance abuse and mental health services among those assessed as needing such services;
  - e. increased employment and education opportunities;
  - f. increased number of individuals enrolled in and degrees earned from educational programs, including high school, GED, vocational training, and college education;
  - g. increased number of individuals obtaining and retaining employment;
  - h. increased number of individuals obtaining and maintaining housing;
  - i. increased self-reports of successful community living, including stability of living situation and positive family relationships;
  - j. reduction in drug and alcohol use;
  - k. increased payment of child support, if appropriate;
  - l. reduction in violations of conditions of supervised release;
  - m. reduction in recidivism rates for individuals receiving reentry services after release, as compared to either baseline recidivism rates in the jurisdiction of the grantee or recidivism rates of the control or comparison group; and
  - n. reduction in crime.

BJA defines recidivism as arrest, conviction, and/or incarceration. Grantees must track all three metrics and discern whether they are the result of a new offense or technical violation.

All measures should be captured from an individual's attachment to the SCA-funded activities (general system improvements or demonstration project) through the end of the evaluation follow up period, and at intervals therein.

## Appendix D: Application Checklist Innovative Reentry Initiatives: Building System Capacity & Testing Strategies to Reduce Recidivism

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 31)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 31)

#### *To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 31)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 31)

#### *To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 31)

\_\_\_\_\_ Select the correct Competition ID (see page 32)

\_\_\_\_\_ Access Funding Opportunity and Application Package (see page 32)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 29)

\_\_\_\_\_ 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](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 15)

#### *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 32)

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

\_\_\_\_\_ Contact NCJRS regarding experiencing technical difficulties (see page 2)

### 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(s) of \$1,000,000

**Eligibility Requirement:** Eligible applicants are units of state and local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior):

**Category 1, Competition ID BJA-2019-15320:** Units or components of state government agencies serving adults

**Category 2, Competition ID BJA-2019-15321:** Units or components of county or local government agencies serving adults.

**Category 3, Competition ID BJA-2019-15322:** Units or components of federally recognized Indian tribes and Alaska Native tribes serving adults.

## What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)
- \_\_\_\_\_ \*Project Abstract (see page 17)
- \_\_\_\_\_ \*Program Narrative (see page 17)
- \_\_\_\_\_ \*Budget Detail Worksheet (see page 19)
- \_\_\_\_\_ \*Budget Narrative (see page 19)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 19)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 22)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 23)
- \_\_\_\_\_ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 24)
- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 24)
- \_\_\_\_\_ Applicant Disclosure and Justification – DOJ High Risk Grantees (see page 25)
  
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Program Timeline\* (see page 26)
  - \_\_\_\_\_ Letter from Applicant Agency Executive\* (see page 26)
  - \_\_\_\_\_ Applicant Disclosure of Proposed Subrecipients\* (see page 27)
  - \_\_\_\_\_ Letter(s) of Support/MOA from Partners \* (see page 27)
  - \_\_\_\_\_ Position Description(s) (see page 27)
  - \_\_\_\_\_ Résumés\* (see page 27)
  - \_\_\_\_\_ Reentry Strategic Plan\* (see page 8)
  - \_\_\_\_\_ Mandatory Chief Executive Assurance to Comply with Statutory and Program Requirements\* (see page 27 and Appendix B)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 27)
- \_\_\_\_\_ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 14)
- \_\_\_\_\_ Information regarding Communication with the Department of Homeland Security (DHS) and/or Immigration and Customs Enforcement (ICE) (see page 26)
- \_\_\_\_\_ Documentation of Anticipated Benefit to federally designated Qualified Opportunity Zones (if applicable) (see page 29)