



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#)' (OJP) [Bureau of Justice Assistance](#) (BJA) is pleased to announce that it is seeking applications for funding to support the Honest Opportunity Probation with Enforcement (HOPE) Demonstration Field Experiment. This program furthers the Department's commitment to generating new evidence about services and programs that enhance public safety and promote successful offender outcomes.

The Honest Opportunity Probation with Enforcement (HOPE) Demonstration Field Experiment FY 2011 Competitive Grant Announcement

Eligibility

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

Deadline

Registration with [Grants.gov](#) is required prior to application submission. (See "How to Apply," page 18.) All applications are due by 11:59 p.m. eastern time on June 28, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to support@grants.gov.

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

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

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The Honest Opportunity Probation with Enforcement (HOPE): Demonstration Field Experiment (CFDAs #16.812)

Overview

BJA and the National Institute of Justice (NIJ) are supporting this multisite Demonstration Field Experiment (DFE) in an effort to enhance public safety and to improve the outcomes of probationers. This DFE will combine a multisite demonstration of the Hawaii HOPE model with a rigorous experimental evaluation in an applied setting. This DFE will consist of a randomized controlled trial (RCT), in which the costs associated with program implementation will be funded by BJA, and costs associated with the evaluation will be funded by NIJ.

This solicitation is being funded under the Second Chance Act of 2007 (Public Law 110-199, Sec 245). The HOPE DFE is intended to: (a) improve supervision strategies that will reduce recidivism; (b) promote and increase collaboration among agencies and officials who work in probation and related fields; and (c) develop and implement strategies to improve the outcomes of “high-risk” probationers that can be used throughout the nation.

For additional information about the Second Chance Act, go to: frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110_cong_public_laws&docid=f:publ199.110.pdf.

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement 11:59 p.m. eastern time on June 28, 2011. Please see the “How to Apply” section, page 18, for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on June 28, 2011, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see “Contact Information” on the title page for more information about BJA’s Justice Information Center).

Eligibility

Please refer to the title page for eligibility under this program.

Applicant Webinar

Jurisdictions interested in participating in this DFE will have an opportunity to obtain additional information by participating in the HOPE DFE Applicant webinar. This webinar will provide an overview of the HOPE DFE model and address any questions and concerns. For more information about the HOPE DFE Applicant webinar, visit the BJA web site at www.bja.gov/funding/current-opp.html or the NIJ web site at www.nij.gov/funding/current.htm or contact the BJA Justice Information Center at 1-877-927-5657 or via e-mail to JIC@telesishq.com.

HOPE DFE—Specific Information

Background

Enforcing the conditions of probation is an important challenge for the criminal justice system. Probation supervision is intended to provide alternatives to incarceration. Under the probation process, in lieu of a prison term, an offender promises to comply with a set of conditions, and an officer is assigned to monitor enforcement and has the authority to report violations to the court for possible sanctions. This process reduces the costs involved with incarcerating an offender and may also reduce the negative effect that incarceration may have on an offender's chances of successfully integrating into law-abiding society. Probation is also designed to produce rehabilitative benefits by requiring the offender to learn to keep his or her behavior within legal limits in a community setting (Hawken and Kleiman, 2009). Since 1990, probationers have accounted for more than half the total growth in the correctional population (Bureau of Justice Statistics (BJS), 2006). Failure rates on probation are high and have remained relatively stable since 1995 (at around 40 percent) (BJS, 2006).

According to researchers who evaluated Hawaii Opportunity Probation with Enforcement (Hawaii HOPE), Hawken and Kleiman (2009), it can be difficult to actually enforce the terms of probation due to: (a) high caseloads, (b) a sanctions process that puts large demands on the time of probation officers and judges, (c) delays in resolving violation of probation requests, (d) the scarcity of jail and prison beds, and (e) the low priority many law enforcement agencies give to the service of bench warrants for probation absconders. Unfortunately, this can lead to high rates of noncompliance by the offender. As a result, it can be common for probationers and criminal justice officials to view a probation sentence as representing something less than actual punishment. Hawken and Kleiman contend that this may limit the value of probation as a sanction, leading to the possible incarceration of offenders who might otherwise be well-managed under community supervision.

To address these issues, in 2004, Hawaii HOPE was initiated. Judge Steven Alm of Hawaii's First Circuit created the HOPE experimental probation-modification program. The program begins with an initial warning hearing where probationers are given clear instructions on the content and implications of the close monitoring under HOPE. The judge clearly articulates and applies sanctions in a manner that is **certain, swift, and consistent** for every infraction. Offenders who violate the terms of probation are immediately arrested and are brought before a judge. Every positive drug test and every missed probation appointment is met with a sanction. The HOPE process contrasts sharply not only with routine probation supervision but with the two other major approaches to managing drug-involved offenders in the community: diversion programs and drug treatment courts. Diversion and drug courts are alike in starting with a formal clinical assessment of the client's need for drug treatment and the preparation of a corresponding treatment plan. The offender is then mandated to follow that plan. In contrast, the HOPE approach is focused directly on reducing drug use and missed appointments rather than on drug treatment. That is, the focus is on outcome rather than on process. Additionally, HOPE can be an option for offenders who may not qualify for drug courts (i.e., offenders with a history of violent crime). This DFE seeks to rigorously test the Hawaii HOPE model to determine if it can contribute to a reduction of drug use, missed appointments, and re-offending for high-risk¹ probationers in several jurisdictions across the United States.

¹ High-risk for failing probation through drug use, missed appointments, and/or re-offending

Understanding Demonstration Field Experiments

BJA and NIJ are supporting this multisite DFE in an effort to improve the outcomes of probationers. This DFE will combine a multisite demonstration of the HOPE model with a rigorous experimental evaluation in an applied setting. This DFE will consist of a randomized controlled trial (RCT), in which the costs associated with program implementation will be funded by BJA, and costs associated with the evaluation will be funded by NIJ. A RCT is a study in which people are assigned at random (by chance) to different groups that will receive different interventions or follow different protocols (Jadad & Enkin, 2007). One of these interventions or protocols will be the innovative process or “treatment” that the research team is interested in studying. The outcome of the “treatment” intervention or protocol will then be compared to the “control” group. The control may be a standard practice (“business as usual”) or no intervention at all. In a DFE there is an existing program model with some accumulated evidence of effectiveness that will be tested in multiple locations to determine the model’s general effectiveness and replicability.

This DFE seeks to rigorously test the Hawaii HOPE model in several jurisdictions across the United States. Program site participants will be selected based on their ability and willingness to implement and adhere to the model and their willingness to participate in the evaluation. There will be intensive monitoring (for example, bi-weekly or weekly conference calls) of the model’s implementation, supplemented by training and technical assistance as needed. The sites will be subject to frequent site visits to verify data collection, randomization, implementation fidelity, and overall progress in the experiment. There also will be a member of the evaluation team onsite serving as the Research Coordinator. A few of the tasks that the Research Coordinator will be responsible for include overseeing the randomization process; placement of probationers on to the appropriate dockets; data collection; and monitoring participant progress. Finally, there will be a rigorous evaluation of the HOPE model across all sites. This disciplined approach will allow for an assessment of the model’s effectiveness at each site, as well as an understanding of differences in outcomes due to local conditions. DFE sites will be given up to 180 days to start the HOPE program, in order to allow team members to become acclimated to the process before the evaluation starts.

HOPE DFE sites will be selected for BJA funding based upon their commitment to:

- a) Build knowledge and new evidence.
- b) Implement the HOPE model with fidelity.
- c) Adhere to the swift, certain, and consistent punishment conditions of HOPE.
- d) Adhere to all requirements of the RCT (including random assignment of cases to experimental and control conditions).
- e) Collect and analyze program data.
- f) Work collaboratively with the Research Coordinator and evaluation team.
- g) Cooperate fully with the evaluation.

In the Project Design, Implementation, and Fidelity section of the program narrative, DFE site applicants must agree to comply with these mandatory program requirements² or they will not be selected for funding. By participating in this DFE, local, state, and tribal partners will have an opportunity to participate in a state-of-the-art effort to build new evidence in a critical area and to test the effectiveness of the HOPE model. Building this new evidence is the single purpose for

² Please review the Selection Criteria section on Project Design, Implementation, and Fidelity for more information on what is required.

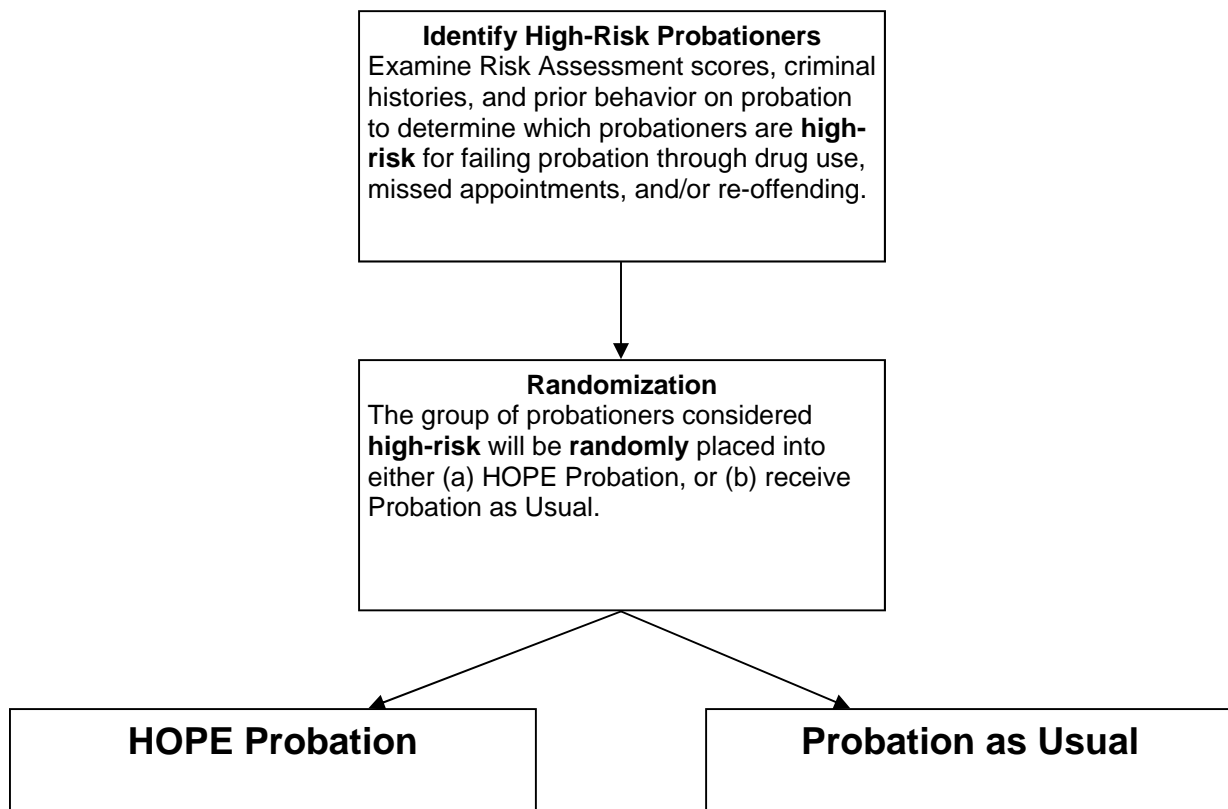
which the DFE is funded. This solicitation is not intended for jurisdictions seeking funding to implement their own probation or treatment strategies.

NIJ's evaluation solicitation can be found at <http://ncjrs.gov/pdffiles1/nij/sl000977.pdf>. For additional information on Demonstration Field Experiments, please visit the following NIJ web page: www.ojp.usdoj.gov/nij/funding/2010/demonstration-field-experiment.pdf.

The HOPE Demonstration Field Experiment

This DFE will rigorously test whether the HOPE probation model can promote the successful completion of probation for high-risk probationers. DFE sites will be asked to examine risk assessment scores, criminal histories, and prior behavior on probation to determine which probationers are **high-risk** for failing probation through drug use, missed appointments, and/or re-offending. After the pool of high-risk probationers has been determined, they will be randomized into one of the following groups: (a) HOPE probation, or (b) probation as usual.

Honest Opportunity Probation with Enforcement (HOPE) Demonstration Field Experiment



The HOPE Probation Group

- All key members of the HOPE Team (listed below) will be required to receive HOPE program and caseload training.
- All key members of the HOPE Team must also agree to adhere to the key elements of the HOPE model (listed below).
- HOPE probationers will participate in random drug testing.
- HOPE probationers will also adhere to the key elements of the HOPE model (listed below).

Probation as Usual Group

- Probation officers do not receive any extra training or instructions on how to communicate, interact, or process offender violations.
- Probationers should appear for scheduled appointments, complete drug testing, and complete the instructions from their probation officer as it has always occurred in the jurisdiction.

Description of the HOPE Model

HOPE depends on the cooperation of the judicial, penal, enforcement, and probation systems. The HOPE intervention starts with a formal warning, delivered by the judge in open court, that any violation of probation conditions will not be tolerated. Each violation will result in an immediate, brief jail stay.³ Each probationer will be assigned a color code at the warning hearing. The probationer will be required to call the HOPE hotline each morning. The probationer must appear at the probation office before 2 p.m. that day for a drug test if his or her color has been selected. During the first 2 months in HOPE, probationers will be randomly tested at least once a week (good behavior through compliance and negative drug tests are rewarded with an assignment of a new color associated with less-regular testing). A failure to appear for testing leads to the immediate issuance of a bench warrant, which the police department or sheriff's office should serve.

Probationers who test positive for drug use or fail to appear for probation appointments will be brought before the judge. When a violation is detected, the probation officer will complete a "Motion to Modify Probation" form and fax this form to the judge (a Motion to Modify is much simpler than a "Motion to Revoke Probation"). The judge must have or be able to create the legal authority to do a modification. The hearing on the Motion to Modify should be held within 72 hours, with the probationer confined until the hearing. A probationer found to have violated the terms of probation should be immediately sentenced to a short jail stay, with credit given for time served. The probationer resumes participation in HOPE and reports to his/her probation officer on the day of release. Unlike a probation revocation, **a modification order does not sever the probation relationship.**

A probationer may request a treatment referral at any time. Probationers with multiple violations should be mandated to intensive substance abuse treatment services (typically residential care). HOPE probationers remain under court supervision while in treatment. Once a HOPE client is referred to treatment, it is not sufficient that he/she merely appear for treatment; the client has to abstain from drug use to avoid a jail sanction.

³ Typically a few days, servable on the weekend if employed, but increasing with continued noncompliance.

Key Members of the HOPE Team:

The stakeholders listed below are integral to the success of the HOPE program. Sites must provide documentation that key stakeholders are involved in the demonstration, have made a long-term commitment to implementing HOPE, and agree to the new procedures.

- Chief Justice
- One main HOPE Judge, with a back-up HOPE Judge
- Senior administrative staff person for the Judge(s) participating in HOPE
- Probation Administrators and Officers (only a few POs should handle the HOPE cases)
- Court Administrator
- Prosecutors
- Public Defender/Defense Attorneys
- Sheriff and/or Police
- Jail Administrator
- Research Coordinator

Roles and Responsibilities of Key Members of the HOPE Team	
Chief Justice	The Chief Justice should give a letter of consent to support the program in his or her state since the judge is integral to all aspects of program fidelity.
The HOPE Judge, with a back-up HOPE Judge	The judge presiding over the HOPE calendar is responsible for delivering warning hearings to HOPE probationers, setting the sanctions for missed appointments or positive drug tests in Motion's to Modify hearings, and revoking probation. The presiding judge will also communicate key components of the program to the probation officers, attorneys, and court staff on an ongoing basis. Thus, the judge has primary oversight of the program.
Senior administrative staff person for the Judge(s) participating in HOPE	This person is critical to coordinating the HOPE process and paperwork. The senior staff person will facilitate adherence to the program among the court administrative staff and answer questions/provide guidance to the court administrative staff.
Probation Administrators and Probation Officers	A key component of the HOPE program is that the PO/Probationer relationship is not severed by a probation violation. The PO also serves as front-line monitoring of probationer program compliance and ensures the process for swift sanction delivery. The PO will file a Motion to Modify immediately upon a missed appointment or positive drug result.
Court Administrator	The Court Administrators prepare for the warning hearings (often done en masse), motions to modify, and revocation hearings. The court staff will also prepare and file bench warrants (often via fax to the sheriff's office) for missed appointments.
Prosecutor	The prosecutor represents the interest of the State or County in all HOPE proceedings, including warning hearings and probation modification hearings.
Public Defender/Defense Attorneys	The defense attorneys represent the interests of the probationer during the HOPE proceeding. Although HOPE sanctions are immediate (within 72 hours), the brief duration of jail stays and the initial warning hearing explaining the program components tend to preclude frequent appeals from the probationers or their attorneys.
Sheriff and/ or Police	The Sheriff's Office or local Police Department will be responsible for taking offenders into custody who fail drug testing, and also to serve arrest warrants for absconders. Bench warrants should be served immediately for HOPE probationers. In the original HOPE program,

	specific members of the Honolulu Police Department were designated for HOPE warrant service.
Jail Administrator	The jail administrator's responsibility is to detain the probationer prior to probation modification hearings and ensure transport of the HOPE probationers under the expedited hearing schedule.
Research Coordinator	The Research Coordinator provides coordination for all aspects of the DFE implementation, including human subjects, informed consent, randomization, process evaluation, and design compliance.

Key Elements of the HOPE Model

- The HOPE judge should be in charge of the program and lead the implementation process. The judge's knowledge and leadership is necessary to ensure the implementation and management of HOPE. The judge will also be responsible for answering any questions or concerns regarding HOPE, quickly addressing emergent issues, and promoting and encouraging collaboration with the key HOPE Team members. Regular meetings to discuss HOPE (e.g., monthly) with the judge, probation administrators, research coordinator, and all other key team members are very helpful for identifying and addressing problems and concerns. These meetings can cover the administration of the warning hearings, the implementation of the key elements, compliance of the different actors with the new procedures, the time it takes for warrants to be issued and served, the drug testing procedures, data/statistics on the number of probationers who entered HOPE during the last month, updates from the Research Coordinator, etc. Official summaries of these monthly HOPE meetings should be created and shared with all key team members and their organizations, including court staff. This will help promote the understanding and integration of HOPE.
- It is critical to hold a brief warning/notification hearing by the judge, with defense counsel present, at the start of HOPE Probation for each offender. These hearings are usually held at the same time for a group of probationers, so they can all hear the message at the same time. At this hearing, the judge must clearly communicate program expectations and consequences and to encourage compliance and success. Judges will be expected to follow the Warning hearing "script" developed by Judge Alm. A copy of Judge Alm's script is available at: www.ojp.usdoj.gov/nij/topics/corrections/community/drug-offenders/229023-appendix-2-example-warning-hearing.pdf.
- HOPE relies on routine, randomized, effective, and timely drug testing (with a confirmation process when positive results are disputed). A drug testing hotline is a good way to ensure that every supervised offender is aware he or she is subject to testing every weekday, with the number of tests varying from a maximum of six per month to a minimum of once per month. The frequency of the randomized testing is gradually reduced for offenders who consistently report for testing and have negative results. Drug testing will be coordinated and conducted by the probation officers. All urine tests must be observed.
- Positive drug tests and/or admissions to drug and/or alcohol use should result in an immediate, on-the-spot arrest by the probation officer. Non-appearance for a drug test or a probation appointment should result in the immediate issuance of a bench warrant. The probation officer will complete a Motion to Modify Probation form and submit this form to the judge, who will issue the bench warrant. Probationers should be encouraged to turn themselves in, which will demonstrate personal responsibility and save law enforcement resources.

- Violation/noncompliance hearings should be held swiftly (within 2 business days of the arrest date is ideal; jurisdictions should plan to hold at least three-quarters (75 percent) of the hearings within 72 hours). High bail should be set, and offenders should be held in custody pending the hearing.
- A central tenet of HOPE is that a brief—but virtually certain—jail sentence will be the consequence for every probation violation or other noncompliance. In most cases, the initial sanction should be for a few days, with subsequent violations resulting in similar or longer sentences. Exceptions should only be made for rare and compelling reasons (e.g., documented hospitalization excusing a missed probation appointment).
- Expedited warrant service is needed to ensure absconders are apprehended as quickly as possible.
- Committed resources and funding for a continuum of care (e.g., outpatient and residential substance abuse treatment) must be available for offenders who request treatment and/or repeatedly fail conditions.

Target Population

- **Probationers who are considered high-risk** for failing probation through continued drug use, missed appointments, or reoffending, using information from risk assessment results, criminal histories, and past behavior while on probation.
- Men and women are eligible.
- Adults over 18 years old.

Risk Assessments

Sites selected to participate in this DFE must currently use a recently validated or historically valid risk assessment instrument. In the program narrative, sites will need to indicate which risk assessment instrument they are currently using and explain how and when this instrument was validated. It is also expected that this risk assessment instrument will also be used as part of the process to select the high-risk probationers who are eligible for this project. Applicants should demonstrate in the program narrative that their site meets this criterion.

Expectations and Important Information for HOPE DFE Sites

HOPE Judges

The judge needs to clearly articulate and apply sanctions in a manner that is certain, swift, and consistent for every infraction. Everything in HOPE needs to happen quickly and consistently. Offenders need to be certain that sanctions will be delivered in a timely manner.

As mentioned earlier, offenders who violate the terms of probation should be immediately arrested and brought before the HOPE judge. When a violation is detected, the probation officer should complete a Motion to Modify Probation form and fax this form to the judge. The hearing on the Motion to Modify must be held promptly (within 72 hours), with the probationer confined in the interim.

Warning Hearings

Considered to be the most significant program characteristic, the initial warning in open court is when the judge impresses on each probationer—in a clear and deliberate manner—the

importance of compliance, the certainty of consequences for noncompliance, the importance of personal responsibility for success, and the desire of the court for the probationer to succeed. Warning hearings are frequently done as a group.

Data Collection and Tracking of Offender Information and Services

The DFE sites must have information and data collection systems in place. The data systems must be able to track and report client demographic and service data across programs and services. Examples of the types of information and data that should be collected and tracked include:

- Comprehensive criminal-record data
- Risk assessment scores
- Probationer-supervision episodes
- Drug-test results
- Offenses committed
- Motions, and
- Other probationer interactions with the criminal justice system

Case Management System

HOPE DFE sites must have a case management system that chronicles the contacts and activities of the probationer, including the number of probation violations, and time served.

The HOPE Hotline and Color Coding System

Each HOPE DFE site will be required to establish a HOPE Hotline and Color Coding system. Each HOPE probationer will be assigned a color code at the warning hearing. The probationer will be required to call the HOPE hotline each morning. The probationer must appear at the probation office before 2 p.m. that day for a drug test if his or her color has been selected.

Urine Tests for Substance Use

It is critical that HOPE DFE sites have a robust, rapid-drug-screening capacity onsite. This will allow for immediate results and the ability to take “positive” probationers into custody on the spot. All urine tests **must be observed** so DFE sites will need both male and female testers. A protocol must also be developed for samples to be sent out to a lab to confirm the results when contested.

Urine tests will occur, according to the color code system, if the probationer misses an appointment, or if the probationer is noncompliant. If the probationer’s urine test is “positive,” but the probationer denies using drugs or alcohol and insists that the results are a “false positive,” the probationer should be taken into custody and brought to the HOPE Judge as soon as possible (if possible, within 2 hours).⁴ The judge should indicate to the offender that it is their understanding that there was a positive drug screen by him/her, and that the judge understands that he/she is contesting the results. The judge should inform the offender that if they promise to return for the next hearing, the judge will have them released immediately and let the offender know that the urine sample will be sent to the lab. The judge should set a hearing one week from that day, at 8:30 a.m., to review the drug test results once they have arrived. During this time, the offender should continue to follow all their probation conditions (drug testing hotline, PO appointments, treatment, etc.).

⁴ The probationer’s defense attorney should be present.

Probation Violations under HOPE

Probationers who test positive for drug use, who fail to appear for probation appointments, or are noncompliant will be brought before the judge. All missed appointments result in a bench warrant. All positive drug tests result in the offender being taken into custody. When a violation is detected, the probation officer must complete a Motion to Modify Probation form for immediate filing with the judge. The hearing on the Motion to Modify should be held promptly (within 72 hours, if possible), with the probationer confined in the interim. A probationer found to have violated the terms of probation should immediately be sentenced to a short jail stay. Credit should be given for time served. The probationer should resume participation in HOPE and report to his/her probation officer on the day of release. Unlike a probation revocation, a modification order does not sever the probation relationship.

As mentioned earlier, a probationer may request a treatment referral at any time. However, at the discretion of the judge, probationers with multiple violations can be mandated to intensive substance abuse treatment services (typically residential care). The court should continue to supervise the probationer throughout the treatment experience, and consistently sanction noncompliance (positive drug tests and no-shows for treatment or probation appointments).

Issuing Warrants to Probationers

The Court should coordinate with the local law enforcement agency responsible for issuing warrants and assure that warrants are served to probationers as soon as possible after the warrants are issued. DFE sites must develop a process that has warrants served within 72 hours after they are issued.

It is very important for probationers to understand that a warrant will be issued and served swiftly after a violation has occurred. The judge should encourage the probationer to turn themselves in after a violation. This will demonstrate the personal responsibility of the probationer and save law enforcement resources.

Drug Testing and Drug Treatment

- During their first 2 months in HOPE, probationers will be randomly tested at least once a week.
- Drug treatment will be mandated for those who repeatedly fail to comply under monitoring and the threat of sanctions.
- Drug treatment is considered an alternative to probation revocation.
- The court continues to supervise the probationer throughout the treatment experience
- Once a HOPE probationer is mandated to treatment, his/her success in abstaining from illicit drug use—not merely compliance with the order to appear for treatment—is a necessary condition for his/her avoiding a prison term.

Sanctions Used in Hawaii

In Hawaii, Judge Alm uses “low” intensity sanctions. For example, offenders are sentenced to very-brief jail stays (typically only a few days in jail) for each violation of the terms of probation. Continued violations result in lengthier sentences. Probationers appear before a judge when a violation is detected. According to Judge Alm, it has been the short time in jail, delivered swiftly and certainly, that has helped offenders tie together the offense with the consequence in Hawaii HOPE..

Relationship between Judiciary and Probation Administration

DFE sites will need to ensure that they:

- Are able to modify conditions of probation (not just probation revocations when offenders violate) in order to maintain the probation relationship.
- Use valid, reliable assessment tools in deciding program eligibility.
- Can streamline the workload demands of imposing a sanction. This can be achieved through using standardized violation-reporting forms.
- Create official summaries of the monthly HOPE meetings. The summaries should be shared with all key HOPE Team members and their organizations, including court staff. This will help promote the understanding and acceptance of HOPE.

HOPE Hearings

The HOPE hearings are intended to be brief, no more than 7-10 minutes on average. In Hawaii the average Motion-to-Modify (MTM) hearing was 7.21 minutes. The average Warning Hearing lasted 9.55 minutes. Per offender, the average court time for a warning hearing was 3.51 minutes (Hawken & Kleiman, 2009).

BJA Training and Technical Assistance

All key members of the HOPE Team will be required to receive HOPE program and caseload training.

BJA will also coordinate and provide DFE sites with intensive training and technical assistance to help implement and maintain the HOPE model throughout the study period.

Onsite Project Coordinator

Each DFE site must hire an onsite Project Coordinator to manage the day-to-day operations of the HOPE DFE. This person should work closely with the key HOPE Team members, the onsite Research Coordinator, the evaluation team, and with BJA to ensure that: (a) the necessary data and information are available and collected, and (b) the HOPE DFE model is implemented with fidelity.

Coordination with the Research Coordinator and Evaluation Team

Each DFE site will be expected to work closely and cooperate with members of the evaluation team. The evaluation team is part of the DFE management “team” that will track site progress and identify problems in design and implementation. The evaluation team’s function will be to ensure program model fidelity, and to help each site plan and implement the demonstration field experiment model. During planning and implementation, the evaluation team will help ensure that each site adheres to the DFE model and the critical elements.

Site Visits by the Office of Justice Programs (OJP)

In June and July 2011, during the final site-selection phase, agencies may be required to host a 1-2 day site visit from OJP or its contractors. The following components will be subject to review:

- The risk assessment scoring and placement process.
- Data collection and tracking systems.
- Analysis of probationer case-management, including probationer sanctions.
- Administrative time spent on case processing.
- An example of how each of the key elements will be implemented and operate.
- An example of how each key team member and their organizations will be involved.
- Drug treatment opportunities.

The host site visit teams must consist of all key personnel that are proposed to be involved in the DFE. Applicants are required to cooperate in providing any requested documentation related to the review listed above.

Letters of Support must be included with the application from:

- Chief Justice
- Judge or Judges that will be assigned HOPE probationers
- Probation Supervisor
- Court Administrator
- Elected District Attorney for the jurisdiction (or equivalent)
- Chief Public Defender for the jurisdiction (or equivalent)
- Chief of Police or Sheriff (or both, if necessary)
- Jail Administrator
- Lead union official, for HOPE Teams that are unionized

Letters of support must indicate that each key team member has read the solicitation and understands what will be expected. Letters of support should also state that each key team member is willing to work with Project Coordinator, the Research Coordinator, and the evaluation team to ensure the successful implementation of the HOPE model.

Incentives for participating and complying with the HOPE model:

Probationers

Reduced Frequency Drug Testing—One of the incentives following a period of perfect compliance is a change in color code corresponding to a reduction in testing frequency. From the initial frequency of at least six times per month, a compliant HOPE client may receive only one test per month. In Hawaii, when probation officers informed some probationers that their testing frequency was being reduced as a reward, the probationers requested that it remain the same because they feared that less-frequent testing would increase their risk of testing positive.

Participating Sites

DFE sites will be able to install an onsite robust, rapid-drug-screening process. DFE sites will also have an opportunity to receive additional training for judges, probation officers, court personnel, and other staff at the end of the study. In addition, participating sites will have the opportunity to test the effectiveness of a probation model that is intended to enhance outcomes and be at the forefront of practice in community corrections.

Award Amounts and Length of Awards

Up to four sites will be awarded funding under this solicitation. Applicants may request up to \$850,000 in funding for a period of 24 months with a start date of October 1, 2011.

DFE sites will be given up to 180 days to start the HOPE program, in order to allow team members to become acclimated to the process before the evaluation starts.

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

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General (AAG) for OJP. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request that the applicant adjust and resubmit its budget.

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

Match Request (cash or in-kind):

To facilitate the sustainment of this program, BJA is requesting that funds awarded under this program not cover more than 75 percent of the total costs of the HOPE DFE program. The applicant should identify the source of the 25 percent non-federal portion of the total HOPE DFE project costs and how match funds will be used. (Match is restricted to the same uses of funds as allowed for the BJA federal funds.) Applicants may satisfy this match requirement with either cash or in-kind services. The applicant must denote which budget line items are funded with match versus the grant funds. 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: 75%/25% match requirement: for a federal award amount of \$350,000, match would be calculated as follows:

$$\frac{\$350,000}{75\%} = \$466,667 \quad 25\% \times \$466,667 = \$116,667 \text{ match}$$

For more information, please see the OJP Financial Guide section on Matching or Cost Sharing at: www.ojp.usdoj.gov/financialguide/part3/part3chap3.htm.

Performance Measures

To assist in fulfilling the Department’s responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
<p>Promote successful probation outcomes through the use of certain, swift, and consistent sanctions for every probation infraction</p>	<p>Number of meetings held with key HOPE team members.</p> <p>Number of warning/notification hearings held.</p> <p>Percent of violation/noncompliance hearings held within three days of a HOPE probationer’s violation.</p> <p>Percent of urinalysis samples of HOPE participants that tested positive for the presence of drugs</p> <p>Percent of HOPE participants who violated probation</p> <p>Number of motions-to-modify that were issued.</p> <p>Number of bench warrants served to HOPE participants.</p> <p>Percent of HOPE participants who were placed into outpatient substance abuse treatment.</p> <p>Percent of HOPE participants</p>	<p><u>During this reporting period:</u> Number of meetings held with key HOPE team members.</p> <p>Number of warning/notification hearings held.</p> <p>Total number of violation/noncompliance hearings held.</p> <p>Number of violation/noncompliance hearings held within three days of a HOPE probationer’s violation.</p> <p>Number of HOPE-related onsite supervised urinalysis drug tests that were administered.</p> <p>Number of urinalysis samples sent off-site for drug testing.</p> <p>Number of urinalysis samples that tested positive for the presence of drugs</p> <p>Number of HOPE participants who violated probation.</p> <p>Number of HOPE participants</p> <p>Number of motions-to-modify that were issued.</p> <p>Number of bench warrants served to HOPE participants.</p> <p>Number of HOPE participants who were placed into outpatient substance abuse treatment.</p> <p>Number of HOPE participants who</p>

	<p>who were placed into residential substance abuse treatment.</p> <p>Percent of HOPE participants sanctioned to a brief jail stay as a consequence of a probation violation or other noncompliance.</p> <p>Percent of HOPE participants rewarded with a less frequent drug testing classification.</p>	<p>were placed into residential substance abuse treatment.</p> <p>Number of HOPE participants sanctioned to a brief jail stay as a consequence of a probation violation or other noncompliance.</p> <p>Number of HOPE participants rewarded with a less frequent drug testing classification.</p>
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Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section “What an Application Should Include” (below) for additional information.

Note on collection of supplemental performance data and evaluations: Applicants should be aware that, if an application proposes to use federal funds to collect supplemental performance data beyond that required for OJP’s performance measures, or proposes to conduct a project evaluation, these activities may constitute “research” for purposes of applicable DOJ human subjects protections. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” (28 C.F.R. § 46.102(d)). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” web page (www.ojp.usdoj.gov/funding/other_requirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that web page.

Notice of New Post-Award Reporting Requirements

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

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

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **1-800-518-4726**, 24 hours a day, seven days a week, except Federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps.

1. **Acquire a DUNS Number.** A DUNS number is required for Grants.gov registration. The Office of Management and Budget requires that all businesses and non-profit applicants for Federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and sub-recipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 1-866-705-5711 or by applying online at www.dnb.com. A DUNS number is usually received within 1-2 business days.
2. **Acquire or Renew Registration with the Central Contractor Registration (CCR) Database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must update or renew their CCR registration **at least once per year** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov Username and Password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire Authorization for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log in to Grants.gov to confirm the

applicant organization's AOR. Please note that there can be more than one AOR for the organization.

5. **Search for the Funding Opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) numbers for this solicitation is 16.812 , titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2011-3014.
6. **Submit an Application Consistent with this Solicitation by Following the Directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

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

Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact the BJA Justice Information Center at JIC@telesishq.com **within 24 hours after the deadline** and request approval to submit its application. At that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues the applicant reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues the applicant reported cannot be validated, the application will be rejected as untimely.

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

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

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application and, should a decision

nevertheless be made to make an award, may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation or that do not include a program narrative, budget detail worksheet, a budget narrative, and letters of support will not proceed to peer review and will not receive further consideration.

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

1. Application for Federal Assistance (SF-424A)

The SF-424A is a standard form required for use as a cover sheet for submission of pre-applications, applications and related information. Please see www.grants.gov/assets/DraftInstructionsSF424%20A_DOL.pdf for instructions on how to complete the SF-424. When selecting "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable) in the "Type of Applicant 1" data field. For-profit applicants also may select additional applicable categories (e.g., "Private Institution of Higher Education").

Please make sure that the spelling for all entries is correct and the award amount and match are both included and consistent with the budget and budget narrative.

Please make sure that the authorized representative is correct and correct contact information is provided. The authorized representative must have the authority to enter the state, county, municipality, or other eligible unit of local government into a legal contract with the federal government. This person is typically a county commissioner, mayor, city manager, or other similarly designated official.

2. Program Abstract

Applicants should provide an abstract that clearly identifies the following:

- Scope of the proposed project.
- Amount of federal funds requested—include cash and match.
- Agencies that are collaborating as part of this effort.
- Description of the data and research capacity issues in your jurisdiction, organization, or agency.
- Goals and objectives for the project.
- How the strategies or programs proposed meet the goals and objectives.
- Deliverables proposed.

The abstract should follow the format provided above and be double-spaced, using a standard 12-point font (Times New Roman is preferred) with not less than 1-inch margins, and should not exceed 1 page.

3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria 1-4 in the order given. Emphasis must be placed on meeting the requirements of the solicitation as described in the HOPE DFE—Specific Information section.

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with not less than 1-inch margins, and should not exceed 25 pages. Please number pages “1 of 25,” “2 of 25,” etc.

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

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

- a. Description of Probation in your Jurisdiction
- b. Project Design, Implementation, and Fidelity
- c. Capabilities and Competencies
- d. Using Data to Enhance Programming and Plan for Collecting the Data Required for this Solicitation’s Performance Measures
Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to the Bureau of Justice Assistance as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample budget detail worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included. The budget should clearly show the breakdown for all costs.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

b. Budget Narrative

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

Applicants are expected to submit a reasonable budget based on the ability of the site to implement and maintain the HOPE DFE model. Allowable expenses include:

- The development, implementation, and maintenance of a HOPE color code hotline.
- The development of a robust, onsite, rapid drug-screening process.
- An onsite Project Coordinator to manage the day-to-day operations of this DFE.
- The development of a data system or database to collect HOPE DFE-related data and information.

- Costs for onsite urine analysis testing.
- Costs for offsite urine analysis testing.
- Overtime to serve bench warrants.
- Additional BJA-approved contracted jail space for HOPE probationers, if needed.
- Outpatient and residential treatment for HOPE probationers, when needed.
- Travel costs for each of the HOPE Team members to attend BJA-approved HOPE trainings and project meetings: one trip to Hawaii; three trips to Washington, DC; and one peer-to-peer meeting.
- Other BJA-approved HOPE project costs.

5. Indirect Cost Rate Agreement (if applicable)

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

www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm.

6. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

7. Additional Attachments: Detailed Project Timeline and Task Plan, Memoranda /Letters of Support, Job Descriptions, and Resumes

Attach a Project Timeline and Task Plan with each project goal, related objective, activity, expected completion date, and responsible person or organization; Letters of Support; Memoranda of Understanding, if applicable; Job Descriptions that outline the roles, responsibilities, and qualifications for all key positions; and Resumes for staff identified for these positions, if known.

8. Other Standard Forms

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

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

Selection Criteria

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

1. Description of Probation in your Jurisdiction (15 percent of 100)

- Describe the components of the probation process in your jurisdiction.
- From January 2010 to the present, describe your probation population (include males and females):
 - Total number
 - Demographics
 - Gender
 - Offense type
 - Number who have missed appointments while on probation
 - Number who have tested positive for substances while on probation
 - Number who have been considered noncompliant while on probation
 - Number who have had probation revoked
 - The average period of time that it takes for a violation of probation hearing to be scheduled after the alleged violation occurs
- Describe any issues or challenges that exist with your current probation process.
- Describe the average offender caseload for the probation officers in your jurisdiction.
- Describe the training that individuals identified as key HOPE Team members (p. 8) receive that relates to the probation process, interacting with probationers, and providing swift, certain, and consistent sanctions.
- Describe any regular training that probation officers receive in Motivational Interviewing (MI). Please include details about how many probation officers have received this training; the last time the training was held; how the jurisdiction assessed the effectiveness of the training; and how the jurisdiction assesses the effectiveness of the POs use of MI with probationers.
- Describe any regular training that probation officers receive in Cognitive Behavioral Therapy (CBT). Please include details about how many probation officers have received this training; the last time this training was held; how the jurisdiction assessed the

effectiveness of this training; and how the jurisdiction assesses the effectiveness of the PO's use of CBT with probationers.

2. Project Design, Implementation, and Fidelity (35 percent of 100)

- Demonstrate that your jurisdiction understands and is willing to implement the HOPE model, as described in this solicitation and further determined by OJP and its technical assistance providers.
- Demonstrate that each of the following key HOPE Team members will make a long-term commitment, and agree to the new, quicker procedures:
 - Chief Justice
 - One main HOPE Judge, with a back-up HOPE Judge
 - Senior administrative staff person for the Judge(s) participating in HOPE
 - Court Administrator
 - Probation Administrators and Officers
 - Elected District Attorney for the jurisdiction (or equivalent)
 - Chief Public Defender for the jurisdiction (or equivalent)
 - Sheriff/Police—to take offenders into custody who fail drug testing and to serve arrest warrants for absconders
 - Jail Administrators
- Describe the roles and responsibilities of the HOPE judge(s) for this program.
- Describe who will be invited to the monthly HOPE meetings. Describe who will receive the HOPE monthly meeting summaries.
- Describe how the most difficult, high-risk probationers in your jurisdiction will be identified and selected for the HOPE program.
- Identify how a judge will be selected to manage the HOPE process and preside over HOPE court proceedings.
- Demonstrate that the HOPE judge understands the importance of the warning/notification hearings and is willing to use Judge Alm's warning hearing script during this hearing.
- Describe how the routine, randomized, effective, and timely drug testing will be conducted by probation officers (and other court staff, if necessary).
- Describe how probation officers and other key HOPE Team members will handle positive drug tests and/or admissions to drug and/or alcohol use.
- Describe how probation officers and other key HOPE Team members will handle a non-appearance for a drug test or a probation appointment.
- Violation/noncompliance hearings should be held swiftly (within 2 business days of the arrest date is ideal; it should be possible to hold three-quarters of the hearings within 3 days). Demonstrate that your jurisdiction can conduct these violation/ noncompliance hearings within 2-3 days.
- Demonstrate that all key HOPE Team members understand the central tenets of HOPE.
- Describe how expedited warrant service will be conducted to ensure absconders are apprehended as quickly as possible.
- Describe how resources and funding for a continuum of care (e.g., outpatient and residential substance abuse treatment) will be provided for HOPE probationers who request treatment and/or fail to achieve and sustain abstinence with monitoring and consequences alone.

3. Capabilities/Competencies (30 percent of 100)

- Demonstrate, with specific examples, how key HOPE Team members have worked to build and enhance collaborative approaches to address a broad range of criminal justice and public safety issues.
- Describe how each role on the HOPE Team will be fulfilled and the commitment of the local jurisdiction to ensuring that these positions remain during the period of the DFE.
- Demonstrate the expertise and experience of the key HOPE Team members in:
 - Program planning.
 - Facilitating program development and delivery.
 - Developing standards and guidelines for program development.
 - Implementing programs, policies, and strategies.
 - Participating in research and evaluation projects, including complying with randomization protocols and program model.
- Describe the management structure and proposed staffing to implement the project for each key HOPE Team members agency/organization.

4. Using Data to Enhance Programming, Plan for Collecting the Data Required for this Solicitation's Performance Measures, and Sustainability (10 percent of 100)

- Describe how data will be collected for DFE-related data.
- Describe if a database or other form of data management system will be developed to store and secure DFE-related data.
- Demonstrate how the data will be used to enhance program implementation and how it could guide replication.
- Describe the methodology that will be used to collect and report performance data, including the criteria to be used, and how the information will be analyzed to assess program performance and reported to inform BJA.
- Discuss how the project will be sustained after the federal funding ends.

5. Budget and Budget Narrative (10 percent of 100)

Provide a proposed detailed budget worksheet and budget narrative that is reasonable, complete, allowable, and cost effective in relation to the proposed activities. Please see section "4b" of "What an Application Should Include", for allowable costs. The budget must support the strategies and approaches outlined in the project design, and include a narrative to describe the expenditures under each cost area and how it will contribute to the overall program goals. The budget and budget narrative should also include any proposed work that will be completed under a subcontract.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. BJA reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation. Peer reviewers will be reviewing the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice

employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, strategic priorities, past performance, the level of cash or in-kind match proposed, and available funding.

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

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

Additional Requirements

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

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements

- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Non-profit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

References

Bureau of Justice Statistics 2006. "Probation and Parole in the United States, 2005." Bureau of Justice Statistics Bulletin. U.S. Department of Justice, Office of Justice Programs. NCJ 215091. bjs.ojp.usdoj.gov/content/pub/pdf/ppus05.pdf

Hawken, A. and Kleiman, M. 2009. *Managing Drug Involved Probationers with Swift and Certain Sanctions: Evaluating Hawaii's HOPE*. Submitted to the United States Department of Justice, National Institute of Justice. NCJ 229023. www.ncjrs.gov/pdffiles1/nij/grants/229023.pdf

Jadad, A. R. and Enkin, M. W. 2007. *Randomized Controlled Trials: Questions, Answers, and Musings*, Second Edition. Blackwell Publishing: Malden, MA.

Resource Links

Hawaii's Opportunity Probation with Enforcement (HOPE): An Implementation Analysis: www.hopeprobation.org/wp-content/uploads/2010/10/HOPE-Probation-final.pdf

Hawai'i State Judiciary's HOPE Probation Program web site: www.hopeprobation.org/

Example of a Warning Hearing: www.ojp.usdoj.gov/nij/topics/corrections/community/drug-offenders/229023-appendix-2-example-warning-hearing.pdf

HOPE: Theoretical Underpinnings and Evaluation Findings: www.crimevictimsunited.org/issues/treatment/hope/hawken090410.pdf

HOPE Benchmarks for Success: www.hopeprobation.org/about/benchmarks-for-success

HOPE Probation: Benchbook:
Will be available shortly at: www.hopeprobation.org/

Application Checklist

The Honest Opportunity Probation with Enforcement (HOPE): Demonstration Field Experiment

The application checklist has been created to assist in developing an application.

Eligibility Requirement

- Applicants are limited to states, units of local government, territories, and federally recognized Indian tribes (as determined by the Secretary of the Interior).
- The federal amount requested is within the allowable limit of \$850,000

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 20)
- Project Abstract (see page 20)
- Program Narrative* (see page 20)
- Budget Detail Worksheet*(see page 21)
- Budget Narrative* (see page 21)
- Indirect Cost Rate Agreement (if applicable) (see page 22)
- Tribal Authorizing Resolution, (if applicable) (see page 22)
- Additional Attachments (see page 22)
 - Detailed Project Timeline and Task Plan
 - Memoranda /Letters of Support*
 - Job Descriptions
 - Resumes
- Other Standard Forms as applicable (see page 22), including:
 - Disclosure of Lobbying Activities (if applicable)
 - Accounting System and Financial Capability Questionnaire (if applicable)

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