

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is pleased to announce that it is seeking applications for funding to support the Second Chance Act Demonstration Field Experiment. This program furthers the Department's commitment to generate new evidence about services and programs that help facilitate the successful reintegration of offenders as they return to their communities.

Second Chance Act Demonstration Field Experiment: Fostering Desistance through Effective Supervision 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). See page 11 for further information about eligibility.

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 July 11, 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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Second Chance Act Demonstration Field Experiment: Fostering Desistance through Effective Supervision (CFDA #16.812)

Overview

As part of a collaborative effort with the National Institute of Justice (NIJ) and the National Institute of Corrections (NIC), BJA seeks proposals to implement and rigorously test important criminal justice interventions and programs as part of a multi-site Demonstration Field Experiment (DFE) on prisoner reentry. The DFE will use a randomized controlled trial program methodology. This multi-site DFE is part of BJA's reentry activities supported with funding under the Second Chance Act of 2007 (SCA) (Pub. L. 110-199). One purpose of the SCA is to generate new evidence about effective solutions for managing the increasing number of people who are released from jail and prison into communities and the subsequent challenges communities face as offenders attempt to reintegrate into society.

For information, read the [Second Chance Act of 2007](#).

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 is 11:59 p.m. eastern time on July 11, 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 July 11, 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.

SCA DFE—Specific Information

Background

At year end 2008, there were 1.6 million prisoners under federal or state correctional authority (Bureau of Justice Statistics (BJS), 2009). About 735,000 offenders were released from prison during the same year. A prior BJS study reported that 52 percent of offenders released from state prisons were re-incarcerated—either for a new crime or a technical violation—within 3 years of release from prison. The most recent data available from BJS indicate that in 2006, expenditures on corrections were estimated to be \$68.7 billion.

The Second Chance Act of 2007: Community Safety Through Recidivism Prevention is federal legislation designed to ensure the safe and successful return of prisoners to the community. The SCA has several goals, including "to encourage the development and support of, and to expand the availability of, evidence-based programs that enhance public safety and reduce recidivism, such as substance abuse treatment, alternatives to incarceration, and comprehensive reentry

services” (42 U.S.C. § 17501(a)(3)). In partnership with NIJ and NIC, this BJA solicitation will support the goals of the SCA by implementing and rigorously testing an innovative reentry model in up to four jurisdictions across the United States.

Understanding Demonstration Field Experiments

BJA, NIJ, and NIC are supporting this multi-site DFE in an effort to significantly expand the body of evidence associated with improving the outcomes for offenders re-entering the community. This DFE will combine a multi-site demonstration of a reentry model with rigorous experimental evaluation in an applied setting. This DFE will consist of a randomized controlled trial (RCT), where the costs associated with program implementation will be funded by BJA, the costs associated with the evaluation will be funded by NIJ, and a majority of the training, technical assistance, and coaching will be provided by NIC. An RCT is a study in which people are allocated at random (by chance alone) to receive one of several interventions (Jadad & Enkin, 2007). One of these interventions is the standard of comparison or control. The control may be a standard practice (“business as usual”) or no intervention at all. RCTs seek to measure and compare the outcomes, after the participants receive the interventions. The reentry model to be implemented and tested in this DFE was developed with substantial input and guidance of a scientific review board comprised of carefully selected researchers, evaluators, and practitioners with significant expertise in reentry research and prior evaluations. Additionally, BJA is pleased to be coordinating this initiative with the National Institute of Corrections (NIC) which has a long history of providing expertise and assistance to the field on the interventions included in the DFE model. In FY 2010, NIJ funded the evaluation of this DFE in up to four sites.

Through this grant announcement, this multi-site DFE will provide a rigorous test of a specific model intended to improve offender outcomes when the offender reenters the community. Some of the outcomes of interest include, but are not limited to, re-offending and re-incarceration (recidivism). The DFE approach requires a strong correctional, reentry, and community infrastructure where the evaluation partner and the sites must strictly adhere throughout the project to both the required intervention model and a rigorous evaluation design (using randomized assignment of cases to experimental and control groups).

DFEs are designed to generate new evidence and continue to build a knowledge base. 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. Program site participants will be selected based on their ability and willingness to implement and adhere to the model and their participation in the evaluation as required throughout the project period. There will be intensive monitoring (for example, bi- or weekly conference calls) of the model’s implementation, supplemented by training, periodic “coaching” or refresher training, and technical assistance as needed. The sites may 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 on-site serving as the Research Coordinator. A few of the tasks that the Research Coordinator will be responsible for include recruiting participants, facilitating orientation meetings, overseeing the randomization process, collecting data, placing participants into appropriate groups, and monitoring participant progress. Finally, there will be a rigorous evaluation of the model across all sites, led by the evaluation team. This disciplined approach will provide an assessment of the model’s effectiveness at each site, as well as an understanding of differences in outcomes due to local conditions.

DFE site applicants must agree to comply with the following mandatory requirements throughout the life of the project or they will not be selected for funding. DFE sites will be

selected based upon their commitment to: build knowledge and to implement the specified reentry program model or intervention with fidelity; adhere to all requirements of the RCT, including random assignment of cases to experimental and control conditions; collect and analyze program (participant) data in an automated fashion; have proven experience and a commitment to working collaboratively with research partners; and cooperate fully with the evaluation. 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 show the effectiveness of its program. A corollary benefit will also be to build their capacity to more effectively implement reentry strategies to foster desistance of returning offenders from crime through improved supervision and coordination of services.

For additional information on DFEs, visit the following NIJ web page:
www.ojp.usdoj.gov/nij/funding/2010/demonstration-field-experiment.pdf

The SCA DFE Model: “Fostering Desistance through Effective Supervision”

In order to generate new knowledge about effective solutions for working with offenders in the community and to enhance practice – this DFE will be focused on examining the community-based components of a comprehensive reentry strategy. This DFE will also examine how post-release interactions, programs, services, and activities impact of parolees. While DFE sites must have a comprehensive pre-release and post-release reentry initiative already established, the results from this DFE are expected to enhance the knowledge base for working with post-release offenders in the community. This DFE model will present a desistance based framework to improve the cognitive and behavioral capabilities of offenders during the period of parole. Each component of the desistance model serves to integrate parole/supervised release and community-based services in a collaborative framework that works in tandem to address criminogenic needs. The goals are to: (1) improve the offender’s motivation to change; (2) address cognitive and behavioral functioning regarding crime-prone thoughts and behaviors; and (3) address core criminogenic needs that affect offender performance while on parole. The model also works on building the infrastructure of the reentry process and community-based services to deliver collaborative and seamless services. The collaborative intervention is designated for offenders that are moderate to high risk offenders, based on the results of a validated risk assessment instrument.

The purpose of this DFE model is to examine the unique contributions of currently regarded “best practices” for supporting crime-free behavior as offenders who are at risk for reoffending transition into the community. To address individual-level concerns, the model includes a multi-phased intervention targeting motivation to change (Motivational Enhancement Therapy (MET)) and other core criminogenic needs (i.e., pro-criminal thinking styles; Thinking for a Change (T4C)). To address systemic concerns, the model includes transitional/coordinated services expected to augment support services within the community environment (housing, employment, education enhancement, etc). Finally, parole officers will use a desistance-based, integrated case management and supervision framework¹ while supervising offenders to enhance outcomes.

¹ Developed by the National Institute of Corrections (NIC).

The key “system” participants in the model include:

1. Parole officers²;
2. Parolee participants³; and
3. Community-based service providers.

The key elements of this DFE model include:

1. NIC’s Integrated Case Management and Supervision Model (ICMS) and Crime Desistance training curriculum and interaction techniques for parole officers;
2. Coordinated services to address criminogenic needs that create problem behaviors for offenders; and
3. Cognitive behavioral therapy consisting of 4 MET) sessions followed by 25 T4C sessions.

How the Model is Designed:

Parole officers will be randomly assigned to one of two groups. One group (**Group PO1**) will receive desistance-based ICMS training and Coordinated Services training. The expectation is that the interaction between the parole officer and parolee will change after the officer has received the aforementioned training. The second group of parole officers (**Group PO2**) will not receive this training and will conduct “business as usual.”

Parolee participants will be randomly assigned into one of three groups. The first group (**Group RE1**) will be supervised by Group PO1 and be required to complete MET sessions and the T4C curriculum. The MET and T4C components will be administered by the selected community-based service provider(s). Group RE1 will also receive assistance from Group PO1 to receive the appropriate “enhanced” coordinated community-based services. Enhanced services will be based on the needs of the offender as identified through risk/needs assessment processes.

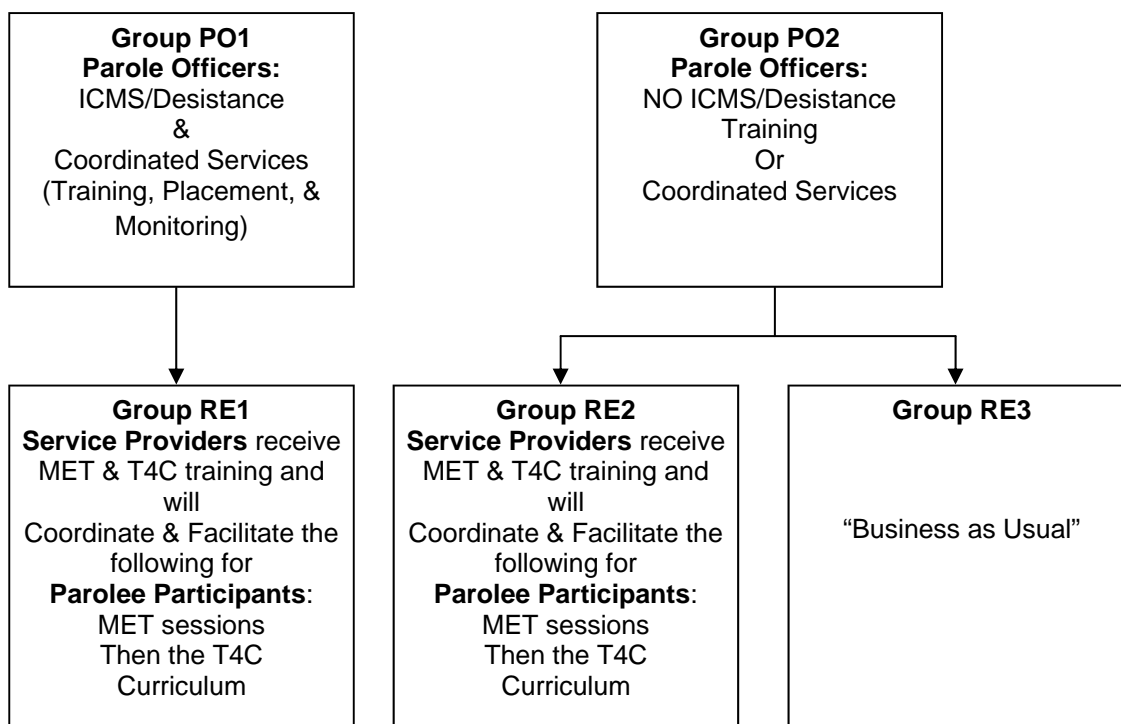
The second parolee participant group (**Group RE2**) will be supervised by Group PO2 and be required to complete MET sessions and the T4C curriculum. The MET and T4C components will be administered by the selected community-based service provider(s). This group will not receive community-based services, but rather “business as usual” services.

Finally, the third parolee participant group (**Group RE3**), will be the baseline group. They will be supervised by Group PO2 and will receive “business as usual” services. The MET and T4C components are not included for this group. Please see the model diagram below for a more detailed explanation of each part of this DFE model.

² For those jurisdictions who do not have parole, this also includes community supervision officers that are working with offenders who have been released from prison.

³ For those jurisdictions who do not have parole, this also includes offenders who have been released from prison who are on community supervision.

**DFE Model:
Fostering Desistance through Effective Supervision**



Integrated Case Management and Supervision (ICMS)

According to the National Institute of Corrections (2010), the ICMS approach uses a common framework and language to monitor progress and update the outcomes during offender incarceration, transition to release, and community supervision. This approach includes the custody, control, and supervision of offenders as important tools. This approach also includes the following key strategies:

- Using empirically based and validated assessments of risk and need.
- Focusing on effective interventions that reduce risk among higher risk offenders during incarceration, the release phase, and after release into the community.
- Using methods to enhance offenders’ motivation and to equip them with basic tools to complete a stable transition to the community.
- Using strategies to target resources that enhance community safety.
- Acknowledging that all offenders are not the same.

The DFE will adopt the ICMS components focused on managing post-release offenders in the community. For more information on NIC’s ICMS approach, please visit:

nicic.gov/Downloads/PDF/Library/024393.pdf

Desistance from Crime

Based on Maruna’s trans-theoretical model (2000) and Laub’s and Sampson’s (2001) review of the literature, desistance stems from a variety of complex processes—developmental, psychological, and sociological—and thus there are several factors associated with it. Some of

the key elements associated with desistance are: aging; a good marriage; securing legal, stable work; and deciding to “go straight,” including a reorientation of the costs and benefits of crime. A desistance framework is expected to enhance the skills of offenders to improve their decision making, and to use the available and needed services to support a crime-free lifestyle.

The SCA DFE model consists of an intensive cognitive behavioral therapy designed to address motivational, behavioral, and cognitive needs of offenders. Intensive training on the model will be needed to enhance the ability of staff—parole officers and service providers—to work in unison using the same conceptual framework. The seamless system is designed to assist the offender in achieving desistance.

The desistance framework, underscoring this model, emphasizes that parole officers and service providers should work together to assume a facilitative role in assisting the offenders. The main goal is to address the cognitive thinking styles that are hypothesized to initiate, enhance and sustain crime-free behavior. Parole officers will be trained in the desistance framework as a technique to engage and work with offenders during the period of supervised release. The desistance training will include brief case study examples to illustrate concepts, questionnaires to assess learning, and conversational topics designed to aid individuals in initiating conversations that will address important thinking styles.

Desistance training views risk as inevitable. Parole officers and service providers will work with offenders to learn to manage this risk and improve decision-making. The crime desistance training will focus on change elements and protective factors to improve the ability to manage life situations (Maruna & Lebel, 2010; Serin & Lloyd, 2009; Taxman, 2008).

Developing a Seamless System to Respond to Offender’s Needs through Coordinated Services
Parole officers in Group PO1 will receive coordinated services training that will focus on using risk assessment scores related to recidivism and re-offending to help them place participants in the appropriate community-level services. This training will work to establish and/or enhance closer collaboration with community agencies than would typically be available (i.e., more than “the usual services”). This training will also demonstrate the importance of connecting offenders to community services, enhance motivation for adopting an attentive strategy to tackle offenders’ reentry needs, set a framework for accomplishing this with fidelity, and emphasize the importance of conducting follow-up with each case.

It is likely that the coordinated services will vary across sites. It is expected that coordinated services would consist, at a minimum, of mental health treatment, employment assistance, housing assistance, substance misuse and abuse treatment, social support, and education enhancement. **Participating DFE sites must identify and select community-based service providers that have experience serving the offender population and that agree to work within the framework of the DFE and its limitations.**

As part of the overall emphasis on building a system to address recidivism reduction, parole officers and service providers will receive training in risk assessment, service matching, and crime desistance modules. This training will work to establish collaboration among community agencies and provide enhanced services for Group RE1 (i.e., more than “the usual services” for parolees). Each parole office will be asked to designate one parole officer to work with service providers to ensure a consistent framework for acquiring services for offenders. Enhanced coordinated services would require the parole office to:

1. Familiarize themselves with the structures of community agencies;
2. Organize meetings between themselves and individuals from community agencies developing lines of communication between the parole officers and individuals with community agencies, and communication among community agencies;
3. Commit to taking the necessary steps to ensure offenders are receiving the appropriate required services offered by community agencies; and
4. Conduct regular follow-up, discussing the case with all involved community agencies, and keeping track of offenders' progress with services.

The goal is to have access to community resources for the purpose of improving offender outcomes. Services should be individualized for each offender based on their risk and needs assessment scores. For example, a participant who has been identified with an employment issue should get assistance for employment. Parole officers in Group PO1 will have a "checklist" of coordinated services they are prepared to offer that will address the participant's needs. Coordinated services should involve a network of communication between agencies available to assist with housing, employment, substance misuse and abuse treatment services, education enhancement, and mental health treatment services, at a minimum. This coordinated and enhanced services condition is mainly concerned with the: (a) level of coordination, (b) communication among the network of agencies and parole officers, (c) intervention or services received by the parolee participant being tied to their risk and needs assessment scores, (d) support for overcoming barriers to the parolee's integration, and (e) follow-up. Provision of services will be completed by community-based service providers, but the enhanced coordination and follow-up should be completed by the parole officers. Thus, all sites need to provide sufficient services for the enhanced condition (covering areas described), but more importantly need to agree to have their parole officers participate in the training for the effective coordination of these services.

Motivational Enhancement Therapy (MET)

Participants designated for Group RE1 and Group RE2 will receive the integrated cognitive behavioral therapy (CBT) that will begin with four MET sessions. MET will be administered by community-service providers. Intervention sessions will consist of:

1. Assessment (to develop problem recognition of criminogenic needs),
2. A decision grid (understanding the advantages & disadvantages of continued criminal behavior) for the purpose of helping offenders to learn about their current behavior,
3. Psycho-educational exercise (to help recognize cognitive distortions acting as barriers to change), and
4. Developing the ability to focus on contemplating a new life-course that does not involve criminal behavior.

For more information on Motivational Enhancement Therapy, please visit:

www.maine.gov/dhhs/osa/cj/adult/dsat.htm.

Thinking for a Change (T4C)

In this model, Group RE1 and Group RE2 participants will begin T4C after completion of the MET sessions. T4C will be administered by community-based service providers selected by the DFE site. T4C is an integrated, cognitive behavior change program for offenders that includes cognitive restructuring, social skills development, and development of problem solving skills.

T4C is designed for delivery to small groups in 25 lessons over 11 - 15 weeks and can be expanded to meet the needs of specific participant groups.

The T4C program is used in prisons, jails, community corrections, probation, and parole supervision settings. Participants include adults and juveniles, males and females. Additional information on T4C can be found at: nicic.gov/t4c.

Parole Officer Participation

Sites will be asked to allow parole officers to volunteer to participate in this study. This group of parole officers will be invited to attend an orientation session that will explain this project and the expectations in more detail. Parole officers will either be assigned to Group PO1 or Group PO2. Both groups of parole officers will be asked to complete certain reporting and assessment requirements during the duration of the study:

- Parole officer **Group PO1** will supervise parolees in **Group RE1**
- Parole officer **Group PO1** will NOT supervise any parolees in **Group RE2** or **Group RE3**
- Parole officer **Group PO2** will supervise parolees in **Group RE2** and **Group RE3**
- Parole officer **Group PO2** will NOT supervise any parolees in **Group RE1**

Case Flow Analysis

Sites will need to conduct a case flow analysis to determine how many offenders, who are considered medium- and high-risk of re-offending⁴, have been released into the designated community since January 2010. This information should be included in the program narrative. The OJP site visit team will also ask about this process when they are onsite. Details on the OJP DFE selection site visits are provided below.

Coordination with the Evaluation Team

Each DFE site will be expected to work closely 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 DFE site plan and implement the demonstration field experiment model. During planning and implementation, the evaluation team will help BJA and NIJ ensure that each site stays true to the DFE model and the critical elements.

BJA and NIC Training and Technical Assistance

BJA and NIC will coordinate and provide DFE sites with intensive training and technical assistance to help implement and maintain each component of the DFE 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 DFE project. This person should work closely with the key 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 DFE model is implemented with fidelity. This coordinator must have access to key local policy makers in order to resolve program or policy issues as they arise and to keep policy makers informed as to program progress.

⁴ Not including sex offenders and offenders with severe mental illness.

Site Visits by OJP

During the final site selection phase, potential DFE sites may be required to host a one-to two-day site visit from OJP staff. The following components will be subject to review:

- The risk assessment scoring and placement process
- The comprehensive reentry process
- What services are available pre-release
- What services are available post-release
- Data collection and tracking systems
- How the case flow analysis was conducted
- Where the two groups of parole officers will be located
- How parolees will flow through the model process

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

Eligibility for SCA DFE Sites:

Comprehensive Reentry Initiative

Sites selected to participate in this DFE will need to have a comprehensive reentry initiative already implemented. In the program narrative, applicants should describe their existing comprehensive reentry initiative for their target jurisdiction(s), including both pre- and post-release reentry services. This should include, but is not limited to: when risk assessments are conducted during pre-incarceration, incarceration, and post-incarceration; how correctional officers (in prison and in the community) use risk assessment information to develop case management plans and determine appropriate programming; the types and dosages of pre-release services offenders receive; the types of post-release services currently being offered in the designated community; and training and services offered to staff and offenders, MET, T4C, and crime desistance. In addition, the applicant must describe how the coordination of their reentry efforts are monitored and assessed at the community and agency/system levels.

Mandatory Requirements of a Comprehensive Reentry Initiative:

Section 101 of the Second Chance Act is very clear in outlining the following mandatory requirements that must be included in an application to be considered a comprehensive reentry initiative.

1. A reentry strategic plan that describes the jurisdiction's long-term reentry strategy, including measurable annual and 5-year performance outcomes, relating to the long-term goals of increasing public safety and reducing recidivism. One goal of the plan shall be a 50 percent reduction in the rate of recidivism over a 5-year period; this goal is statutorily mandated.
2. A detailed reentry implementation schedule and sustainability plan for the program.
3. Documentation reflecting the establishment of a Reentry Task Force comprised of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders. The Task Force should examine ways to pool resources and funding streams and collect data and best practices in offender reentry from stakeholder agencies and organizations. BJA notes that this required task force and the strategic planning requirement above provide a key opportunity for local

policymakers to work together to identify and address local barriers to effective reentry, including barriers that are policy or procedural in nature.

4. Discussion of the role of local governmental agencies, nonprofit organizations, and community stakeholders that will be coordinated by, and that will collaborate on, the offender reentry strategy of the applicant, and certification of the involvement of such agencies and organizations. Participants in the creation of the reentry strategy should include representatives from the fields of public safety, corrections, housing, health, education, substance abuse, children and families, victims' services, employment, and business.
5. Extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing, child welfare, education, substance abuse, victims services, and employment services, and with local law enforcement agencies.
6. An extensive discussion of the role of state corrections departments, community corrections agencies, and local jail corrections systems in ensuring successful reentry of offenders into their communities. Applications must include letters of support from corrections officials responsible for facilities or offenders to be served through this project (see "What an Application Should Include," on page 20).
7. Documentation that reflects explicit support of the chief executive officer of the applicant state, unit of local government, territory, or Indian tribe and how this office will remain informed and connected to the activities of the project.
8. A plan for the analysis of the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of offenders into the community. (Note: this may be integrated into the strategic planning requirement and guided by the local task force discussed above).

Selecting Community-Based Service Providers

DFE sites must partner with community-based organizations that are located in or close to their designated community. The select service providers must have experience working with the parolee population and must agree to work within the framework of the DFE and its limitations and requirements. Service providers will be responsible for:

- Administering MET intervention sessions to multiple cohorts of parolee participants.
- Administering the T4C curriculum to multiple cohorts of participants.
- Providing enhanced coordinated reentry services.
- Providing data and information on offenders served as required by the DFE.

Each DFE site will need to determine how many community-based service providers they will need to partner with to provide the required components of the model for multiple cohorts of parolee participants. It is expected that these service providers will enter into a formal working relationship, through a Memorandum of Understanding or Inter-Agency agreement, with the parole office for this DFE.

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, applicants will need to indicate which risk assessment instrument they are currently using, how information obtained from the

risk assessment instrument is used, and how and when this instrument was validated. It is also expected that information gathered from the risk assessment instrument will be used to select the medium- and high-risk offenders eligible for this project as well as by the parole officers in Group PO1 to coordinate services.

Population of Interest

Parolees who are returning to the community or offenders released from prison that are on community supervision will be recruited to participate in this study. This model will only focus on offenders who are assessed as **moderate- to high-risk for re-offending**. Offenders considered low- and very high-risk for re-offending will not be included in this experiment. Sex offenders and offenders with serious mental illness will also not be included in this model. Offender populations must be either ALL male or ALL female. Female reentry is an important and understudied issue. BJA strongly encourages agencies that exclusively serve medium to high-risk female offenders to consider applying to become a DFE site.

Sites must be able to assign a total of at least 1,500 parolees to the DFE during the study period.

Data Collection and Tracking of Offender Information and Services

The DFE study sites will be required to work with the evaluators and collect data to monitor services received. These data will be used in the evaluation study and in a subsequent cost-benefit analysis of the DFE model. Potential participant-level data that sites must agree to collect and provide as required include:

- Risk assessment scores
- Pre-release services
- Post-release services
- Recidivism
- Reincarceration
- Substance abuse treatment
- Mental health treatment
- Technical violations
- Job training
- Employment/wage records
- Residence location or changes in residence

Incentives

Participants

To encourage initial and ongoing participation, gift cards or other types of incentives may be provided to the participants by the evaluation team (however, BJA funding should not be used for participant incentives). Interested agencies should let BJA know, in writing, if providing this incentive violates any agency policy.

Additional Training

DFE sites will have an opportunity to receive corrections-based training and technical assistance for additional parole officers and other corrections staff at the end of the study.

Award Amounts and Length of Awards

Up to four sites will be awarded funding under this solicitation. Applicants may request up to \$750,000 in funding for a period of 12 months with a start date of October 1, 2011. Applicants

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are expected to submit a reasonable budget, with breakdown of costs, based on the ability of the site to implement and maintain the DFE model. Applicants must commit to implementing the program by no later than April 1, 2012. Supplemental funding for the second and third years of this project will be available to those sites that implement the SCA DFE model with fidelity.

Allowable expenses include:

- An onsite project coordinator to manage the day-to-day operations of this DFE.
- Partnering with community-based service organizations to provide enhanced services for Group RE1 and Group RE2.
- Partnering with community-based service organizations to coordinate and administer MET and T4C sessions for Group RE1 and Group RE2.
- The development or enhancement of a data system or database to collect SCA DFE-related client and program-level data and information and facilitate sharing with the evaluator.
- Travel costs for Key Team members to attend BJA-approved SCA DFE trainings and project meetings (three trips to Washington, D.C. and one peer-to-peer meeting).
- Data collection assistance (e.g., staff) and/or local research partner
- Other BJA-approved SCA DFE project costs.

Technical assistance and training related to this DFE model will be supported and coordinated by BJA and NIC.

Participating sites will be given up to 180 days to fully implement the DFE model, in order to allow team members and their organizations to become acclimated to the model before the evaluation starts.

Selected sites that at any point cannot or will not meet the requirements of the DFE as determined by BJA may be removed from the project and funding may be deobligated.

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 submit a letter of request, signed by the Authorized Representative, with a detailed justification for the waiver. The letter of request should be submitted with the application as a separate attachment and clearly labeled: "Waiver Request: Compensation."

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 letter must explain why the waiver is necessary and must 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 Requirement:

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

Match Waiver:

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

Note: Once incorporated in to the approved budget, the match becomes mandatory and subject to audit. This becomes mandatory even if the match amount stated by the applicant exceeds the match requirement of the solicitation.

The formula for calculating match is:

$$\frac{\text{Award amount}}{\text{Federal Share}} = \text{Adjusted Project Costs}$$

$$\text{Recipient's share} \times \text{Adjusted Project Cost} = \text{required match}$$

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

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

Note: Once incorporated into the approved budget, match becomes mandatory and subject to audit, even if the match amount offered by the applicant exceeds the match requirement of the solicitation.

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>To implement the specified reentry program with fidelity, including random assignment of cases to experimental and control conditions.</p>	<p>Percentage of parole officers assigned to the SCA DFE who received assigned training.</p> <p>Number of new parole officers randomly assigned to the SCA DFE.</p> <p>Percentage of parolees assigned to the SCA DFE who received the assigned supervision conditions.</p>	<p><u>For this reporting period:</u> Number of parole officers (PO) assigned to the Second Chance Act Demonstration Field Experiment (SCA DFE) (and by randomly assigned SCA DFE group).</p> <p>Number of POs who received the ICMS/Desistance training (and by randomly assigned SCA DFE group).</p> <p>Number of POs who received the Coordinated Services training (and by randomly assigned SCA DFE group).</p> <p>Number of new POs assigned to the SCA DFE (and by randomly assigned SCA DFE group).</p> <p>Number of parolees assigned to the SCA DFE (and by randomly assigned SCA DFE group).</p> <p>Number of parolees that enrolled in MET (and by randomly assigned SCA DFE group).</p> <p>Number of parolees that completed MET (and by randomly assigned SCA DFE group).</p> <p>Number of parolees that enrolled in T4C (and by randomly assigned SCA DFE group).</p>

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 Web site (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](http://www.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. Individuals are exempt from this requirement.

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) number for this solicitation is 16.812, titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2011-3057.
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 Ed Banks at Edward.Banks@usdoj.gov **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, and a budget narrative 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

In no more than one page, double-spaced, using a standard 12-point font (Times New Roman is preferred) with not less than 1-inch margins, describe the critical elements of your proposal:

- Legal name of applicant organization.
- Title of the project.
- Scope of the proposed project, including the population of interest consistent with page 13.
- Amount of federal funds requested; include cash and any match.
- Agencies that are collaborating as part of this effort, including all community-based partners and parole.
- Description of the data and research capacity issues in your jurisdiction, organization, or agency, including those outlined on page 11
- Goals and objectives for the project.
- Target population/number of participants (if applicable)
- How the strategies or programs proposed meet the goals and objectives, including a short description of how project is based upon an existing comprehensive reentry strategy.
- Identification of Risk Assessment tool being used.
- Deliverables proposed.

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 Specific Information section (page 3).

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 the Comprehensive Reentry Process in Your Jurisdiction
- b. Project Design, Implementation, and Fidelity
- c. Capabilities and Competencies
- d. Using Data to Enhance Programming and Data Collection for Performance Measurement
Submission of performance measures data is not required for the application.
Performance measures are included as an alert that successful applicants will be

required to submit specific data to BJA as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

4. Budget Detail Worksheet and Budget Narrative

Applicants must submit a budget detail worksheet and budget narrative outlining how grant funds will be used to support and implement the program.

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 applicants should utilize the following approved budget categories to label the requested expenditures: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Consultants/Contracts, and an Other category. This document should clearly demonstrate a full breakdown of costs and show all calculations/computations for each category.

The budget must indicate how the 75 percent federal funds and the 25 percent match will be allocated in the overall budget. Match funds must be clearly identified in the budget showing all calculations/computations.

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.

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.

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at minimum, the applicant should submit an unsigned, draft tribal resolution as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the signed tribal resolution.

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

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

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

8. Other Standard Forms

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

1. Description of the Comprehensive Reentry Process in Your Jurisdiction (20 percent of 100)

- Describe the components of the comprehensive reentry process, including your five-year strategic plan and Reentry Task Force, in your jurisdiction.
- Describe the state, local, and community-based service providers involved in your jurisdiction's current reentry initiative.
- From January 2010 to present, please provide monthly data for your parolee population that has returned to your target jurisdiction (for either males or females, based on the population that would participate in this DFE):
 - Total number
 - Demographics
 - Offense type
 - Number of parolees released into the target jurisdiction that were assessed as low, medium, and high-risk for re-offending.
- Describe the reentry services that current parolees receive and how they are selected to receive particular services.
- Describe your current system for recording and tracking parolee case management data including risk assessment scores, programming received, service provider referrals, services received from community-based organizations, etc. Is this an automated system? If so, which automated system is your jurisdiction using?
- Describe any issues or challenges that exist with your current reentry process.
- Describe any issues or challenges that exist with your current parole process.
- Describe how parole officers will be recruited to participate in this DFE.
- Describe the average offender caseload for the parole officers in your target jurisdiction.
- Describe any bargaining agreements that are in place that may interfere with the DFE, including parole officer participation.

2. Project Design, Implementation, and Fidelity (30 percent of 100)

- Demonstrate that your jurisdiction understands and is willing to implement the SCA DFE model, as described in this solicitation.
- Describe the process that will permit parole officers to volunteer to participate in this DFE.
- Demonstrate that each parole officer and community-based service provider will make a long-term commitment to this DFE process.
- Describe the roles and responsibilities of the parole officers assigned to Group PO1 for this program.
- Describe the roles and responsibilities of the community-based service providers that will deliver "enhanced" services.
- Describe the roles and responsibilities of the community-based service providers that will be responsible for coordinating and delivering MET and T4C.
- Describe how community-based service providers will be selected to participate in this DFE. Also describe how their service delivery and curriculum delivery will be monitored and assessed.
- Demonstrate that all key team members understand the central tenets of this SCA DFE.

- Describe the risk assessment instrument that your jurisdiction is currently using.
- Describe how and when this risk assessment instrument was validated and normed for your jurisdiction.
- Describe how risk assessment scores are used to determine appropriate services for parolees.
- Demonstrate how risk assessment scores are used to determine which parolees are low, medium, and high-risk for re-offending.

3. **Capabilities and Competencies (30 percent of 100)**

- Describe the training that parole officers in the target jurisdiction receive as part of standard operating procedure.
- Demonstrate how parole officers in the target area have worked to build and enhance collaborative approaches to address and improve offender outcomes.
- Demonstrate the expertise and experience of the key SCA DFE 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 SCA DFE project.
- Demonstrate that parole officers in the target jurisdiction have experience working with community-based service providers to improve offender outcomes.
- Demonstrate that community-based service providers in your target jurisdiction have experience providing services and delivering cognitive behavioral therapy sessions to parolees.

4. **Using Data to Enhance Programming and Data Collection for Performance Measurement (10 percent of 100)**

- 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 could be sustained after the federal funding ends.

1. **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. 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

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Maruna, S. (2001). *Making Good: How Ex-Convicts Reform and Rebuild Their Lives*. Washington, DC: American Psychological Association Books.

National Institute of Corrections (NIC). (2010). *TPC Case Management Handbook: An Integrated Case Management Approach*. NIC Accession Number: 024393.

Serin, R. C. & Lloyd, C. D. (2009). Examining the process of offender change: The transition to crime desistance. *Psychology, Crime, & Law*, 15:347-364.

Application Checklist
FY 2011 Second Chance Act Demonstration Field Experiment: Fostering
Desistance through Effective Supervision

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

Eligibility Requirement:

_____ The federal amount requested is within the allowable limit of \$1.5 million

What a Successful Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 20)
- _____ Abstract (see page 21)
- _____ Program Narrative* (see page 21)
- _____ Budget Detail Worksheet* (see page 22)
- _____ Budget Narrative* (see page 22)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 22)
- _____ Tribal Authorizing Resolution, (if applicable) (see page 22)
- _____ Additional Attachments (see page 23)
 - _____ Project Timeline
 - _____ Position Descriptions
 - _____ Strategic Plans
 - _____ Letters of Support
 - _____ Resumes
- _____ Other Standard Forms as applicable (see page 23), 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.