

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 2012 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 12 for additional information about eligibility.

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

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 19.) All applications are due by 11:59 p.m. eastern time on February 23, 2012. (See "Deadlines: Registration and Application," page 6.)

Contact Information

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

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.

Grants.gov number assigned to announcement: BJA-2012-3115

Release date: November 28, 2011

CONTENTS

Executive Summary	4
Overview	6
Deadlines: Registration and Application	6
Eligibility	6
Applicant Webinar	7
SCA DFE—Specific Information	7
Performance Measures	17
Notice of Post-Award FFATA Reporting Requirement	19
How To Apply	19
What an Application Should Include	21
Information to Complete the Application for Federal Assistance (SF-424)	
Program Abstract	
Program Narrative	
Budget Detail Worksheet and Budget Narrative	
Indirect Cost Rate Agreement (if applicable)	
Tribal Authorizing Resolution (if applicable)	
Additional Attachments	
Other Standard Forms	
Selection Criteria	25
Review Process	27
Additional Requirements	28
Provide Feedback to OJP on This Solicitation	29
Application Checklist	30
Appendix 1	31
Appendix 2	33
References	37

Executive Summary

This Demonstration Field Experiment (DFE) will address an offender's motivation to change as well as criminal thinking, two areas that we need more scientific information. Specifically, this DFE will focus on techniques to improve offender's motivation to change and strategies to alter criminal thinking using a desistance approach. It will answer critical questions about the impact of providing criminal thinking to alter offender outcomes. This multi-site DFE will also provide a rigorous test of a specific reentry model intended to improve offender outcomes post-release. Some of the outcomes of interest include, but are not limited to, re-offending and re-incarceration (recidivism).

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.

DFE site applicants must agree to comply with the mandatory requirements of the study, which include delivering treatment services, conducting the experiment, and allowing staff to be trained and coached. All will occur throughout the duration of the project.

DFE sites will be selected based upon their commitment to: build knowledge and implement the specified reentry program model or intervention with fidelity; adhere to all requirements of the randomized controlled trial (RCT), including random assignment of cases to experimental and control conditions; collect and analyze program (participant) data in an automated fashion; demonstrate 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 to the participating sites will 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.

The key "system" participants in the model include:

1. Parole officers (POs), for those jurisdictions who do not have parole, this also includes community supervision officers who are working with offenders after release from prison;
2. Parolee participants; for those jurisdictions who do not have parole, this also includes offenders who have been released from prison who are on community supervision; and
3. Community-based service providers such as mental health, substance abuse, and other treatment services.

The key elements of this DFE model include:

1. The National Institute of Corrections' (NIC) 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 (Motivational Enhancement Therapy) sessions followed by 25 T4C (Thinking for Change) sessions.

Parole Officer/Community Supervision Officer training will include:

- Integrated case management and supervision for front-line POs in a 2-day classroom training with a blended curriculum;
- A 1-day classroom training with a blended curriculum for selected POs who will serve as peer coaches/champions; and
- A ½-day e-course on the desistance model that parole officers and service providers can use.

The training will include familiarization with the concepts of evidence-based correctional practice, such as the Stages of Change Model, cognitive restructuring, behavioral models, and training in structured skill building and graduated practice.

Service Provider Training

Service providers will receive training in: (1) MET, and (2) delivering NIC's Thinking for a Change cognitive behavior program. Service providers will also receive an e-course on crime desistance and its application in managing offenders in the community.

The training and support for **service providers** at each site will include:

- A 2-day classroom course on how to use MET;
- A 4-day classroom facilitator training on NIC's Thinking for a Change. NIC has recently revised the T4C training (see <http://nicic.gov/T4C> for full information); and
- A ½-day e-course on crime desistance.

Service provider organizations and staff will also receive program integrity evaluation and feedback/coaching on a regular or as needed basis throughout the project.

The training and support for POs and service providers at each site will be driven by the readiness and needs of the agency and will include:

- Skills building for POs in: relationships, coaching, problem-solving, and motivational interviewing;
- Role clarification and the use of authority; and
- Using reinforcement and disapproval effectively.
- Developing the agency's capacity in effective case management and parole desistance
- Integrating T4C into standard parole practice.

Over the 30-month implementation period, sites must be able to assign at least 500 parolees to the DFE sample.

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

Overview

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

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 tested intervention will address motivation to change as well as criminal thinking, two areas that we need more scientific information. In addition, parole officers and service providers will work collaboratively to improve delivery of the DFE intervention. The DFE will use a randomized controlled trial research method. This multi-site DFE is part of BJA's reentry activities supported with funding under the SCA. One purpose of the SCA is to generate new evidence about effective solutions for reducing recidivism among the increasing number of people who are released from jail and prison to communities as well as the subsequent challenges communities face as offenders reintegrate into society.

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

Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on February 23, 2012. Please see the "How to Apply" section, page 10 for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on February 23, 2012, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see "Contact Information" on the title page for more information about BJA's Justice Information Center).

Eligibility

Refer to the 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 SCA DFE Applicant webinars. Participation in these webinars is highly encouraged. This series of SCA DFE webinars will provide:

- (a) An overview of the SCA DFE model.
- (b) A description of the training for the parole officers and community service providers.
- (c) A description of the motivational enhancement-criminal thinking interventions
- (d) A detailed explanation of a site's requirements to be involved in a Randomized Control Trial, a process evaluation, and an impact evaluation.
- (e) Answers to any questions and concerns about the intervention or the study.

For more information about the SCA DFE Applicant webinar, visit the SCA DFE web page at www.ojp.usdoj.gov/funding/scadfe.htm or contact the BJA Justice Information Center at 1-877-927-5657 or via e-mail to JIC@telesishq.com.

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). Approximately, 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 parole 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. In particular, this DFE focuses on techniques to improve offender's motivation to change and strategies to alter criminal thinking using a desistance approach. It will answer critical questions about the impact of providing criminal thinking to alter offender outcomes. 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). BJA will fund and assume costs for the program implementation. The costs associated with the evaluation will be funded by NIJ, and the training, technical assistance, and coaching will be coordinated by NIC. An RCT is a study in which individuals are allocated at random (by chance alone) to

receive one of several interventions (Jadad & Enkin, 2007). One of the interventions is the agency's current practice or standard practice ("business as usual") or no intervention at all. RCTs seek to measure and compare the outcomes, after the participants receive the interventions.

Through this grant announcement, this multi-site DFE will provide a rigorous test of a specific reentry model intended to improve offender outcomes post-release. Some of the outcomes of interest include, but are not limited to, re-offending and re-incarceration (recidivism). The DFE approach serves to build 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 this DFE, an existing program model with some accumulated evidence of effectiveness will be tested in multiple jurisdictions. 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. To support the demonstration sites, 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 will also 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, but aren't limited to, recruiting participants, facilitating orientation meetings, overseeing the randomization process, collecting data, placing participants into appropriate treatment or control 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 of the study, which includes delivering treatment services, conducting the experiment, and allowing staff to be trained and coached. All will occur throughout the duration of the project. 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; demonstrate 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 to the participating sites will 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.

The reentry model to be implemented and tested in this DFE was developed with substantial input and guidance from a scientific review board comprised of researchers, evaluators, and practitioners with significant expertise in reentry research. BJA is pleased to be coordinating this initiative with NIC, which has a long history of providing expertise and assistance to the field on the interventions included in the DFE model, and NIJ, which will fund the evaluation.

For additional information on this project, visit the SCA DFE web page at: www.ojp.usdoj.gov/funding/scadfe.htm.

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 focus 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 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 functioning 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.

The key "system" participants in the model include:

1. Parole officers, for those jurisdictions that do not have parole, this also includes community supervision officers who are working with offenders after release from prison;
2. Parolee participants, for those jurisdictions that do not have parole, this also includes offenders who have been released from prison who are on community supervision; and
3. Community-based service providers such as mental health, substance abuse, and other treatment services.

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 (Motivational Enhancement Therapy) sessions followed by 25 T4C (Thinking for Change) sessions.

¹ Developed by NIC.

Review **Appendix 1** (page 31) to learn more about the design of the SCA DFE model.

Training for the SCA DFE Model

Parole Officers²

Parole officers (POs) will receive extensive training from NIC during the study. Building upon crime desistance concepts, the training for POs will be designed to provide a comprehensive approach to managing parolees.³ POs will also receive an e-course on crime desistance and its application in managing offenders in the community. Training will be delivered in a blended format including both classroom and online resources combined with ongoing support and coaching.

The training for POs will also be based on NIC's Effective Core Correctional Practices (ECCP) program. The ECCP training program has been updated for this project and incorporates integrated case management, coordinated services planning, and other elements from NIC's past work in promoting evidence-based practices in corrections. The program combines training, technical support, and coaching to both POs and workplace trainers/coaches in a comprehensive approach to skills building for effective correctional practices. The training will include:

- Integrated case management and supervision for front-line POs in a 2-day classroom training with a blended curriculum;
- A 1-day classroom training with a blended curriculum for selected POs who will serve as peer coaches/champions; and
- A ½-day e-course on the desistance model that parole officers and service providers can use.

The training and support for POs and service providers at each site will be driven by the readiness and needs of the agency and will include:

- Skills building for POs in: relationships, coaching, problem-solving, and motivational interviewing;
- Role clarification and the use of authority; and
- Using reinforcement and disapproval effectively.
- Developing the agency's capacity in effective case management and parole desistance
- Integrating Thinking for Change (T4C) into standard parole practice

The training will include familiarization with the concepts of evidence-based correctional practice, such as the Stages of Change Model, cognitive restructuring, behavioral models, and training in structured skill building and graduated practice.

Community-Based Service Providers

Service providers will receive training in: (1) Motivational Enhancement Therapy (MET), and (2) delivering NIC's Thinking for a Change cognitive behavior program. Service providers will also

² For those jurisdictions who do not have parole, this also includes community supervision officers who 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.

receive an e-course on crime desistance and its application in managing offenders in the community.

The training and support for **service providers** at each site will include:

- A 2-day classroom course on how to use Motivational Enhancement Therapy;
- A 4-day classroom facilitator training on NIC's Thinking for a Change. NIC has recently revised the T4C training (see <http://nicic.gov/T4C> for full information); and
- A ½-day e-course on crime desistance.

Service provider organizations and staff will also receive program integrity evaluation and feedback/coaching on a regular or as needed basis throughout the project.

Site Expectations for the Application to be a DFE Site:

For the application, each site should:

- 1) Explain their risk assessment tools;
- 2) Identify the type of programs and services that are available in the community;
- 3) Explain the type of training that parole officers routinely receive and have received for the past 12 months;
- 4) Describe the type of data available for the evaluation including management information system, case management system, etc.; and
- 5) Describe the partnerships with agencies in the community to provide services. The study expects to have up to four DFE sites.

The application should describe how the site will:

Prepare a Case Flow Analysis

Sites will need to conduct a case flow analysis to determine how many offenders, who are considered medium- and high-risk for re-offending,⁴ have been released into the designated community since January 2010. It would also be useful to have any information on the demographics of the offender population (e.g., gender, age, type of offenses, etc.). This information should be included in the program narrative.

Coordinate with the Evaluation Team

Each DFE site will be expected to work closely with 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 ensure that each site is implementing the DFE model and the critical elements as designed. Assistance will be provided by BJA, NIC, and NIJ.

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.

⁴ The case flow analysis should not include sex offenders and offenders with severe mental illness.

Onsite Project Coordinator

Each DFE site will be required to hire an onsite Project Coordinator to manage the day-to-day operations of the DFE project. This person will work closely with the key team members, the onsite research coordinator and 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.

Eligibility for SCA DFE Sites

Established Reentry Initiative

Sites selected to participate in this DFE are expected to have a reentry initiative already implemented, which means sites should already be assessing offenders and tailoring reentry plans to individual offenders to enable them to become productive and law-abiding. Reentry should begin at the sentencing phase and continue post-release, with a particular focus on the continuity of care from prison to the community. A site's comprehensive reentry initiative can involve a variety of agencies and groups that coordinate efforts to ensure that offenders receive needed services and appropriate levels of supervision.

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, such as 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.

Selecting Community-Based Service Providers

It is likely that the enhanced coordinated services will vary across sites. It is expected that the enhanced 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. DFE sites must partner with community-based organizations that are located in or close to their designated community. The selected 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 Understand or Inter-Agency Agreement, with the parole office for this DFE.

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.

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 from prison 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 (i.e., psychopaths, etc.) 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 study.
- 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.
- Parolees must be under supervision for at least 9 months to complete all of the required MET and T4C training sessions.

Over the 30-month implementation period, sites must be able to assign a total of at least 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 to identify and share 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 should be collecting include:

- Risk assessment scores and/or needs assessment
- 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.

Site Visits by OJP

During the final site selection phase, potential DFE sites may be required to host a 1–2 day site visit from OJP staff or their representatives. The following components will be subject to review:

- a. The risk assessment scoring and placement process
- b. The comprehensive reentry process
- c. Services available pre-release
- d. Services available post-release
- e. Data collection and tracking systems
- f. Description of the case flow analysis
- g. The physical location of the two groups of parole officers
- h. Examples of how parolees will flow through the process

The host site visit teams should consist of all key personnel who 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.

Award Amounts and Length of Awards

BJA anticipates that it will make awards to up to four sites of up to \$1 million each for a 12-month project period, with a start date of August 1, 2012.

Applicants are expected to submit a reasonable budget, with breakdown of costs and all computations for federally approved categories, based on the ability of the site to implement and maintain the DFE model. All costs must be reasonable, allowable and necessary to the project. With the 180 day start-up period, applicants must commit to fully implementing the DFE no later than February 1, 2013. **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. This could include treatment services.

- 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 to assist with any data issues
- 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/oqa/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.

Applicants must submit a waiver request with their application, and it 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.

Minimization of Conference Costs

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

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP web site at www.ojp.usdoj.gov/funding/funding.htm.

Costs Associated with Language Assistance (if applicable)

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

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

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 SCA DFE program. The applicant should identify the source of the 25 percent non-federal portion of the total SCA DFE project costs and how match funds will be used. If a successful applicant's proposed match exceeds the requested match amount, the match amount that is incorporated into its OJP-approved budget is mandatory and subject to audit. (Match is restricted to the same uses of funds as allowed for the BJA federal funds.)

Applicants may satisfy this match request with either cash or in-kind services. The applicant must denote which budget line items are funded with match versus the grant funds. 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 grant.

The formula for calculating match is:

Award amount = Adjusted Project Costs
Federal Share

Recipient's share x Adjusted Project Cost = required match

Example: For a federal award amount of \$1,000,000 match would be calculated as follows:

$\frac{\$1,000,000}{75\%} = \$1,333,333 \times 25\% = \$333,333$ match

For more information, 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 of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, 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
To implement the specified reentry program with fidelity, including random assignment of cases to experimental and control conditions.	<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>For this reporting period:</p> <p>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 who enrolled in MET (and by randomly assigned SCA DFE group).</p> <p>Number of parolees who completed MET (and by randomly assigned SCA DFE group).</p> <p>Number of parolees who enrolled in T4C (and by randomly assigned SCA DFE group).</p>

<p>To support the evaluation of the specified reentry program.</p>	<p>Number of community-based service provider staff who successfully completed the training program.</p> <p>Provide to the evaluation team an electronic data file that is complete, accurate and up-to-date.</p>	<p>group).</p> <p>Number of parolees who completed T4C (and by randomly assigned SCA DFE group).</p> <p>Number of parolees who received a risk/needs assessment (and by randomly assigned SCA DFE group).</p> <p>Number of parolees who received community-based services based upon the results of risk/needs assessment (and by randomly assigned SCA DFE group).</p> <p>Number of community-based service provider staff who enrolled in MET training.</p> <p>Number of community-based service provider staff who completed the MET training.</p> <p>Number of community-based service provider staff who enrolled in the T4C training.</p> <p>Number of community-based service provider staff who completed the T4C training.</p> <p>Provide to the evaluation team an electronic data file of program information at the participant-level that is complete, accurate and up-to-date.</p>
--------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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” on page 21 for additional information.

Note on Project Evaluations

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

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

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at www.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, call the Grants.gov Customer Support Hotline at **800-518-4726** or 606-545-5035, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. 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)

BJA-2012-3115

database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

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 confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. 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-2012-3115.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. The disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Note: Duplicate Applications

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

Experiencing Unforeseen Grants.gov Technical Issues

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

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

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

What an Application Should Include

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

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by BJA to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, and Budget Narrative. The Budget Detail Worksheet and Budget Narrative may be combined in one document. However, if only one document is submitted, it must contain **both** narrative and detail information.

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. Information to Complete the Application for Federal Assistance (SF-424)

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

Ensure 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.

Also ensure 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.

The point of contact cannot be the same as the authorized representative. The point of contact will serve as the primary point of contact and will be responsible for grant management duties such as the submission of reports.

2. Program Abstract

Applicants should provide a program abstract. BJA recommends that the abstract be submitted in a Word document format. The abstract should be 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, and 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.
- Goals and objectives for the project.
- Target population/number of participants (if applicable).
- How the strategies or programs proposed meet the goals and objectives of the SCA DFE, including a short description of how project is based upon an existing comprehensive reentry strategy.
- Identification of risk assessment tool being used.
- Proposed deliverables.

3. Program Narrative

The program narrative must respond to the solicitation and the following 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 (see page 7).

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 such as risk assessment scoring and placement tools, types of services provided pre-release and post-release, nature of the criminal justice and/or service agencies, number of offenders handled since January 2010, prior training of officers, data collection and tracking systems, case flow analyses, location of parole officers, and the current outcomes of paroles (e.g., technical violations, rearrest, reincarceration, etc.).
- c. Capabilities and Competencies
- d. Using Data to Enhance Programming, Plan for Collecting the Data for this Solicitation's Performance Measures, and Sustainment
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. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

5. Indirect Cost Rate Agreement (if applicable)

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

6. Tribal Authorizing Resolution (if applicable)

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

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

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

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

8. Other Standard Forms

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

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

Selection Criteria

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, "Description of the Comprehensive Reentry Process in Your Jurisdiction," is worth 20 percent of the entire score in the application review process.

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

- Describe the components of the comprehensive reentry process 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, provide the following monthly data for the 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.
 - Number of parolees who have:
 - (a) been rearrested,
 - (b) had a technical violation of supervised release,
 - (c) had supervised release revoked,
 - (d) been reconvicted, and/or
 - (e) been returned to prison.
- 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. Indicate whether the system is automated. If so, identify which automated system your jurisdiction is 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 impact the DFE, including parole officer participation and partnerships with service providers.

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 procedures.
- 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 how parole officers in the target jurisdiction have experience working with community-based service providers to improve offender outcomes.
- Demonstrate that the community-based service providers in your target jurisdiction are willing and capable of providing the key SCA DFE services as well as the cognitive behavioral therapy sessions to parolees.

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

- Demonstrate how the data will be used to enhance program implementation and how it could guide replication.
- Describe the methods 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.

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

Provide a proposed detailed budget worksheet and budget narrative that is complete; reasonable and allowable; cost-effective; and necessary for project 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. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, 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
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

Provide Feedback to OJP on This Solicitation

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

Application Checklist
FY 2012 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 million

What a Successful Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 21)
- _____ Abstract (see page 22)
- _____ Program Narrative* (see page 22)
- _____ Budget Detail Worksheet* (see page 23)
- _____ Budget Narrative* (see page 23)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 24)
- _____ Tribal Authorizing Resolution (if applicable) (see page 24)
- _____ Additional Attachments (see page 24)
 - _____ Project Timeline
 - _____ Position Descriptions
 - _____ Strategic Plans
 - _____ Letters of Support
 - _____ Resumes
- _____ Other Standard Forms as applicable (see page 24), including:
 - _____ 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.

Appendix 1: Design of the SCA DFE Model

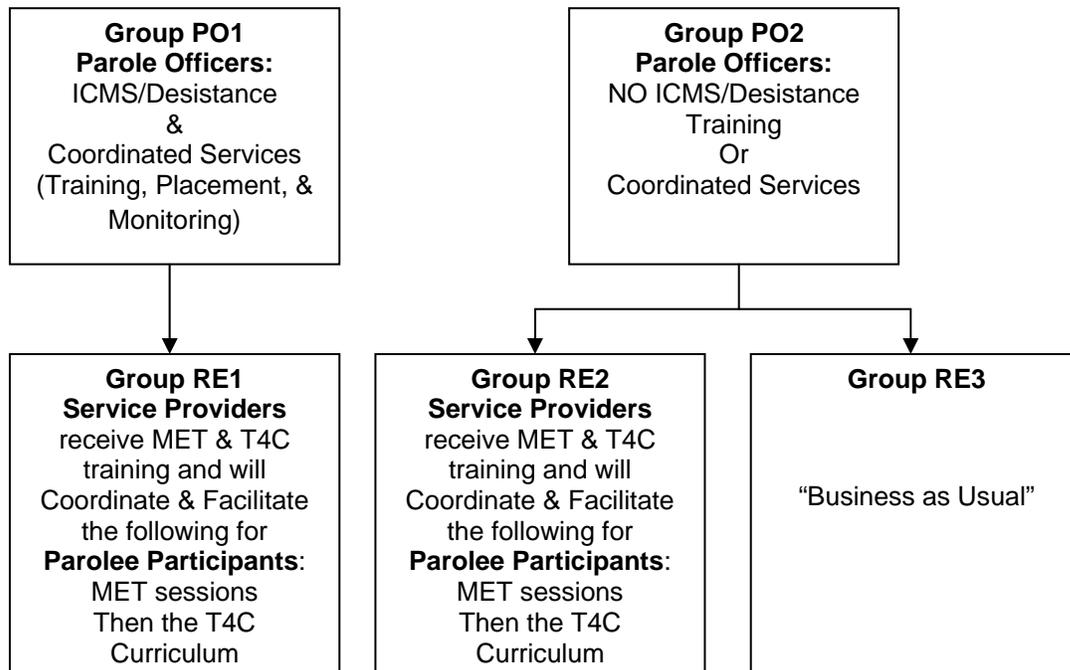
Parole officers will be randomly assigned to one of two groups. One group (**Group PO1**) will receive desistance-based Integrated Case Management and Supervision_(ICMS) training and Coordinated Services training. The expectation is that the interaction between the parole officer and parolee will change 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 (for more information on Coordinated Services please see Appendix 2). 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).

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.

SCA DFE Model: Fostering Desistance through Effective Supervision



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 the DFE 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**

Appendix 2: **Additional Information about Key Components of the SCA DFE Model**

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 provided 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 crime 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.

Crime 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).

Effective Core Correctional Practices (ECCP)

According to the Crime and Justice Institute (2009), the current research on offender rehabilitation and behavioral change is now sufficient to enable corrections to make meaningful inferences regarding what works in the field to reduce recidivism and improve public safety. Based upon previous compilations of research findings and recommendations (Aos et al., 2006; Andrews and Bonta, 2006; Burrell, 2000; Carey, 2002; Currie, 1998; Corbett et al., 2000; Gendreau & Andrews, 2001; McGuire, 2002; Latessa et al., 2002; Sherman et al, 1998; Taxman & Byrne, 2001), there now exists a coherent framework of guiding principles. NIC's training is based on what has been proven to be effective correctional programming to reduce recidivism. In this DFE, NIC will provide parole officers, service providers, and workplace trainers/coaches comprehensive training in correctional practices that pull together evidence-based knowledge and skills in the following areas:

- Relationship Skills
- Coaching Skills

- Role Clarification
- Motivational Interviewing Skills
- Stages of Change Model Training
- Cognitive restructuring
- Behavioral Model Training
- Structured Skill Building and Graduated Practice
- Problem Solving Skills
- Effective Reinforcement
- Disapproval
- Use of Authority

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, visit:

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

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.

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.

Motivational Enhancement Therapy (MET)

Motivational Enhancement Therapy (MET) is an adaptation of Motivational Interviewing (MI) that was developed to use the time between the practitioner and the client more efficiently (CSR, 2011). MET is based on traditional MI; however, MET is better suited for interactions between practitioners and clients that are short in duration. MET is designed to help clients build commitment and change their problem behaviors. MET also incorporates strategies from client-centered counseling, cognitive therapy, systems theory, and the social psychology of persuasion (Miller and Rollnick, 2002). MET incorporates several features all of which are similar to MI:

- It elicits the client's own motivations and reasons for change;
- Direct persuasion is not used as a scare tactic and is avoided;
- Readiness to change is seen as fluctuating; and
- The counseling relationship is empathetic and more like a partnership rather than one with expert and client roles (Miller and Rollnick, 1995).

Participants designated for Group RE1 and Group RE2 will receive 2 phases of cognitive behavioral therapy (CBT). The first phase will be four sessions of MET. The second 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)

This training for facilitators uses a newly revised curriculum for working with groups of offenders. Thinking for a Change is an integrated, cognitive behavior change program for offenders that include cognitive self change, social skills development, and development of problem solving skills. NIC makes T4C offender program materials available plus curriculums for training

program facilitators and train-the-trainer resources. NIC would assist agencies in training staff to facilitate the program.

In this SCA DFE 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 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.

References

- Andrews, D.A., & Dowden, C. (2006). Risk principle of case classification in correctional treatment: A meta-analytic investigation. *International Journal of Offender Therapy and Comparative Criminology*, 50, 88-100.
- Aos, S., Miller, M., & Drake, E. (2006). Evidenced-based adult corrections programs: What works and what does not. *Washington State Institute for Public Policy Bulletin*, January, 1-20.
- Burrell, W.D. (2000). Reinventing probation: Organizational culture and change. *Community Corrections Report* 7:49-64.
- Carey, M. (2002). Social learning, social capital and correctional theories: Seeking an integrated model. Paper presented at International Community Corrections Association conference, November, 2002.
- Corbett, R.P., D.R. Beto, B. Coen, J.J. Dilulio, B.L. Fitzgerald, I. Gregg, N. Helber, G.R. Hinzman, R. Malvestuto, M. Paparozzi, J. Perry, R. Pozzi, and E.E. Rhine. (2000). Transforming Probation Through Leadership: The "Broken Windows" Model. Center for Civic Innovation at the Manhattan Institute, New York. Available at: www.manhattan-institute.org/pdf/broken_windows.pdf.
- Crime and Justice Institute at Community Resources for Justice (2009). Implementing Evidence-Based Policy and Practice in Community Corrections, 2nd ed. Washington, DC: National Institute of Corrections.
- CSR, Incorporated. (2011) *Motivational Interviewing: Research Summary*. Submitted to the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance.
- Currie, E. (1998). *Crime and punishment in America*. New York, NY: Metropolitan Books.
- Gendreau, P., & Andrews, D. A. (2001). *Correctional Program Assessment Inventory—2000 (CPAI-2000)*. Saint John, Canada: University of New Brunswick.
- Jadad, A. R. and Enkin, M. W. (2007). *Randomized Controlled Trials: Questions, Answers, and Musings*, Second Edition. Blackwell Publishing: Maldedn, MA.
- Latessa, E., F. Cullen and Gendreau, P. (2002). Beyond correctional quackery: Professionalism and the possibility of professional treatment. *Federal Probation*, 66(2), 43-49.
- Laub, J. H. and Sampson, R. J. (2001). Understanding Desistance from Crime. *Crime and Justice: A Review of Research*, 28:1-69. NCJ-192542
- Maruna, S. & Lebel, T. (2010). The desistance paradigm in correctional practice: From programs to lives. In F. McNeill, P. Raynor, & C. Trotter (Eds.), *Offender Supervision: New Directions in Theory, Research and Practice*, pp. 69-86: William Publishing.
- Maruna, S. (2001). *Making Good: How Ex-Convicts Reform and Rebuild Their Lives*. Washington, DC: American Psychological Association Books.

McGuire, J. (ed.) (2002) *Offender Rehabilitation and Treatment: Effective Programmes and Policies to Reduce Re-offending*. Chichester, England: John Wiley and Sons.

Miller, W. R., and Rollnick, S. (1995). *What is motivational interviewing?* Behavioral and Cognitive Psychotherapy, 23, 325–334.

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.

Sherman, L.W., D.C. Gottfredson, D.L. Mackenzie, J. Eck, P. Reuter, and S.D. Bushway. 1998). *Preventing Crime: What works, what doesn't, what's promising*. National Institute of Justice.

Taxman, F. and J. Byrne. (2001). Fixing broken windows probation together. *Perspectives Spring*: 23-29. Boulder, Colorado, Center for the Study and Prevention of Violence: 1-20.