



---

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 under the Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders. This program furthers the Department's mission by providing resources to state, local, and tribal governments to establish or enhance the provision of treatment to adult offenders reentering the community.

## **Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders FY 2012 Competitive Grant Announcement**

### **Eligibility**

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

Mandatory Certification Requirements (Statement of Assurance and Service Provider Licensing/Accreditation/Certification Documentation): **All applicants must certify that any treatment program proposed in the application is clinically appropriate and will provide comprehensive treatment. Applicants must also provide official documentation that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local (city and county), and tribal requirements, as appropriate.** See Appendix 2 on page 31 for more information.

**Mandatory Coordination Requirement:** If the applicant is not the Single State Agency (SSA) for Substance Abuse Services, applicants must demonstrate that the proposal has been developed in consultation with the SSA. Applications submitted by federally-recognized tribes must submit a Tribal Authorizing Resolution. See [www.samhsa.gov/Grants/ssadirectory.pdf](http://www.samhsa.gov/Grants/ssadirectory.pdf) for a listing of the SSA entities.

BJA also administers the Residential Substance Abuse Treatment (RSAT) for State Prisoners Program, the Justice and Mental Health Collaboration Program, the Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects, and the Second Chance Act Family-Based Offender Substance Abuse Treatment Program. If the applicant jurisdiction is, or becomes, a recipient of funds under any of these other programs for the purposes of provision of treatment and/or reentry services for incarcerated offenders, the applicant should clearly address how these initiatives will be strategically coordinated to maximize efficiency, effectiveness, sustainability, and avoid duplication of resources.

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](http://Grants.gov) prior to submitting an application. (See “How To Apply,” page 15.) All applications are due by 11:59 p.m. eastern time on April 24, 2012. (See “Deadlines: Registration and Application,” page 5.)

## 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](mailto:support@grants.gov).

**Note:** The [Grants.gov](http://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](mailto: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-2012-3153

**Release date:** February 23, 2012

# CONTENTS

Overview	4
Deadlines: Registration and Application	5
Eligibility	5
Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders—Specific Information	6
Performance Measures	13
Notice of Post-Award FFATA Reporting Requirement	15
How To Apply	15
What an Application Should Include	17
Information to Complete the Application for Federal Assistance (SF-424)	
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	22
Review Process	24
Additional Requirements	24
Provide Feedback to OJP on This Solicitation	25
Application Checklist	27
Appendix 1: Fundamental Principles of Evidence-Based Correctional Practice	28
Appendix 2: Statement of Assurance Form	31
Appendix 3: Pay for Success Criteria	32

# Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders (CFDA #16.812)

## Overview

The Second Chance Act 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.

The Second Chance Act Programs are designed to help communities develop and implement comprehensive and collaborative strategies that address the challenges posed by offender reentry and recidivism reduction. "Reentry" is not a specific program, but rather an evidence-based process that starts when an offender is initially incarcerated and ends when the offender has been successfully reintegrated in his or her community as a law-abiding citizen. The reentry process includes the delivery of a variety of evidence-based program services **for every program participant in both a pre- and post-release setting** designed to ensure that the transition from prison or jail to the community is safe and successful.

## Collaboration with Other Federal Agencies

BJA and the Office of Juvenile Justice and Delinquency Prevention (OJJDP) are collaborating closely on the Second Chance Act implementation. BJA and OJJDP will also continue to collaborate with the National Reentry Resource Center (NRRC) to ensure that both juvenile and adult reentry efforts are supported. For more information on BJA's implementation of the Second Chance Act initiatives and Frequently Asked Questions, visit BJA's Second Chance Act web page at [www.ojp.usdoj.gov/BJA/grant/SecondChance.html](http://www.ojp.usdoj.gov/BJA/grant/SecondChance.html). For more information on Second Chance Act program implementation specifically administered by OJJDP, visit [www.ojjdp.gov/](http://www.ojjdp.gov/).

Established by FY 2009 Second Chance Act appropriations, the NRRC serves as the training and technical assistance (TTA) provider for all Second Chance Act grantees. In addition, the NRRC provides education and TTA to states, tribes, territories, local governments, service providers, nonprofit organizations, and corrections institutions working on reentry. The NRRC is coordinated by the Council of State Governments (CSG) Justice Center, with support from BJA and OJJDP. For more information on the NRRC visit [www.nationalreentryresourcecenter.org](http://www.nationalreentryresourcecenter.org)

## Pay for Success

Pay for Success projects represent a new way to potentially achieve positive outcomes with the criminal justice population at a lower cost to governments. Under a typical Pay for Success model, service providers either directly or through an intermediary organization secure capital to

**BJA-2012-3153**

fund their operations and achieve specified outcomes for a predefined target population. The funding organizations only recoup their investment at such time that the outcomes for the target population have been achieved and that achievement has been verified via an evaluation methodology mutually agreed upon by the government participant and the investors. This model is designed to be a low-cost, low-risk way for governments to achieve outcomes for certain populations. BJA is offering priority consideration for applicants proposing to incorporate a Pay for Success model into their offender reentry program. Under this priority, Second Chance grants may be used (1) to fund operations if a state, local or other organization will pay for outcomes after they are achieved; or (2) to pay for outcomes achieved within the grant period. Note that all standard financial and administrative restrictions will apply (for example, grant funds will be unavailable to promote or fund separate financial instruments such as bonds). For more information, see the Pay for Success Criteria in Appendix 3 and “Paying for Success” at the following web sites:

- [www.whitehouse.gov/omb/factsheet/paying-for-success](http://www.whitehouse.gov/omb/factsheet/paying-for-success)
- [www.whitehouse.gov/blog/2012/01/24/pay-success-new-results-oriented-federal-commitment-underserved-americans](http://www.whitehouse.gov/blog/2012/01/24/pay-success-new-results-oriented-federal-commitment-underserved-americans)
- [payforsuccess.org](http://payforsuccess.org)

## **Deadlines: Registration and Application**

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register with Grants.gov several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on April 24, 2012. See the “How To Apply” section on page 15 for more details. Note that while the deadline for submission is 11:59 p.m. eastern time on April 24, 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.

**NOTE:** BJA is seeking applications to meet the treatment needs of inmates with substance abuse disorders. BJA also administers the RSAT Program which enhances the capability of states, units of local government, and tribes to provide incarcerated inmates with residential substance abuse treatment, incorporate this treatment into reentry planning, and deliver community-based treatment and other broad-based aftercare services. RSAT allocations follow a formula that provides each state and territory with a base amount plus an amount proportional to the ratio that its prison population bears to the total prison population of all states and territories. For information about your state’s latest RSAT allocation and the facilities where RSAT-funded services are already available, contact the State Administering Agency [www.ojp.gov/saa/index.htm](http://www.ojp.gov/saa/index.htm).

## **Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders—Specific Information**

BJA recognizes that a significant number of individuals who are incarcerated and returning to the community have chronic substance abuse and mental health disorders and are in need of treatment in order to successfully complete their supervision, reduce recidivism, and promote public safety. The coordination of substance abuse and mental health treatment with correctional planning can encourage participation in treatment and can help treatment providers incorporate correctional requirements as treatment goals.

The Bureau of Justice Statistics (BJS) has reported over 50 percent of jail and prison inmates were abusing or dependent on drugs in the year before their admission to prison. BJS also has reported that 16 percent of jail and prison inmates were identified as having a mental illness, while other studies have shown that prevalence rates of co-occurring substance abuse and mental health disorders in inmate populations are striking. For example, research has indicated that jail detainees have a 72 percent rate of co-occurring substance use.

Research from the National Institute on Drug Abuse indicates that those who complete prison-based treatment and continue with treatment in the community have the best outcomes. In addition, evidence indicates that medications are an important part of treatment for many drug abusing offenders and should be made available as part of substance abuse treatment when appropriate. Outcomes for substance abusing offenders can be improved by monitoring drug use and by encouraging continued participation in treatment. Ongoing coordination between treatment providers and community corrections is important in addressing the complex needs of these re-entering individuals.

### **Goals and Objectives**

The goal of Section 201 of the Second Chance Act is to provide support to eligible applicants for the development and implementation of comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism. Section 201 of the Second Chance Act authorizes eligible applicants to improve the provision of drug treatment to offenders in prisons, jails, and juvenile facilities; and reduce the use of alcohol and other drugs by long-term substance abusers during the period in which each such long-term substance abuser is in prison, jail, or a juvenile facility, and through the completion of parole or court supervision.

The objectives of this program are to improve outcomes for offenders with co-occurring substance abuse and mental health disorders through the provision of appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk and needs assessment that reflects the risk of recidivism for that offender.

Under this solicitation, BJA is seeking applications to implement or expand offender treatment programs for offenders with co-occurring substance abuse and mental health disorders. These programs should improve the provision of treatment for adult individuals (18 years and over) being treated for co-occurring substance abuse and mental health disorders within prison and jails, and include ***both pre- and post-release programming for every program participant.***

**BJA-2012-3153**

Funds may be used for treating co-occurring substance abuse and mental health disorders in prison and jail programs, providing recovery support services, reentry planning and programming, and post-release treatment and aftercare programming in the community through the completion of parole or court supervision.

Refer to the “Definitions” section on pages 10-11 for more information on “prison-based” programs and “co-occurring disorders.”

### **Fundamental Principles of Evidence-Based Correctional Practice**

The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental principles of evidence-based correctional practice that are widely accepted as strategies to reduce future criminal behavior. Applicants are required to clearly articulate how the following six principles are integrated into their program design:

1. Objectively Assess Criminogenic Risks and Needs
2. Enhance Intrinsic Motivation
3. Target Medium- to High-Risk Offenders
4. Address Offenders’ Greatest Criminogenic Needs
5. Use Cognitive-Behavioral Interventions
6. Determine Dosage and Intensity of Services

Appendix 1 provides additional information about these six principles and what applicants should consider to ensure proposed programs are built on principles of effective practice.

Applicants should consider an “integrated care” approach which incorporates the following program design elements. For more information on the Integrated Care Model refer to “Definitions” on pages 10-11.

### **Program Design Elements**

Applicants must also address the following program design elements in the proposal:

- 1. Use of Actuarial-Based Assessment Instruments for Treatment and Reentry Planning:** Applicants are strongly urged to use screening instruments and assessment processes that are reliable, validated, and normed for their specific target population in order to increase the chances that individuals will be matched with the appropriate type of treatment and reentry services.
- 2. Targeting of Criminogenic Needs that Affect Recidivism:** While offenders reentering the community have a variety of treatment and behavioral needs, which are themselves risk factors for future offending, criminogenic needs are the dynamic risk factors most closely associated with offending behavior. Criminogenic risk and needs factors include history of anti-social behavior; anti-social personality pattern; anti-social cognition; anti-social associates; family and/or marital status; school and/or work; leisure and/or recreation; and

### 3. Provision of Evidence-Based Substance Abuse and Mental Health Treatment

**Services:** Applicants are strongly urged to provide substance abuse and mental health treatment practices and services that have a demonstrated evidence base and that are appropriate for the target population.<sup>1</sup> Applicants should identify the evidence-based practice being proposed for implementation, identify and discuss the evidence that shows that the practice is effective; and discuss the population(s) for which this practice has been shown to be effective and show that it is appropriate for the proposed target population.

Applicants are strongly urged to provide integrated treatment of co-occurring disorders, including a consistent message to program participants about substance use and mental health treatment, and integrated clinical treatment provided by treatment specialists with knowledge of both substance use disorders and serious mental illnesses and an understanding of the complexity of interactions between disorders. Applicants are encouraged to design treatment programs that provide individualized programming that addresses participants' psychosocial problems and skills deficiencies, created through comprehensive assessment and consultation with the treatment participant and provider.

**NOTE: Applicants must indicate how dual diagnosis treatment will begin prior to release (pre-release services) and be continued after participating offenders are released into the community (post-release services).**

Proposed programs should require urinalysis and/or other proven reliable forms of drug and alcohol testing for program participants, including both periodic and random testing, and for former participants while they remain in the custody, or under community supervision, of the state, local, or tribal government.

Prison-based programs must provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit in a facility exclusively for use by participants—from the general correctional population. Offenders included in prison-based programs must be within 6–12 months before scheduled release to the community.

### 4. Pharmacological Drug Treatment Services:

Applicants are encouraged to utilize pharmacological drug treatment services, as appropriate, as part of any drug treatment program offered to offenders in prison or jail.

---

<sup>1</sup> Applicants can also find information on evidence-based practices in the Substance Abuse and Mental Health Services Administration's (SAMHSA) *Guide to Evidence-Based Practices* available at [www.samhsa.gov/ebpwebguide](http://www.samhsa.gov/ebpwebguide). The *Guide* provides a short description and a link to dozens of web sites with relevant evidence-based practices information—either specific interventions or comprehensive reviews of research findings. Note that SAMHSA's *Guide to Evidence-Based Practices* also references the National Registry of Evidence-Based Programs and Practices (NREPP), a searchable database of interventions for the prevention and treatment of mental and substance use disorders. NREPP is intended to serve as a decision support tool, not as an authoritative list of effective interventions. *Being included in NREPP, or in any other resource listed in the Guide, does not mean an intervention is "recommended" or that it has been demonstrated to achieve positive results in all circumstances.* Applicants must document that the selected practice is appropriate for the specific target population and purposes of their project.



- 5. Transition Planning Procedures:** Developing and implementing transition planning procedures to ensure linkages to services and benefits is a critical part of the reentry process. Applicants should consider institutionalizing appropriate information sharing with relevant community corrections and behavioral health partner agencies, assessing insurance and benefit status (including Medicaid, SSI, SSDI, veterans benefits, and other government entitlement programs) and eligibility, and assisting inmates in the insurance/benefits application process.
- 6. Support of a Comprehensive Range of Recovery Support Services:** Applicants are encouraged to make available a comprehensive range of programs, including services that employ the cognitive, behavioral, and social learning techniques of modeling, role playing, reinforcement, resource provision, and cognitive restructuring; educational, literacy, vocational, and job placement services, including supported employment; ongoing evidenced-based substance abuse (including alcohol abuse); and mental health disorder treatment; housing, physical health care services; veteran-specific services as applicable; programs that encourage safe, healthy, and responsible family and parent-child relationships and enhance family reunification, as appropriate; and, mentoring.
- 7. Provision of Sustained Aftercare, Case Planning/Management in the Community:** Applicants are strongly urged to use consistent pre- and post-release case management and supervision that is sustained over a period of at least 6 months from the time of release, or through the completion of parole or court supervision, whichever is shorter, and is especially responsive to the offender's transition from incarceration to the community. Aftercare services must involve coordination between the correctional treatment program, community supervision program, and other social service and rehabilitation programs, such as education and job training, parole supervision, halfway houses, self-help, and peer group programs. Post-release treatment and aftercare must be coordinated, including information sharing, and in-reach allowed for community-based treatment providers.
- 8. Provision of Community Supervision Services which Follow Evidence-Based Practices:** Funds may be used to provide evidence-based community supervision services including the development and supervision of individualized case plans which stem from risk and needs assessments; the use of graduated responses including the employment of structured, swift, and incremental responses to violations; structuring supervision caseloads which reflect the level of risk and needs for the target population; and staff development including training in effective offender management techniques.

Applicants are encouraged to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluation. One resource that applicants may be interested in using is the e-Consortium for University Centers and Researchers for Partnership with Justice Practitioners. The purpose of this e-Consortium is to provide a resource to local, state, federal, and other groups who seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial to the criminal justice community. The e-Consortium can be found online at [www.gmuconsortium.org/](http://www.gmuconsortium.org/).

## Priority Considerations

Priority consideration will be given to applicants that consider the following in the development of their program:

- Target medium- to high-risk offenders, as identified through use of a validated risk and needs assessment instrument, who have been dually diagnosed with serious mental health disorders and drug dependence.
- Target female offenders.
- Focus their program on geographic areas with high rates of offenders returning from prisons or jails.
- Jurisdictions implementing specialized probation services for the target population, as described in the Consensus Project's [\*Improving Responses to People with Mental Illnesses: The Essential Elements of Specialized Probation Initiatives\*](#).
- Jurisdictions proposing to partner with a research organization to conduct a rigorous local evaluation of their strategies (including community corrections supervision approaches) will also receive priority consideration.
- Provide a baseline recidivism rate for the proposed target population including documentation to support the development of the rate.
- Incorporate a "Pay for Success" model into their projects.

## Definitions

- **Recidivism:** The Second Chance Act requires that recidivism be a measure of success in funded programs. For purposes of this solicitation, recidivism is defined as "a return to prison and/or jail with either a new conviction or as the result of a violation of the terms of supervision within 12 months of initial release."
- **Prison-Based Programs:** Prison-based programs are in prison or "behind the walls" programs that must provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit in a facility exclusively for use by participants—from the general correctional population. Offenders included in prison-based programs must be within 6–12 months before scheduled release to the community.
- **Co-occurring Disorders (COD):** Co-occurring disorders refers to co-occurring substance-related and mental health disorders. Clients said to have COD have one or more substance-related disorder as well as one or more mental health disorder. At the *individual level*, COD exist "when at least one disorder of each type can be established independent of the other and is not simply a cluster of symptoms resulting from [a single] disorder."
- **Evidence-Based Programs or Practices (EBP):** OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence (generally obtained through one or more outcome evaluations). Causal evidence documents a relationship between an activity or intervention (including technology) and its intended

BJA-2012-3153

outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

- **Integrated Care:** As defined by the World Health Organization, *integrated care* is a concept bringing together inputs, delivery, management and organization of services related to diagnosis, treatment, care, rehabilitation and health promotion, where integration is a means to improve services in relation to access, quality, user satisfaction and efficiency. In the context of reentry, integrated care models unite and align evidence-based treatment approaches to provide seamless and coordinated pre-release and post-release services that address both criminogenic risk and needs, health needs and general reentry needs.

Typical integrated care programs in reentry unite co-occurring substance abuse/mental health treatment with trauma care and criminogenic risk reduction strategies, where services begin during incarceration and continue in the community following release. As often seen with integrated care reentry programs, co-occurring treatment is administered over a very specific time period institutionally and is simultaneously augmented with both trauma services and criminogenic risk reduction services. As the program participant nears completion of two parallel treatment curricula, they begin enrolling in other transitional services to address general reentry needs, such as employment services, housing assistance, and enrollment into government support services. The entire course of care is typically guided by a case manager who, with the participant, has created an individualized treatment and transition plan with the aid of risk and need assessment tools.

## Amount and Length of Awards

BJA anticipates that it will make awards of up to \$600,000 each for a 24-month project period.

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

**Note: As indicated above, priority consideration will be given to those applications that provide a baseline recidivism rate for the proposed target population, including documentation to support the development of the rate. All grantees will be required to provide a baseline recidivism rate upon award. See the Selection Criteria on page 22, for more information.**

BJA also advises applicants that in FY 2012, BJA is also supporting the Second Chance Act Demonstration Field Experiment: Fostering Desistance through Effective Supervision competitive solicitation, as well as potentially providing limited continuation funding for reentry programs competitively selected in previous years that have demonstrated strong progress. As a result of potentially limited continuation for existing awardees, applicants should expect more rigorous competition for funding through this solicitation.

## **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 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/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 requesting a waiver should include a detailed justification in the budget narrative of its application and submit a letter of request for the waiver with their application. The letter must be signed by the Authorized Representative. Unless the applicant submits a waiver request with sufficient justification, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

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

### **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 obtained. 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 website at [www.ojp.usdoj.gov/funding/funding.htm](http://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](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

**Match Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, the match amount incorporated into the OJP-approved budget becomes mandatory and subject to audit.

**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 done under this solicitation. 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.

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT) located at <https://www.bjaperformancetools.org>. The following measures are examples of some of the core performance measures for the Second Chance Act Co-Occurring Disorders program, but applicants should examine the complete list at: <https://www.bjaperformancetools.org/help/SCACoOccurringQuestionnaireNarrativeQuestions.pdf>.

Objective	Measure	Data Grantee Provides
Increase public safety and reduce recidivism through activities targeted to address criminal behavior impacted by co-occurring substance abuse and mental health disorders.	Percentage of participants who successfully completed the program	<ul style="list-style-type: none"> <li>A. Number of participants enrolled in pre-release services</li> <li>B. Number of participants who completed pre-release services</li> <li>C. Number of participants enrolled in post-release services</li> <li>D. Number of participants who completed post-release services</li> </ul>
	Percentage of unsuccessful program exits	<ul style="list-style-type: none"> <li>A. Number of program participants</li> <li>B. Number of participants no longer in the program due to failure to meet program requirements</li> <li>C. Number of participants no longer in the program due to court or criminal involvement (technical violation, arrest, conviction, revocation, reincarceration)</li> <li>D. Number of participants no longer in the program due to a lack of engagement (no shows and nonresponsive participants)</li> <li>E. Number of participants no longer in the program due to absconding</li> <li>F. Number of participants no longer in the program due</li> </ul>

**BJA-2012-3153**

Objective	Measure	Data Grantee Provides
	Percentage of program incompletes	to relocating or case transfer G. Number of participants no longer in the program due to death or serious illness H. Number of participants who did not complete the program for other reasons (please specify) I. Specify other reasons
	The recidivism rate for program participants	A. Number of program participants B. Number of participants who had a technical violation of supervised release while participating in the program C. Number of participants who were arrested while participating in the program D. Number of participants who were convicted while participating in the program E. Number of participants who had a revocation of the terms of supervised release while participating in the program F. Number of participants who were reincarcerated while participating in the program
	Rate of recidivism for the participants who have successfully completed the program	A. Number of program participants who have successfully completed the program B. Number of participants who had a technical violation of supervised release after successfully completing the program C. Number of participants who were arrested for a new offense after successfully completing the program D. Number of participants who were convicted of a new offense after successfully completing the program E. Number of participants who had a revocation of the terms of supervised release after successfully completing the program F. Number of participants who were reincarcerated for a new offense after successfully completing the program

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. Refer to the section “What an Application Should Include” on page 17 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

**BJA-2012-3153**

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](http://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 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](http://www.fsrs.gov).

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](http://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](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. 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](http://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](http://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. Note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.812, titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2012-3153.
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](http://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 into one document. However, if only one document is submitted, it must contain **both** the narrative and detail information

- Description of both pre- and post-release service delivery for every program participant in the Abstract and the Program Narrative
- Statement of Assurance: Service Provider Licensing/Accreditation/ Certification Documentation

OJP strongly recommends use of appropriately descriptive file names (e.g., "Abstract," "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") 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 the "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable). Make sure that all the information is correct. Check your spelling and pay careful attention to the legal name, award amount, address, and the points of contact.

Select appropriate Point of Contact (POC) and the Authorized Representative. The two contacts should not be the same. 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 POC will serve as the primary point of contact and will be responsible for grant management duties such as a submission of reports. Make sure that the name, contact information, title and solicitation is correct.

Refer to [www.grants.gov/assets/SF424Instructions.pdf](http://www.grants.gov/assets/SF424Instructions.pdf) for more instructions on how to complete the SF-424.

### 2. Abstract

The abstract may be single or double-spaced, but must use a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and **must not** exceed two pages. OJP strongly recommends a submission of abstract in a Word document format. The abstract should include the following clearly-labeled information:

- Name of Applicant (agency/correctional facility), Title of Project, and Amount of Funding Requested.
- Whether the agency/correctional facility is a state, local, or tribal entity.
- Brief description of the target population (e.g., size and make-up of the target population, etc.), the geographic location for the target population, the projected number of offenders to be served, and the jurisdiction's population.
- Brief description of the program design that includes a description of both the pre- **and** post-release treatment services to be provided for every program participant.

- Description on the type of objective assessment instrument(s) used to identify and determine the offender’s criminogenic risks, needs, and intervention treatment.
- Information on the collaborative partnerships with community-based substance abuse service providers to ensure coordinated reentry.
- Briefly explain which, if any, of the Priority Considerations the application has addressed as described on page 10.
- Permission to Share Abstract and Contact Information with Private Funders: It is unlikely that BJA will be able to fund all competitive applications, but may have the opportunity to share unfunded competitive application information with private foundations. Applicants should indicate whether they give BJA permission to share their Abstract and Contact Information for both the Authorized Representative and Point of Contact with potentially interested private foundations. Granting this permission will not affect BJA’s funding recommendations, and if the application is not funded, it will not guarantee that information will be shared, nor does it guarantee funding from any other source.

### 3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria (1-4) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and should not exceed 15 pages. Number pages “1 of 15,” “2 of 15,” 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 must be included as part of the program narrative:

- a. Statement of the Problem
- b. Program Design and Implementation
- c. Capabilities, Competencies, and Coordination
- d. Impact/Outcomes, Evaluations, Sustainment, and Plan for Collecting the Data Required for this Solicitation’s Performance Measures

Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to 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.

- e. Plan for Measuring Program Success to Inform Plan for Sustainment

Further information is available under the Selection Criteria section, located on page 22.

#### 4. Budget Detail Worksheet and Budget Narrative

##### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants should clearly demonstrate a full breakdown of all costs, and show calculations and computations for each budget category. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included (i.e., Personnel, Fringe Benefits, Travel, Equipment, Supplies, Consultants/Contracts, and Other category).

Additional budget requirements:

- Applicants must estimate the costs of travel and accommodations for three staff to attend two meetings, for three days each, in Washington D.C.
- Applicants may propose to use funding to conduct a local evaluation of the strategies being implemented.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://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 (see above). 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](http://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, Letters of Support/Memoranda of Understanding, and Other Supporting Materials**

- a. **Project Timeline** with each project goal, related objective, activity, expected completion date, responsible person, or organization.
- b. **Position Descriptions** for key positions.
- c. **Letters of Support/Memoranda of Understanding** from all key partners, detailing the commitment to work with the applicant to promote the mission of the project.
- d. **Statement of Assurance Form: Mandatory Certification Requirements and Mandatory Coordination Requirement** (see also Appendix 2): Applicants must certify that any treatment program proposed in the application is clinically appropriate, will provide comprehensive treatment, and has been developed in coordination with the SSA for Substance Abuse Services.

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

**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](http://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, "Statement of the Problem," is worth 15 percent of the entire score in the application review process.

### 1. Statement of the Problem (15 percent out of 100)

- Describe the problems with meeting the needs of returning adult offenders with co-occurring substance abuse and mental health disorders to the community.
- Indicate the jurisdiction or tribal community to be served including information about the correctional facilities where programming is proposed to occur.
- Provide information on the target population (i.e., size and make-up of the target population, etc.), the number of offenders with co-occurring substance abuse and mental health disorders within the correctional/detention facility(ies) who are returning to the community, and any recidivism and substance abuse data available for the target population.
- Summarize the basic components of the current process for identifying offender risk/needs, availability of substance abuse and mental health treatment services, reentry planning for these offenders, linkages to community-based treatment providers, and case management.
- Provide justification and support documentation for selecting the target population.
- Provide a baseline recidivism rate for the proposed target population and discuss what level of reduction in recidivism you would consider to be success. If the applicant does not have a baseline recidivism rate for a historical sample of ex-offenders **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for ex-offenders that have been released from a local prison or jail, **such as a facility recidivism rate**. Make sure to include a description of the type of recidivism rate targeted such as arrest, conviction, revocation, and/or reincarceration. Also, provide an explanation of the population (demographics, risk level, offense type) the follow-up period length (post-release), and the dates when the recidivism rate was calculated.

### 2. Program Design and Implementation (35 percent out of 100)

- Describe the proposed program and the project's purpose, goals, and objectives. Applicants should address: 1) the Approved Use of Award Funds, sections on fundamental principles of evidence-based correctional practice, and program design elements (pages 7-9, Appendix 1); and 2) Priority Considerations (page 10).
- Provide operational guidelines for identifying eligible program participants which should include a plan to screen potential participants, conduct risk and needs assessments, and the process for referring individuals to the program.
- Provide a description of both the pre- **and** post-release services to be provided for every program participant.

- Describe the process for linking individuals to treatment and other recovery support services. Applicants should identify the evidence-based treatment and support practices being used or proposed and identify and discuss the evidence that shows that the practice(s) is/are effective. Describe any modifications/adaptations needed to make this practice meet the goals of your project and why the changes will improve the outcomes.<sup>2</sup>
- Describe the mechanisms that will be put in place to ensure the accountability of the service delivery system on an ongoing basis.

### **3. Capabilities, Competencies, and Coordination (25 percent out of 100)**

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.
- Demonstrate the capability of the implementing agency and collaborative partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program. Include position descriptions for key personnel (as an attachment).
- Demonstrate and identify partnership organizations with community-based substance abuse and mental health treatment programs to ensure coordinated reentry efforts within the correctional facility/facilities and ongoing treatment and/or aftercare programming upon offender reentry to the community.
- Indicate whether the applicant jurisdiction is a current recipient of funds from other BJA-administered programs including: the Residential Substance Abuse Treatment (RSAT) for State Prisoners Program, the Justice and Mental Health Collaboration Program, the Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects, and the Second Chance Act Family-Based Offender Substance Abuse Treatment Program. Clearly address how these initiatives will be coordinated if the applicant jurisdiction is, or becomes, a recipient of funds under any of these other programs for the purposes of provision of treatment and/or reentry services for incarcerated offenders, the applicant.

### **4. Impact/Outcomes, Evaluation, and Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures (15 percent out of 100)**

- Describe the current ability to collect and analyze client-level performance and outcome data. In addition, this description should also include the ability to share data with other agencies, such as the department of mental health or other relevant service agencies. Outline how and what data and information will be collected and analyzed to determine the effectiveness of the treatment programs implemented or enhanced and describe how randomized trials will be used where practicable. Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.

---

<sup>2</sup> BJA recognizes that some evidence-based practices may not exist for all populations and/or service settings. Applicants proposing to serve a population with an intervention that has not been formally evaluated with that population are required to provide other forms of evidence that the practice(s) they propose is appropriate for the target population such as unpublished studies, preliminary evaluation results, clinical guidelines, findings from focus groups with community members, etc.

- Discuss how variables like stakeholder support and service coordination will be defined and measured.
- Describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources to sustain the project when the federal grant ends.
- Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery.

## **5. Budget (10 percent of 100)**

- Provide a proposed budget for the entire project period that is complete; reasonable and allowable; cost effective, and necessary for project activities. See the additional budget and budget narrative requirements on page 20.

## **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 review 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 DOJ employee. An internal reviewer is a current DOJ 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, geographic diversity, strategic priorities, past performance, 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 to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet 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 award decisions will be made by the Assistant Attorney General (AAG), who also may 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](http://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](mailto:OJPSolicitationFeedback@usdoj.gov).

## Application Checklist

### FY 2012 Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders

This checklist has been created to assist with developing an application.

#### Eligibility Requirements:

- Applicant agency meets eligibility requirements (see title page)
- The proposed budget is within the allowable limits (up to \$600,000, for a period of 24 months)
- Federally-recognized Indian tribe (if applicable)

#### What an Application Should Include:

- SF-424 Form (see page 18)
- Abstract—Including information on **both pre- and post-release services for every program participant** \* (see page 18)
- Program Narrative—Including information on **both pre- and post-release services for every program participant** \* (see page 19)
- Budget Detail Worksheet\* and Budget Narrative\* (see page 20)
- Disclosure of Lobbying Activities (SF-LLL) (see page 16)
- Indirect Cost Rate Agreement (if applicable) (see page 20)
- Tribal Authorizing Resolution (if applicable) (see page 20)
- Additional Attachments (see page 21)
  - Project Timeline
  - Position Descriptions
  - Letters of Support/Memoranda of Understanding
  - Statement of Assurance Form: Mandatory Certification Requirements and Coordination Requirements
- Other Standard Forms as applicable (see page 21), including:
  - Accounting System and Financial Capability Questionnaire (if applicable)

**\* Note:** 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. See page 17 under “What an Application Should Include” for more information.

## **Appendix 1**

### **Fundamental Principles of Evidence-Based Correctional Practice**

The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental principles of evidence-based correctional practice that are widely accepted as strategies to reduce future criminal behavior.

- 1) Objectively Assess Criminogenic Risks and Needs:** Maintain a comprehensive system to establish risk screening and needs assessment. The actuarial assessment of offenders—in a reliable and valid manner—is essential for the effective supervision and treatment of people returning from prisons, jails, and juvenile facilities (Andrews and Bonta, 1998). The levels of supervision and services for individual offenders must be matched to individual risk and need.
- 2) Enhance Intrinsic Motivation:** Staff must be able to relate to offenders in interpersonally sensitive and constructive ways in order to enhance intrinsic motivation in offenders. Research findings suggest that motivational interviewing or other cognitive-behavioral communication techniques can effectively enhance the offender's desire to initiate and maintain behavior changes (Miller and Rollnick, 2002; Miller and Mount, 2001).
- 3) Target Higher-Risk Offenders:** Prioritize primary supervision and treatment resources for offenders who are at higher risk to re-offend. Consistent findings from a wide variety of recidivism studies show that supervision and treatment resources focused on lower-risk offenders produce little if any positive effect on the rates of subsequent criminal behavior (McGuire, 2001, 2002) and can at times increase the risk level of low-risk offenders. Maximum benefit is gained only when intervention resources are directed to moderate- and high-risk offenders.
- 4) Address Offenders' Greatest Criminogenic Needs.** The greatest emphasis must be placed on addressing those needs which are most closely associated with criminal behavior. When the factors that lead the offender to commit crimes are effectively addressed, that person is less likely to commit crime (Elliot, 2001).
- 5) Use Cognitive-Behavioral Interventions:** These strategies are focused on changing the offender's thinking patterns in order to change future behavior. The most effective interventions provide opportunities for participants to practice new behavior patterns and skills with feedback from program staff.
- 6) Determine Dosage and Intensity of Services:** Higher-risk offenders require significantly more structure and services than lower-risk offenders. High-risk offenders should receive a minimum of 300 hours of cognitive-based interventions, moderate-risk offenders should receive a minimum of 200 hours, and low-risk offenders should receive a minimum of 100 hours of cognitive-based interventions. Additionally, during the initial 3–9 months post-release, 40–70 percent of high-risk offenders' free time needs to be occupied with delineated routine and appropriate services (Bourgon and Armstrong, 2006; Latessa, 2004; Gendreau and Goggin, 1995).

### **Important Things to Understand From the Research:**

- Correctional staff needs to work with offenders to ensure they have the tools needed for success in the community.
- Correctional and community staff must understand the importance of working with ***moderate- and high-risk*** offenders rather than low-risk offenders in order to demonstrate that their program can decrease recidivism.
- The most effective organizational-change strategies involve supervision and coaching of staff to reinforce the expected way of doing business—training alone is not sufficient.

### **Questions to Ask As You Launch Your Program:**

- Who are you targeting for your program?
- Do the risk and needs of your target population match the services and supports you've funded through your Second Chance grant?
- When and how are the risks and needs of your target population assessed?
- Following the risk/need assessment, are the services, supervision, and interventions recommendations developed with the offender?
- Are these interventions based upon a systematic assessment of individual levels of risk and criminogenic needs?
- How are services coordinated for your target population as they move from the institutional phase, to the reentry phase, to the community phase?
- How is programming that is begun in prison linked to the programming that the offender receives in the community?
- How are supervision and treatment resources prioritized for moderate and high risk offenders?
- Are your interventions cognitive-behavioral based?
- What data is collected on individuals?
- Do you collect case-level data on which of your program participants have (1) housing, (2) employment, (3) substance abuse treatment (if necessary), (4) mental health treatment (if necessary), and (5) social support?

## **References:**

Andrews, D.A., and J. Bonta (1998). *The Psychology of Criminal Conduct*. Cincinnati: Anderson Publishing Co.

Bourgon, G., and B. Armstrong (2006). Transferring the Principles of Effective Treatment into a "Real World" Setting. *Criminal Justice*, 32(1), 3-25.

Elliott, D. (2001). Youth violence: A report of the Surgeon General.

Gendreau, P. and C. Goggin (1995). Principles of effective correctional programming with offenders. Center for Criminal Justice Studies and Department of Psychology, University of New Brunswick, New Brunswick.

Latessa, E.J. (2004). The challenge of change: Correctional programs and evidence based practices. *Criminology & Public Policy*, 3(4), 547-560.

McGuire, J. (2002). Evidence-based programming today. Paper presented International Community Corrections Association Conference, Boston, MA, November 2002.

McGuire, J. (2001). What works in correctional intervention? Evidence and practical implications. Pp. 25-43 in *Offender rehabilitation in practice: Implementing and evaluating effective programs*. edited by D.F. Gary Bernfeld, Alan Leschied. New York, NY: John Wiley & Sons, LTD.

Miller, W. and S. Rollnick (2002). *Motivational Interviewing: Preparing people for change*. New York, NY: Guilford Press.

Miller, W. and K.A. Mount (2001). "A small study of training in Motivational Interviewing: Does one workshop change clinician and client behavior?" Albuquerque, NM.

**Appendix 2**  
**Statement of Assurance Form:**  
**Mandatory Certification Requirements and Coordination Requirement**  
***(Submit with the Application as an Attachment)***

As the Authorized Representative of [*insert name of applicant organization*]  
\_\_\_\_\_, I assure BJA the following:

**Mandatory Certification Requirement: Service Provider Licensing/ Accreditation/ Certification Documentation:** In addition, as the Authorized Representative I also assure BJA that all collaborating service provider organizations listed in this application meet applicable licensing, accreditation, and certification requirements.

As the authorized representative, I also understand that the following information is required to receive funding, and these materials have been included within the application materials:

- A letter of commitment that specifies the nature of the participation and what service(s) will be provided from every service provider organization listed in the application that has agreed to participate in the project.
- Official documentation that all service provider organizations collaborating in the project have been providing relevant services for a minimum of 2 years prior to the date of the application in the area(s) in which services are to be provided. Official documents must definitively establish that the organization has provided relevant services for the last 2 years.
- Official documentation that all collaborating service provider organizations are in compliance with all local (city, county) and state/tribal requirements for licensing, accreditation, and certification or official documentation from the appropriate agency of the applicable state/tribal, county, or other governmental unit that licensing, accreditation, and certification requirements do not exist.

**Note:** Official documentation is a copy of each service provider organization's license, accreditation, and certification.

- Documentation of accreditation will not be accepted in lieu of an organization's license. A statement by, or letter from, the applicant organization or from a provider organization attesting to compliance with licensing, accreditation and certification or that no licensing, accreditation, certification requirements exist, does not constitute adequate documentation.

**Mandatory Coordination Requirement:** I assure BJA that if my organization is not the Single State Agency (SSA) for Substance Abuse Services, and I assure and have demonstrated that the proposal has been developed in coordination with SAA support, except in the case of federally-recognized tribal government applicants.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

**BJA-2012-3153**

## Appendix 3 Pay for Success Criteria

Criteria	
Target Population	<b>The project must describe the population to be served, the goals to be obtained, and provide adequate protection for vulnerable populations.</b> The project should describe any safeguards and incentives against “creaming.” The project should also describe how it meets a compelling need.
Evidence	<b>The project must describe the types of services and other interventions that will be provided.</b> The project should identify any body of evidence that supports the efficacy of the approach.
Investment	<b>The project should clearly identify the source of working capital and provide evidence of its availability.</b> The quantity and availability of operating funds should be adequate to sustain the life of the project. The project should clearly describe the use of any newly requested or existing federal funds.
Agreement	<b>The project must identify all parties to the agreement including prime and sub-recipients.</b> Any intermediaries or other management organizations must be clearly identified. The roles and responsibilities of all parties should be described.
Flexibility	<b>The project must not overly encumber the management and administration of services and other interventions.</b> The project includes the flexibility to adjust the service delivery strategy to achieve the negotiated outcomes. If necessary the project should identify and justify any requested flexibilities around regulations and/or administrative requirements. The project should identify the source (federal/state/local) for each requested variation.
Outcomes	<b>Outcomes must be defined in terms of the desired “end state”.</b> The project should identify outcomes that can be measured and given a monetary value. The project should describe the derivation of the monetary value for each desired outcome including identification and assignment of any expected future savings to governmental entity(s).



Outcome Measures	<p><b>The project must describe how the achievement of outcomes will be measured.</b> The project should provide evidence that the [grantee] and the investors have agreed upon the evaluation/measurement methodology including metrics, timing, independence, and credible comparison groups. This methodology should provide assurances that PFS is paying for impacts and not just outcomes that would have been achieved with or without the intervention. The project should describe the reporting of any interim measures and progress toward achievement of outcomes, including how interim evaluation data could be used to improve program efficacy.</p>
Payments	<p><b>The obligation and period of availability of government funds should align with payback periods.</b> The project should describe provisions for government payments based upon achievement of proposed outcomes. Payments should only be made based upon substantiated achievement of interim or final outcomes.</p>
Savings/ROI	<p><b>Savings or return on investment (ROI) generated from the achievement of outcomes should meet or exceed the cost of services and other interventions including management, administration and evaluation.</b> Government and outside entities should identify whether these savings or ROI accrue proportionate to investment for each participating governmental entity.</p>