



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for 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 2013 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 and Coordination Requirement:** All applicants must certify that any treatment program proposed in the application is or will be 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. If provider organizations are not yet known, this information will have to be provided post-award. 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. See [www.samhsa.gov/Grants/ssadirectory.pdf](http://www.samhsa.gov/Grants/ssadirectory.pdf) for a listing of the SSA entities. Applications submitted by federally-recognized tribes must submit a Tribal Authorizing Resolution.

See Appendix 2 on page 37 for more information.

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.

## **Deadline**

Applicants must register with [Grants.gov](http://Grants.gov) prior to submitting an application. (See “How To Apply,” page 29.) All applications are due by 11:59 p.m. eastern time on May 16, 2013. (See “Deadlines: Registration and Application,” page 4.)

## **Contact Information**

For technical assistance with submitting an 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.

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# 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 tribal and local jails every year. Ninety-five percent of all offenders incarcerated today will eventually be released and will return to communities. The coordination of reentry of members of Native American tribes is even more complex given that they can return from federal, Bureau of Indian Affairs (BIA), state, local, and tribal facilities. 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.

The Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders is designed to improve outcomes for adults with co-occurring substance abuse and mental health disorders through the provision of appropriate evidence-based services and treatment during and after incarceration in prison or jail.

## Deadlines: Registration and Application

Applicants must register with Grants.gov in order to submit an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on May 16, 2013. See “How To Apply” on page 29 for details. Note that while the deadline for submission is 11:59 p.m. eastern time on May 16, 2013, 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 co-occurring substance abuse and mental health 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](#)

## **Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders Program— 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. Additionally, connection to permanent housing, particularly permanent supportive housing, has been demonstrated to result in lower recidivism, reduced homelessness, and improved mental health and substance abuse outcomes.

### **Goals, Objectives, and Deliverables**

The goal of the Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders is to improve the provision of treatment to adults with co-occurring substance abuse and mental health disorders during and after incarceration, to reduce the use of alcohol and other drugs by long-term substance abusers with co-occurring disorders during and after the transition from incarceration to the community, and to reduce recidivism among program participants.

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

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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 adults with co-occurring substance abuse and mental health disorders in jails and prisons and during the reentry and community reintegration process. 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**.

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 below for more information on “prison-based” programs and “co-occurring disorders.”

## Definitions

- **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:** OJP places a strong emphasis on the use of data and evidence in policy making and program development in criminal justice. OJP is committed to:
  - Improving the quantity and quality of evidence OJP generates;
  - Integrating evidence into program, practice, and policy decisions within OJP and the field; and
  - Improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP’s [CrimeSolutions.gov](http://CrimeSolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

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- **Chronic Homelessness:** In general, the term “chronically homeless” means, with respect to an individual or family, that the individual or family

(I) is homeless and lives or resides in a place not meant for human habitation, a safe haven, or in an emergency shelter;

(II) has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least one year or on at least four separate occasions in the last three years; and

(III) has an adult head of household (or a minor head of household if no adult is present in the household) with a diagnosable substance use disorder, serious mental illness, developmental disability, post-traumatic stress disorder, cognitive impairments resulting from brain injury, or chronic physical illness or disability, including the co-occurrence of two or more of those conditions.

## Program Design Elements

Applicants should consider an “integrated care” approach which incorporates the following program design elements. For more information on the Integrated Care Model, refer to page 10. Applicants must address the following program design elements in the proposal:

- 1) Use of Actuarial-Based Assessment Instruments for Treatment and Reentry Planning:** Applicants must use risk and needs assessment tools 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) 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.
- 3) Baseline Recidivism Rate:** Provide a baseline recidivism rate specifically 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.
- 4) 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).
- 5) 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 substance

abuse.

Behavioral change is possible if offenders are provided with tailored, sequential programming that addresses individual criminogenic needs that affect the risk of recidivism. Applicants are strongly urged to provide treatment interventions that target criminal thinking, especially for higher-risk offenders, and provide training for staff in utilizing cognitive-behavioral interventions and strategies.

- 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).
- 7) 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.

Applicants are also encouraged to also consider housing as a necessary part of treatment. For program participants that have experienced short-term stays in jail (less than 90 days) and that have cycled between jail and homelessness, permanent supportive housing is an evidence-based housing practice that combines supportive services and permanent housing.

**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).**

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<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.

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.

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.

- 8) 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.
- 9) 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.
- 10) 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.
- 11) 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; mentoring; and permanent supportive housing.
- 12) 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. Applicants are strongly urged to also link case management services to affordable and supportive housing for target populations where chronic homelessness is a risk factor for recidivism.
- 13) 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/).

**14) Integrated Care:** BJA anticipates funding applicants that demonstrate an integrated care approach. 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.

**15) Capacity:** Applicants must describe how many total people the proposed program plans to serve over the length of the project period.

- If the applicant is requesting funds for a program that is currently operational, the applicant must state how many people the program has served (who meet the stated target population characteristics) over the past 6 months.
- If the applicant is proposing to implement a “new program,” the applicant must state how many people met the target population characteristics within the past 6 months.

### **Priority Considerations**

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

- Incorporate a “Pay for Success” model into their projects. (See Appendix 3, page xx)
- Target female offenders.

- Focus their program on geographic areas with demonstrated 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.
- Incorporate innovative uses of information technology which leverage electronic information sharing and communication to advance the specific goals of this solicitation. Such proposals should clearly state how justice information sharing will be employed to address business solutions using architecture, standards, policy, and technology deployment. Applicants must also demonstrate utilization of DOJ's Global-recommended specifications and guidelines where applicable, to include implementation of the Global Standards Package. For more information, visit [www.it.ojp.gov/gsp](http://www.it.ojp.gov/gsp).
- In regard to the Affordable Care Act, develop and implement strategies to identify and enroll eligible program participants into Medicaid, or other insurance through health exchanges, and to connect them to treatment providers as appropriate.

Plan and strategize for how expanded options for access to healthcare can enhance outcomes for offenders. Applicants can plan and implement strategies for expanded Medicaid eligibility, behavioral health parity, connection to subsidized private health insurance options through the health insurance marketplace (also known as exchanges) to increase access, service use, and outcomes.

- Target high-risk offenders that are experiencing or at risk of chronic homelessness (see definitions). This would include offenders that have been in jail or prison for 90 days or less that were living on the streets or in an emergency shelter prior to entry and who have a long history of cycling between short-term stays in jail and homelessness.
- Link grant-funded activities and services to affordable and supportive housing, leveraged through partnerships with non-profit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care.

## Resources for Civil Legal Aid

Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. An allowable use of Second Chance Act funds for reentry services includes referral to and payment of legal services related to the purpose of the grant, such as: securing a driver's license, expunging criminal records, litigating inappropriate denials of housing or employment and violations of the Fair Credit Reporting Act, creating and/or modifying child support orders, and other family law services that help stabilize individuals and families. For more information, go to [www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf](http://www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf).

## Amount and Length of Awards

Applicants must apply in one of three categories, depending upon their jurisdictional status.

- **Category 1, Competition ID BJA-2013-3571:** Units or components of state government agencies serving adult offenders.

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- **Category 2, Competition ID BJA-2013-3572:** Units or components of county or city local government agencies serving adult offenders.
- **Category 3, Competition ID BJA-2013-3573:** Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adult offenders.

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 to any modifications or additional requirements that may be imposed by law.

## **Collaboration with Other Federal Agencies**

### OJP Reentry Programs (Adults and Juveniles)

BJA and the Office of Juvenile Justice and Delinquency Prevention (OJJDP) are collaborating closely on the Second Chance Act implementation. BJA and OJJDP will continue to collaborate to ensure that both juvenile and adult reentry efforts are supported. Similarly, both BJA and OJJDP are working with the National Institute of Justice (NIJ) in support of the research and evaluation activities called for in the Act. 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.bja.gov/ProgramDetails.aspx?Program\\_ID=90](http://www.bja.gov/ProgramDetails.aspx?Program_ID=90).

- BJA and OJJDP are also collaborating on oversight of the [National Reentry Resource Center \(NRRC\)](#) for the provision of training and technical assistance (TTA) to Second Chance Act grantees. The NRRC, funded by BJA, provides education and TTA to states, tribes, territories, local governments, service providers, nonprofit organizations, and corrections institutions working on reentry.
- For those interested in funding opportunities to support juvenile reentry programming, visit the OJJDP web site at [www.ojjdp.gov](http://www.ojjdp.gov).
- In the area of reentry of tribal members, BJA and the Federal Workgroup on Corrections completed a Long Term Plan to Build and Enhance Tribal Justice Systems (Tribal Justice Plan), which offers recommendations and action steps to support the successful reentry of tribal members. The Tribal Justice Plan is available at [www.bja.gov/Publications/FinalTLOATribalJusticePlan.pdf](http://www.bja.gov/Publications/FinalTLOATribalJusticePlan.pdf)

### Federal Partners Reentry Funding Opportunities

Applicants are encouraged to be cognizant of other federal agencies that provide reentry funding for different activities other than those administered by BJA. If possible, examine these agencies' web sites and use as many resources as possible to fill gaps and address different needs. Some examples of these additional federal agencies include the following:

- U.S. Department of Labor (DOL): reentry employment resources, including awards to faith-based and community organizations (FBCOs) - [www.doleta.gov/grants/find\\_grants.cfm](http://www.doleta.gov/grants/find_grants.cfm)
- U.S. Department of Substance Abuse and Mental Health Services Administration (SAMHSA): substance abuse and mental health resources - [www.samhsa.gov](http://www.samhsa.gov)
- U.S. Department of Housing and Urban Development (HUD) : housing resources - [portal.hud.gov/portal/page/portal/HUD](http://portal.hud.gov/portal/page/portal/HUD)
- U.S. Department of Health and Human Services (HHS): general health, child support resources, etc. - [www.hhs.gov/](http://www.hhs.gov/)

- U.S. Department of Education: correctional education resources - [www2.ed.gov/about/offices/list/ovae/pi/AdultEd/correctional-education.html](http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/correctional-education.html)
- Office of Juvenile Justice and Delinquency Prevention (OJJDP): juvenile-related resources - [www.ojjdp.gov/](http://www.ojjdp.gov/)
- National Institute of Corrections (NIC): training, technical assistance, information services, and other resources - [nicic.gov/](http://nicic.gov/)
- U.S. Interagency Council on Homelessness: training, technical assistance, information services, and other resources – [www.usich.gov/h](http://www.usich.gov/h)

## 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 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)
- [payforsuccess.org](http://payforsuccess.org)

## Behavioral Health Framework for Adults Under Correctional Supervision

For a compilation of the latest research and for an understanding of how to target programming for people with behavioral health needs under correctional supervision, please see the linked document: [Adults with Behavioral Health Needs Under Correctional Supervision: A Shared Framework for Reducing Recidivism and Promoting Recovery](#). The framework is designed to reduce recidivism and behavioral health problems among individuals under correctional control or supervision by making the most effective use of scarce resources to improve outcomes for those individuals. It provides a common structure for corrections and treatment system professionals to begin building truly collaborative responses to their overlapping service population.

## 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, recipients may not use federal funds to pay total cash compensation (salary plus cash 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 greater 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 Assistant Attorney General (AAG) for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, 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 to be done.

### Minimization of Conference Costs

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP Web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This guidance sets out the current OJP policy, which requires all funding recipients that propose to hold or sponsor conferences (including, meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages 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 affect direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

### **Costs Associated with Language Assistance (if applicable)**

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

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" web page at [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, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

For programs linked to affordable and supportive housing, non-federal funds used to subsidize affordable or supportive housing (e.g., state rental assistance programs) are an eligible source of cash match.

### **Unallowable Uses for Award Funds**

In addition to the unallowable costs identified in the OJP Financial Guide, award funds may not be used for:

- Prizes/rewards
- Client stipends
- Gift cards
- Vehicles
- Food and beverage
- Any type of monetary incentive

### **Performance Measures**

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, 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 [www.bjaperformancetools.org](http://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: [www.bjaperformancetools.org/help/scaco-occurringquestionnaire.pdf](http://www.bjaperformancetools.org/help/scaco-occurringquestionnaire.pdf).

Objective	Performance Measures	Data Grantee Provides
<p>Increase public safety and reduce recidivism through activities targeted to address criminal behavior impacted by co- occurring substance abuse and mental health disorders.</p>	<p>Percentage of new participants enrolled in the program</p>	<p>During the reporting period:  A. Number of new participants enrolled in program  B. Total number of participants enrolled in program</p>
	<p>Percentage of participants who successfully completed the program</p> <p>Percentage of participants who unsuccessfully completed the program</p> <p>Percentage of program incompletes</p>	<p>During the reporting period:  A. Number of participants enrolled in program  B. Number of participants who successfully completed the program</p> <p>During the reporting period:  A. Number of participants enrolled in program  B. Number of participants no longer in the program due to failure to meet program requirements  C. Number of participants no longer in the program due to court or criminal involvement (arrest, conviction, revocation, reincarceration)  D. Number of participants no longer in the program due to a lack of engagement (no shows and nonresponsive participants)  E. Number of participants no longer in the program due to absconding  F. Number of participants no longer in the program due 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</p>

	<p>Recidivism rate for program participants</p>	<ul style="list-style-type: none"> <li>A. Number of program participants participating in the program</li> <li>B. Number of participants who were rearrested while participating in the program</li> <li>C. Number of participants who were convicted while participating in the program</li> <li>D. Number of participants who had a revocation of the terms of supervised release while participating in the program release</li> <li>E. Number of participants who were reincarcerated while participating in the program</li> </ul>
	<p>Recidivism rate for participants who successfully completed the program</p>	<ul style="list-style-type: none"> <li>A. Number of participants that successfully completed the program</li> <li>B. Number of participants who were rearrested and successfully completed the program</li> <li>C. Number of participants who were convicted and successfully completed the program</li> <li>D. Number of participants who had a revocation of the terms of supervised release and successfully completed the program</li> <li>F. Number of participants who were reincarcerated and successfully completed the program</li> </ul>
	<p>Recidivism rate for the participants unsuccessfully completed the program</p>	<ul style="list-style-type: none"> <li>A. Number of participants that unsuccessfully completed the program</li> <li>B. Number of participants who were rearrested and unsuccessfully completed the program</li> <li>C. Number of participants who were convicted and unsuccessfully completed the program</li> <li>D. Number of participants who had a revocation of the terms of supervised release and unsuccessfully completed the program</li> <li>E. Number of participants who were reincarcerated and unsuccessfully completed the program</li> </ul>

OJP does not require applicants to submit performance measures data with their applications. 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 18 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](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 sub-awards 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 sub-recipients. 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 sub-awards will be made through the FFATA Sub-award Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

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

### **What an Application Should Include**

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated 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:

- Abstract
- 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
- Mandatory Certification and Coordination Requirement

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. Also 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 required standard form used 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, select "For-Profit Organization" or "Small Business" (as applicable). Applicants should also ensure that all the information is correct, spelling has been checked, and that careful attention has been paid to listing the legal name, award amount, address, and the points of contact.

#### ***Selecting the Appropriate Point of Contact (POC) and the Authorized Representative.***

Applicants should be cognizant that these 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.

#### **2. Abstract**

Applications should include a high-quality "Project Abstract" that summarizes the proposed project in 400 words or less. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with <Project Abstract> as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

#### **The abstract should include the following clearly-labeled information:**

- Name of applicant (agency/correctional facility), title of the 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.
- Baseline recidivism rate for the proposed target.
- 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 11.

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

All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

Permission to Share Project Abstract with the Public: It is unlikely that BJA will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

Note: OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### 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, BJA may consider such noncompliance in peer review and in final award decisions.

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

#### a. Statement of the Problem

- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures  
BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.
- e. Plan for Measuring Program Success to Inform Plan for Sustainment

#### 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 that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

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. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how 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.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their 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)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, then the application should include appropriate legal documentation, as described above, from all tribes that would receive services/assistance 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 an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

Applicants that are unable to submit with the application a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at minimum, submit an unsigned, draft version of such legal documentation as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, BJA will make use of and access to funds contingent on receipt of the fully-executed 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. **Mandatory Certification Requirements and Mandatory Coordination Requirement Form** (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. Applicant Disclosure of Pending Applications**

Applicants are to disclose whether they have pending applications for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will be sub-awarding federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- the federal or state funding agency
- the solicitation name/project name
- the point of contact information at the applicable funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page. (e.g., “[Applicant Name] does not have pending applications submitted within the last 12 months for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”)

**9. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal’s rating under the selection criteria, in order to receive funds, the applicant’s proposal must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains

to ensuring that the design, conduct, or reporting of research/evaluation funded by BJA grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research/evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include where an investigator would be in a position to evaluate a spouse's work product (actual conflict), or where an investigator would be in a position to evaluate the work of a former colleague (apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that project, as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research/evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In a separate attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion.

Where potential personal or organizational conflicts of interest exist, in a separate attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, explain, or otherwise address those conflicts of interest.

Considerations in assessing research and evaluation independence and integrity will include, but may not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity/integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

## 10. Other Standard Forms

Additional forms that OJP may require 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](#)

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, must download, complete, and submit this form.

\*These OJP Standard Assurances and Certifications are forms which applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

## 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 tribe 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 re-incarceration. Also, provide an explanation of the population (demographics, risk level, offense type) the follow-up period length (post-release), and the dates when the recidivism rate was calculated.

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

- Describe the proposed program and the project's purpose, goals, and objectives.
- Address the Program Design Elements (pages 7-10 and Appendix 1) that include:
  - Utilizing actuarial-based assessment instruments
  - Targeting higher risk offenders
  - Inclusion of a baseline recidivism rate
  - Enhancing intrinsic motivation

- Targeting criminogenic needs that affect recidivism
- Determining dosage and intensity of services
- Providing evidence-based mental health and substance abuse treatment services<sup>2</sup>
- Utilizing pharmacological drug treatment services
- Using cognitive behavioral interventions
- Developing and implement transition planning procedures
- Supporting of a comprehensive range of recovery support services
- Using sustained aftercare, case planning/management
- Providing community supervision services which follow evidence-based practices
- Incorporating an integrated care approach
- Address the Priority Considerations (pages 10-11) that include:
  - Incorporation of a Pay for Success Model
  - Targeting female offenders
  - Focusing on areas with demonstrated high rates of returning individuals
  - Implementation of specialized probation services for the target population
  - Partnership with a research organization to conduct a rigorous local evaluation of the applicant's strategies
  - Incorporate innovative uses of information technology which leverage electronic information sharing and communication.
  - Develop and implement strategies to identify and enroll eligible program participants into Medicaid, or other insurance through health exchanges, and to connect them to treatment providers as appropriate.
  - Target high-risk offenders that are experiencing or at risk of chronic homelessness.
  - Link grant-funded activities and services to affordable and supportive housing, leveraged through partnerships with non-profit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care.
- 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

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<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.

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.

- Identify existing barriers to collaboration between the criminal justice and behavioral health systems within the jurisdiction and with its intergovernmental partners as relevant, and describe how this grant will improve collaboration to improve access to treatment services beyond this particular program.
- 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, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities) Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>3</sup>
- See the additional budget and budget narrative requirements on page 21.

## **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. An external peer reviewer is an expert in 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. 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, reviews 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, who may consider 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 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).

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<sup>3</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- 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 of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

## How To Apply

Applicants must submit applications through Grants.gov. Applicants must first register with Grants.gov in order to submit an application through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register

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and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should 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 several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note:** BJA encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for email updates will be notified.

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 a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and sub-recipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM). SAM replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.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 an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.812, titled "Second Chance Act prisoner Reentry Initiative], and the funding opportunity number is BJA-2013-3570.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
8. **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 message will state whether the application has been received and validated, or rejected due to errors, with an explanation. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** of the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note: Grants.gov only permits the use of specific characters in names of attachment files. Valid file names may only include the following characters: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, and period. Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

#### **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**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJA contact identified in the Contact Information section on page 1 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant

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application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, OJP will reject the application as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register 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 each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology environment, including firewalls.

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

### **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, the application submission process, and/or the application review/peer review process. Feedback may be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or email listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume.

**Note: Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.**

# Application Checklist

## FY 2013 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 19)
- Abstract—Including information on **both pre- and post-release services for every program participant**\* (see page 19)
- Program Narrative—Including information on **both pre- and post-release services for every program participant**\* (see page 20)
- Budget Detail Worksheet\* and Budget Narrative\* (see page 21)
- Disclosure of Lobbying Activities (SF-LLL) (see page 31)
- Indirect Cost Rate Agreement (if applicable) (see page 22)
- Tribal Authorizing Resolution (if applicable) (see page 22)
- Additional Attachments (see page 22)
  - Project Timeline
  - Position Descriptions
  - Letters of Support/Memoranda of Understanding
  - Statement of Assurance Form: Mandatory Certification Requirements and Coordination Requirements\* (see page 22)
  - Applicant Disclosure of Pending Applications
  - Research and Evaluation Independence and Integrity
- Other Standard Forms as applicable (see page 24), 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.

## **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?
- Has staff been trained to appropriately use cognitive-behavioral interventions and strategies?
- 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

### Mandatory Certification and Coordination Requirement Form (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

\_\_\_\_\_

\_\_\_\_\_

## 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>