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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for funding the Second Chance Act Comprehensive Statewide Adult Recidivism Reduction Planning Program. This program furthers the Department's mission by providing resources to states to achieve a reduction in a historical baseline recidivism rate through planning and capacity-building with effective evidence-based interventions.

## Second Chance Act Comprehensive Statewide Adult Recidivism Reduction Planning Program FY 2013 Competitive Grant Announcement

### Eligibility

Eligible applicants are limited to a state correctional agency (the state department of corrections or department of community corrections), or the State Administering Agency (SAA). Grantees who have current Second Chance Act Recidivism Reduction grants may apply.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 25.) All applications are due by 11:59 p.m. eastern time on June 28, 2013. (See "Deadlines: Registration and Application," page 3.)

All applicants are encouraged to read: [Important Notice: Applying for BJA Grants in Grants.gov.](#)

### Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 1-800-518-4726 or 606-545-5035 or via e-mail at [support@grants.gov](mailto:support@grants.gov).

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

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

Grants.gov number assigned to announcement: BJA-2013-3627

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# Second Chance Act Comprehensive Statewide Adult Recidivism Reduction Planning Program CFDA #16.812

## Overview

The Second Chance Act ([Pub. L. 110-199](#)) seeks a comprehensive response to the increasing number of incarcerated adults and juveniles who are released from prison, jail, and juvenile residential facilities and return to their communities. There are currently over 2.2 million individuals serving time in our federal and state prisons, and millions of people cycling through local jails every year. Ninety-five percent of all offenders incarcerated today will eventually be released and will return to communities. The coordination of reentry services for 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 Programs are designed to help communities develop and implement comprehensive and collaborative strategies that address the challenges posed by offender reentry and recidivism reduction.

Developing a reentry approach for reducing recidivism is extremely challenging for even the most sophisticated correctional agency, requiring access to data and service delivery and coordination from multiple systems, including housing, health, employment, education, etc. This solicitation will provide funding for 12-month planning grants during which time state-level participants will convene and work to develop and finalize 1) decision-making processes, 2) supervision strategies, and 3) service quality and coordination plans to achieve a reduction in the state's historical baseline recidivism rate. Upon the completion of the Statewide Recidivism Reduction Strategic Plan, states will be invited by BJA to submit applications for implementation grants from between \$1-\$3 million. Future funding decisions for implementation grants will be competitive and will consider the quality and comprehensiveness of the Statewide Recidivism Reduction Strategic Plan.

Funding is authorized under the Consolidated and Further Continuing Appropriations Act, 2013, Pub. L. 113-6, 127 Stat. 198, 253.

## 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 June 28, 2013. See the "How To Apply" section on page 25 for more details. Note that while the deadline for submission is 11:59 p.m. eastern time on June 28, 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.

# Second Chance Act Comprehensive Statewide Adult Recidivism Reduction Planning Program—Specific Information

## Goals, Objectives, and Deliverables

The goal of Section 101 of the Second Chance Act is to provide support to eligible applicants for the development and implementation of comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism. Within the context of this initiative, “reentry” is not envisioned to be a specific program, but rather a process that begins when the individual is first incarcerated and ends with the individual’s successful community reintegration, evidenced by lack of recidivism. This process should provide the individual with appropriate evidence-based services—including addressing the individual’s criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that individual.

The objectives for the Second Chance Act Comprehensive Statewide Adult Recidivism Reduction Planning Program are to fund, at the state level, effective strategies for reducing recidivism and enhancing public safety which incorporate the following principles:

- Focus on the offenders most likely to recidivate;
- Use evidenced-based programs proven to work and ensure the delivery of services is high quality;
- Deploy supervision policies and practices that balance sanctions and treatment; and
- Target places where crime and recidivism rates are the highest.

Please see the National Reentry Resource Center for [Recidivism Reduction Checklists](#), which were developed to help state leaders evaluate strengths and weaknesses in their reentry efforts and develop recidivism reduction plans.

## Recidivism Definition

For purposes of this solicitation, recidivism can be defined in accordance with the definition utilized by the applicant agency. This definition must be clearly articulated in the application and evidence of an established historical baseline recidivism rate provided. The applicant agency must document the capacity to continue to collect and maintain relevant data to track the recidivism rate according to the definition provided during the length of the project period and beyond.

## Mandatory Requirements

Section 101 of the Second Chance Act outlines the following Mandatory Requirements that must be included in an application to be eligible to secure for Section 101 funding. Applicants under this solicitation must demonstrate and complete all of the following:

1. A reentry strategic plan that describes the jurisdiction’s long-term reentry strategy, including measurable annual and 5-year performance outcomes, relating to the long-term goals of increasing public safety and reducing recidivism. One goal of the plan shall be a 50 percent

reduction in the rate of recidivism over a 5-year period.<sup>1</sup> (Applicants should share the reentry strategic plan currently in place with the understanding that should a grant be awarded states, with intensive technical assistance, will work toward a comprehensive data- and research-driven plan for recidivism reduction.

2. A detailed reentry implementation schedule and sustainability plan for the program.
3. Documentation that reflects the establishment of, an ongoing engagement of, a Reentry Task Force comprised of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders.
  - The Task Force should examine ways to pool resources and funding streams and share data and best practices in offender reentry between stakeholder agencies and organizations.
  - The Task Force and the strategic planning requirement above should provide a key opportunity for local policymakers to work together to identify and address local barriers to effective reentry, including barriers that are policy or procedural in nature. (See Mandatory Requirement 10 below.)
4. Discussion of the role of local governmental agencies, nonprofit organizations, continuums of care, state or local interagency councils on homelessness, and community stakeholders that will coordinate and collaborated during the planning and implementation of the offender reentry strategy. The applicant will provide certification of the involvement of such agencies and organizations. These partners and participants in the creation of the reentry strategy should include representatives from the fields of public safety, corrections, housing (including partnerships with public housing authorities), homeless services providers, health, education, substance abuse, children and families, victims' services, employment, and business.
5. Extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing, homeless services, child welfare, education, substance abuse, victims services, state child support, and employment services, and with local law enforcement agencies.
6. An extensive discussion of the role of state corrections departments, community corrections agencies, and local jail corrections systems in ensuring successful reentry of offenders into their communities. Applications must include letters of support from corrections officials responsible for facilities or offenders to be served through this project (see "What an Application Should Include," on page 17).
7. Documentation that reflects explicit support of the chief executive officer of the applicant state, unit of local government, territory, or Indian tribe and how this office will remain informed and connected to the activities of the project.
8. A description of the evidence-based methodology and outcome measures that will be used

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<sup>1</sup> The reentry strategic plan of an applicant that has previously received funding under Section 101 of the Second Chance Act must reflect input from nonprofit organizations, as appropriate and available, and must include performance measures to assess progress toward a 10 percent reduction in recidivism over 2 years.

to evaluate the program and a discussion of how such measurements will provide a valid assessment of the impact of the program. The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental strategies of evidence-based correctional practice that are widely accepted as efficacious in reducing future criminal behavior. These six strategies are outlined in **Appendix 1** (see page 29). Applicants are required to clearly articulate how these evidence-based strategies are integrated into their program design, and how the program will ensure participants take part in evidence-based services and programs that occur both pre- and post-release.

9. A description of how the project could be broadly replicated if demonstrated to be effective.
10. A plan for the analysis of the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of offenders into the community. (**Note:** this may be integrated into the strategic planning requirement and guided by the local task force discussed above.) BJA encourages applicants to review the database of the American Bar Association (ABA) National Study on the Collateral Consequences of Criminal Convictions, which catalogues statutes and administrative rules that contain a collateral consequence. The database, available at [www.abacollateralconsequences.org/](http://www.abacollateralconsequences.org/), will assist attorneys, policymakers, and the public to more easily identify what consequences follow from particular criminal offenses.
11. A baseline recidivism rate for the proposed target population including documentation to support the development of the rate. All grantees will be required to provide a baseline recidivism rate upon award. See the Selection Criteria: Statement of the Problem, on page 22 for more information.

## **Planning and Capacity Building**

Successful applicants will develop a planning and capacity building approach in order to develop a sound organizational infrastructure to support targeted programmatic interventions which should result in the desired reduction in overall recidivism. Collaborative strategic planning should guide systemic capacity building and eventually lead to the implementation of evidenced-based programmatic interventions targeted at specific offender population(s) to achieve the desired goal of overall recidivism reduction.

The first step will be the development of a strategic plan which incorporates all key stakeholders required to achieve the desired goal of a reduction in recidivism. Once the plan is developed it may require some systemic changes to build the capacity of the applicant to implement the identified desired programmatic interventions.

The comprehensive strategy should include recommended changes in policy and practice, a work plan to implement those changes and build statewide support for them, and a budget associated with this work plan. In discussing this planning and capacity building phase, the applicant should address the following:

- Provide a clear statewide definition of recidivism, an explanation of how that rate is calculated on a regular basis and reported to policymakers periodically so that changes can be routinely and effectively tracked over time, and demonstrate the capability to access and obtain data.
- Identify a realistic, but ambitious, target for reducing recidivism within a 2-year period.

- Demonstrate interest among leaders in state government, including the governor, state legislators, and court officials, in participating on a task force or steering committee to develop and implement a plan to realize this goal of reduced recidivism. The following questions should be addressed: (1) Who will serve on the task force or steering committee, which must include representation of key stakeholders but also be of manageable size, to ensure broad support for a specific goal in recidivism reduction? (2) Who will chair this group? (3) Who will staff it? (4) How often will they meet and over what period of time?

Note: BJA acknowledges that some states will utilize existing reentry councils or task forces for this purpose.

- Review, within the context of the goal set, the state's strengths and areas for improvement regarding the strategies that research has demonstrated are essential to any comprehensive effort to change criminal behavior and reduce recidivism:
  - Risk/need assessment is used to determine program/service placement, inform the release decision, set supervision conditions and reporting requirements, and inform the response to non-compliance or violation behavior.
  - Programs provided are designed to change criminal behaviors and are grounded in research; quality is reviewed using a structured quality assurance process and steps to improve program quality are taken based on the findings.
  - Effective supervision strategies are used to encourage compliance with conditions of release and to ensure effective responses when someone does not comply with those conditions of release.
- Describe what the state will do over a 12-month planning grant period to identify what changes in policy and practice are necessary to improve in the following areas: 1) risk/needs assessment; 2) pre-release planning and service coordination; 3) program quality; and 4) effective supervision.
- Demonstrate a commitment to share data and work closely with BJA's technical assistance provider, the National Reentry Resource Center, coordinated by the Council of State Governments Justice Center, during the strategic planning phase, and if awarded, during the implementation phase.
- Demonstrate a commitment, if implementation funds are awarded at a later date, to hire an experienced full-time coordinator to facilitate the development of the state's implementation project, and provide training to staff on implementation of risk assessment tools and on the importance of using evidenced-based practices.
- Describe what, if any, types of intensive technical assistance (which is available to grantees in addition to whatever funding support they receive) would be of particular value to the state as it conducts a thorough review of existing policies and practices and develops its strategic, statewide plan to reduce recidivism.

### **Target Population**

Since this solicitation will assist in implementing a comprehensive state-level recidivism reduction plan with an ambitious, bold, yet reasonable goal, framing the description of a target

population should be based on documented groups of offenders that significantly contribute to increased recidivism rates.

### **Target Population Data Collection and Local Research Partnerships**

In applying for these grants applicants agree to cooperate in any and all related research efforts and program evaluations by collecting and providing enrollment and participation data during all years of the project. Applicants also agree to provide detailed **individual-level** data, in the format specified by OJP during this time period (and for the following 5 years for recidivism data). This may include *but will not be limited to* the following participant characteristics:

- Age
- Gender
- Race/Ethnicity
- Criminal history
- Educational history
- Incarceration history
- Employment history
- Substance abuse history
- Mental health history
- Family history
- Social and personal history
- Post-release recidivism
- Post-release employment
- Post-release housing

Intervention information:

- Service history
- In-program services provided
- Program costs
- Duration of services
- Point of service (pre-/post-release)

Applicants further agree to implement random or other modes of participant assignment, required by the evaluation design; cooperate with all aspects of the evaluation project; and provide comparable individual-level data for comparison group members.

Applicants are encouraged to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluations. One resource that applicants may be interested in using is the e-Consortium for University Centers and

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Researchers for Partnership with Justice Practitioners. The purpose of this e-Consortium is to provide a resource to local, state, federal, and other groups who seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial to the criminal justice community. The e-Consortium can be found online at [www.gmuconsortium.org/](http://www.gmuconsortium.org/).

## Priority Considerations

When making award selections, priority consideration will be given to applicants who can incorporate an independent third-party evaluation/assessment documenting the impact of the project on reducing recidivism. Applicants for this first round of Planning grants should indicate their ability and willingness to engage in a rigorous evaluation of their efforts.

## Technical Assistance Resources

Intensive and targeted technical assistance will be available from the [National Reentry Resource Center](#) (NRRC) to assist in both the completion of a strategic plan and a diagnosis of any systemic deficits which may need to be rectified, such as training appropriate staff in the use of evidenced-based practices including risk/needs assessments. Through these activities the NRRC will assist with the design of a comprehensive, statewide strategic plan, which will include a measurable, ambitious, but realistic, goal for reducing recidivism statewide (e.g., reduce recidivism among parolees by 10 percent in 2 years).

## 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 [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 submitting applications for specific "juvenile"-related mentoring reentry projects, 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 the [Tribal Law and Order Act \(TLOA\) 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.

## 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 - <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 - <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 - <http://nicic.gov/>
- U.S. Interagency Council on Homelessness: training, technical assistance, information services, and other resources – <http://www.usich.gov/>

## **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).

Note: Per the OJP Financial Guide, grant funds cannot be used for fines and penalties.

## **Amount and Length of Awards**

Under this FY 2013 program BJA anticipates that it will make up to 10 planning awards, for up to \$100,000 each, for a 12-month project period to begin on October 1, 2013.

## **Future Year Funding: Implementation Awards**

If an applicant receives an FY 2013 planning award under this program, BJA will invite them to submit an application to compete for future funding that could potentially include an individual

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“implementation” award. As early as FY 2014, BJA anticipates making up to 4 total implementation awards, totaling \$1-3 million each that will enable states to implement a strategic and tactical plan to address statewide recidivism rates.

**Note: Due to the competitive nature of this process, it is not anticipated that all FY 2013 planning award recipients will receive competitive FY 2014 Implementation grants.**

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

## **Budget Information**

### **Unallowable Uses for Award Funds During Both Planning and Implementation Phases**

In addition to the unallowable costs identified in the [OJP Financial Guide](#), award funds may not be used for the following:

- Prizes/rewards/entertainment/trinkets (or any type of monetary incentive)
- Client stipends
- Gift cards
- Vehicles
- Food and beverage

### **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 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 2013 salary table for SES employees is available at [www.opm.gov/oca/13tables/indexSES.asp](http://www.opm.gov/oca/13tables/indexSES.asp). Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The 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 its 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 that is 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**

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

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**The applicant must identify the source of the 25 percent non-federal cash portion of the budget and how both cash and in-kind match funds will be used.**

**Match Waiver:**

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

A match waiver request must be submitted as a separate attachment to the application and titled as the "Match Waiver".

**Note:** Once incorporated into the OJP-approved budget, the match becomes mandatory and subject to audit. Further, if a successful applicant's proposed match exceeds the required match amount, the match amount that is incorporated into its OJP-approved budget is mandatory and subject to audit.

The formula for calculating match is:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

$$\text{Required Recipient's Share Percentage} \times \text{Adjusted Project Cost} = \text{Required Match}$$

**Example:** For a federal award amount of \$100,000, match would be calculated as follows:

$$\frac{\$100,000}{50\%} = \$200,000 \quad 50\% \times \$200,000 = \$100,000 \text{ match}$$

## 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. OJP will require any award recipient, 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 Adult Reentry Program. Applicants should review the complete list available at: [www.bjaperformancetools.org/help/scareentryquestionnaire.pdf](http://www.bjaperformancetools.org/help/scareentryquestionnaire.pdf).

Objective	Measure	Data Grantee Provides
<p><b>Phase 1: Planning and Capacity Building</b></p> <p>Develop a reentry strategic plan that will provide offenders with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that offender.</p>	Submit a Reentry Strategic Plan description	Provide updates on the completion of key components of the Reentry Strategic Plan
	Reentry strategic plan status	Describe any updates or modifications concerning the reentry plan implementation schedule and sustainability plan for the program
	Data collection plan status	Describe any updates or modifications to the data collection plan and policy including how data will be collected and what indicators will be utilized upon implementation. Describe how data and program outcomes will be obtained by program managers and service providers
	Reentry task force composition	Provide the current status of the establishment of a Reentry Task Force. Include a description of relevant leaders, representatives of agencies, service providers, nonprofit organizations, and other key stakeholders
	Reentry population	Describe the target population including relevant information on demographics, risk level, and offense types
	Anticipated capacity	Enter the number of participants expected to be admitted to the reentry program per year of the grant
	Risk and needs assessment	A. What risk assessment instrument will be used, if any? B. Describe how offenders will be assessed
	Baseline recidivism	Describe how a baseline recidivism rate will be calculated for the proposed target population
	Recidivism rate reduction	Discuss what level of reduction in recidivism you would consider to be success. Include a description of the follow-up period length (post-release), and the recidivism rate targeted such as arrest, conviction, revocation, and/or reincarceration
<p><b>Phase 2: Implementation</b></p> <p>Provide offenders with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies</p>	Percentage of new participants enrolled in the program	<p>During the reporting period:</p> <p>A. Number of new participants enrolled in program</p> <p>B. Total number of participants enrolled in program</p>

<p>on a risk/needs assessment that reflects the risk of recidivism for that offender.</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:</p> <p>A. Number of participants enrolled in program</p> <p>B. Number of participants who successfully completed the program</p> <p>During the reporting period:</p> <p>A. Number of participants enrolled in program</p> <p>B. Number of participants no longer in the program due to failure to meet program requirements</p> <p>C. Number of participants no longer in the program due to court or criminal involvement (arrest, conviction, revocation, reincarceration)</p> <p>D. Number of participants no longer in the program due to a lack of engagement (no shows and nonresponsive participants)</p> <p>E. Number of participants no longer in the program due to absconding</p> <p>F. Number of participants no longer in the program due to relocating or case transfer</p> <p>G. Number of participants no longer in the program due to death or serious illness</p> <p>H. Number of participants who did not complete the program for other reasons (please specify)</p> <p>I. Specify other reasons</p>
	<p>Recidivism rate for program participants</p>	<p>A. Number of program participants participating in the program</p> <p>B. Number of participants who were rearrested while participating in the program</p> <p>C. Number of participants who were convicted while participating in the program</p> <p>D. Number of participants who had a revocation of the terms of supervised release while participating in the program release</p> <p>E. Number of participants who were reincarcerated while participating in the program</p>

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	<p>Recidivism rate for participants who successfully completed the program</p>	<p>A. Number of participants that successfully completed the program</p> <p>B. Number of participants who were rearrested and successfully completed the program</p> <p>C. Number of participants who were convicted and successfully completed the program</p> <p>D. Number of participants who had a revocation of the terms of supervised release and successfully completed the program</p> <p>E. Number of participants who were reincarcerated and successfully completed the program</p>
	<p>Recidivism rate for the participants unsuccessfully completed the program</p>	<p>A. Number of participants that unsuccessfully completed the program</p> <p>B. Number of participants who were rearrested and unsuccessfully completed the program</p> <p>C. Number of participants who were convicted and unsuccessfully completed the program</p> <p>D. Number of participants who had a revocation of the terms of supervised release and unsuccessfully completed the program</p> <p>E. Number of participants who were reincarcerated and unsuccessfully completed the program</p>

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. Please refer to the section “What an Application Should Include” on page 17 for additional information.

**Note on Project Evaluations**

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

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

## Notice of Post-Award FFATA Reporting Requirement

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

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

## 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; and Budget Detail Worksheet and Budget Narrative.

The Budget Detail Worksheet and Budget Narrative may be combined in one document. However, if only one document is submitted, it must contain **both** narrative and detail information. Applicants must include a Budget Summary Page.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “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, please select "For-Profit Organization" or "Small Business" (as applicable).
- Applicants should ensure that all information is correct, check spelling, and pay careful attention to the legal name, award amount, address, and the points of contact.
- Applicants should select the appropriate Point of Contact (POC) and the Authorized Representative (Note: These two contacts should not be the same individual).
  - 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.

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).

## 3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria (1-4) in the order given. The program narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must 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. Program 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 to BJA 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.

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

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

##### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. Budget summary page must be included. Applicants should utilize the following approved budget categories to label the requested expenditures:

- Personnel
- Fringe Benefits
- Travel, Equipment
- Supplies
- Consultants/Contracts
- Other Costs
- Indirect Costs

Applicants must show all computations. Your budget detail worksheet should provide itemized break downs of all costs. If the computations do not show a sufficient amount of detail or are incorrect, the budgets will be returned for corrections for applications selected for award.

The budget summary page must reflect the amounts in the budget categories as included in the budget detail worksheet. These amounts should mirror the amounts in the budget narrative.

Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings in Washington, DC.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [OJP Financial Guide](#).

##### 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 demonstrate 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 rate approval 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. Additional Attachments: Project Timeline, Position Descriptions, and Letters of Support/ Memoranda of Agreement**

Ensure that the following documents are completed and attached:

- Project Timeline with each project goal, related objective, activity, expected completion date, responsible person, or organization.
- Position Descriptions for key positions.
- Letters of Support/Memoranda of Understanding from all key partners, including employer(s) with technology-related employment opportunities in the geographic areas to which targeted participants are likely to return, detailing the commitment to work with the applicant to promote the mission of the project.

**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 subawarding 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 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 within the last 12 months for federally funded assistance that include requests for funding or 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.”).

## 7. 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 below after each individual criteria. For example, the first criteria, "Statement of the Problem," is worth 15 percent of the entire application in the review process.

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

- Clearly define the scope of the problem which the proposed project seeks to impact.
- Provide a clear statewide definition of recidivism and an explanation of how that rate is calculated on a regular basis and reported to policymakers periodically so that changes can be routinely and effectively tracked over time.
- Provide a description of the state's recidivism reduction strategy to date.
- Describe the state's current ability to target supervision and resources consistent with offenders' risk and need level.
- Describe the state's current ability to ensure supervision and service (housing, employment, treatment, education) quality, consistency, timing, and dosage are appropriate.
- Describe the geographic areas to which the highest concentration of released prisoners return.
- Provide information that clearly articulates evidence of an established historical baseline recidivism rate and how the applicant will document the capacity to continue to collect and maintain relevant data to track the recidivism rate according to the definition provided during the length of the project period and beyond.

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

- Clearly articulate the recidivism reduction goal established for this project.
- Describe the data sets required to be accessed during the planning project period.
- Address the Planning and Capacity Building criteria outlined on pages 6-7.
- Present a statewide strategic planning process, which will include development of a measurable, ambitious but realistic, goal for reducing recidivism statewide (e.g., reduce recidivism among parolees by 10 percent in 2 years). The comprehensive strategy should include recommended changes in policy and practice, and a work plan to implement those changes and build statewide support for them.
- Describe how a target population will be identified for service delivery and describe how services will be delivered
- Address all of the Mandatory Requirements as discussed on pages 4-6.

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

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the project coordinator.

- Demonstrate the executive leadership commitment to the development and adherence to a Statewide Recidivism Reduction Plan. Applicants should consider all agencies and major stakeholders necessary to plan and implement.
- 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.

#### **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 process for assessing the initiative’s effectiveness through the collection and reporting of the required performance metrics data (see “Performance Measures,” page 13).
- Identify goals and objectives for the strategic planning process, including development, implementation, and outcomes.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.
- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.
- Discuss how this effort will be integrated into the state justice system plans or commitments, how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.

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

Applicants should submit a budget 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>2</sup>

## **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. BJA reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in

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<sup>2</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.

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 strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.gov/funding/other\\_requirements.htm](http://www.ojp.gov/funding/other_requirements.htm).

- 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 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 to for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. 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 subrecipients. 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

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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 have already 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-2013-3627.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether OJP has received and validated the application, or rejected it, with an explanation. **Important:** OJP urges applicants to submit applications **at least 72 hours prior to the application due date** to allow time to receive the 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

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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 Justice Information Center (see page 1 for contact information) **within 24 hours after the deadline** and request approval to submit its application. The e-mail must describe the technical difficulties, and include a timeline of the applicant’s submission efforts, the complete grant application, the applicant DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approved requests. After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, BJA 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, BJA will reject the applications 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 all of the instructions 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, application submission process, and/or the application review/peer review process. Feedback can be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail 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 e-mail 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, e-mail your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback e-mail account cannot 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 has submitted an application.

# Application Checklist

## FY 2013 Second Chance Act Comprehensive Statewide Adult Recidivism Reduction Planning Program

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 \$100,000 for 12 months) (see page 10)

### What an Application Should Include:

- SF 424 Form (see page 18)
- Abstract\* (see page 18)
- Program Narrative \* (see page 18)
  - Statement of the Problem/Program
  - Project Design and Implementation
  - Capabilities/Competencies
  - Impact/Outcomes, Evaluation, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures
- Budget Detail Worksheet and Budget Narrative \* (see page 19)
- Disclosure of Lobbying Activities (SF-LLL) (see page 26)
- Indirect Cost Rate Agreement (if applicable) (see page 20)
- Additional Attachments (see page 20)
  - Project Timeline
  - Position Descriptions
  - Letters of Support
  - Applicant disclosure of pending applications
- Other Standard Forms including (as applicable) (see page 21)
  - Accounting System and Financial Capability Questionnaire

\* **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. The Budget Narrative and Budget Detail Worksheet may be combined into one document. For more information on these documents refer to page 17.

# 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 three to nine months post-release, 40%–70% 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?

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