



---

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA), is seeking applications for the Second Chance Act Smart Reentry Program. This program furthers the Department's mission by providing resources to states, units of local government, and federally recognized Indian tribal governments to plan and implement more effective and evidence-based reentry practices and service delivery systems that address individuals' needs and reduce recidivism.

## Smart Reentry: Focus on Evidence-based Strategies for Successful Reentry from Incarceration to Community FY 2016 Competitive Grant Announcement

**Applications Due: June 9, 2016**

### Eligibility

Eligible applicants are limited to state and local government agencies and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

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

**Note: Assessing the outcome of programs funded under the Second Chance Act is a major DOJ priority. Applicants should not apply for funding if they cannot track unique identifiers for participants, gain access to recidivism data, and report recidivism data, particularly returns to incarceration during the period 1 year after release. Chief executives from applicant organizations must sign and submit an assurance that all participant recidivism indicator data will be collected and submitted. Applications which do not include an assurance from the applicant agency's Chief Executive to collect and submit participant recidivism indicator data will not be considered.**

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 9, 2016.

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

For additional information, see [How To Apply](#) in Section D. Application and Submission Information.

## 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 email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](http://grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the BJA contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How To Apply](#) section.

For assistance with any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this announcement: BJA-2016-9207

Release date: April 11, 2016

# Contents

A. Program Description .....	4
Overview .....	4
Program-Specific Information .....	4
Goals, Objectives, and Deliverables .....	5
Evidence-Based Programs or Practices .....	12
B. Federal Award Information.....	13
Type of Award .....	14
Financial Management and System of Internal Controls.....	14
Budget Information .....	14
Cost Sharing or Matching Requirement.....	15
Pre-Agreement Cost (also known as Pre-award Cost) Approvals.....	16
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	16
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	17
Costs Associated with Language Assistance (if applicable).....	17
C. Eligibility Information.....	17
Limit on Number of Application Submissions.....	17
D. Application and Submission Information .....	18
What an Application Should Include .....	18
How To Apply.....	27
E. Application Review Information.....	30
Selection Criteria .....	30
Review Process.....	33
F. Federal Award Administration Information .....	34
Federal Award Notices .....	34
Administrative, National Policy, and other Legal Requirements.....	35
General Information about Post-Federal Award Reporting Requirements.....	36
G. Federal Awarding Agency Contact(s) .....	36
H. Other Information.....	36
Provide Feedback to OJP.....	36
Application Checklist .....	37
APPENDIX 1.....	39
APPENDIX 2.....	44

# Second Chance Act Smart Reentry Program (CFDA #16.812)

## A. Program Description

### Overview

At yearend 2014 there were over 2.2 million individuals incarcerated in state or federal prisons or held in local jails.<sup>1</sup> Approximately 95 percent of those incarcerated will be released and return to communities across the nation. A majority of these individuals have needs that, if unaddressed in prison, during the reentry process, and after release, will negatively impact their ability to live productive, prosocial, crime-free lives in the community. When individuals are released from prison, they face a myriad of challenges, including finding housing and employment, combating substance abuse, and addressing physical and mental health problems. Without community-based support, they are less likely to return back to their communities with the means to address these challenges, and thus may be more likely to recidivate.

While members of Native American tribes who are incarcerated possess similar needs, addressing them successfully can be particularly challenging because members of tribal communities return from federal, Bureau of Indian Affairs (BIA), state, local, and tribal facilities. In addition to the difficulties associated with the coordination of services for individuals returning from these diverse facilities, services to address the various needs of the formerly incarcerated often do not exist on tribal lands.

The Second Chance Act of 2007 (Pub. L. 110-199) helps to address these significant challenges by providing comprehensive responses to the significant number of incarcerated adults who are returning to communities from prison, jail, and juvenile residential facilities. Programs funded under the Second Chance Act help to promote public safety by ensuring that the transition individuals make from prison and jail to the community is successful.

Section 101 of the Second Chance Act authorizes federal awards to state and local governments and federally recognized Indian tribal governments that may be used for demonstration projects to promote the safe and successful reintegration into the community of individuals who have been incarcerated or detained. This program is funded under Department of Justice Appropriations Act, 2016 under the Second Chance Act appropriation (P.L. 114-113).

### Program-Specific Information

BJA's "[Smart Suite](#)" of programs invest in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies and interventions that are effective and economical. This data-driven approach enables jurisdictions to understand the full nature and extent of the crime challenges they are facing and to target resources to the highest priorities. The Smart Suite of programs, which includes the Smart Reentry Program<sup>2</sup>, represents a strategic approach that brings more "science" into criminal justice operations by leveraging innovative applications of analysis, technology, and evidence-based practices (EBPs) with the goal of improving performance and effectiveness while containing costs.

---

<sup>1</sup> Correctional Populations in the United States, 2014, Bureau of Justice Statistics.  
<http://www.bjs.gov/content/pub/pdf/cpus14.pdf>

<sup>2</sup> Formerly Second Chance Act Two-Phase Adult Reentry Demonstration

The Smart Suite assists criminal justice practitioners in building their capacity to develop research-based strategies and focus on program fidelity to increase chances of success. This requires practitioner agencies to partner with researchers using an “action research” approach to enhance the collection and review of data, which in turn can serve as a strong foundation for outcome evaluations of program interventions. In “action research,” researchers work closely with practitioners to most effectively address specific public safety/criminal justice related problems (e.g., high gun violence rate, poor police legitimacy). In addition, research partners work with the agency and/or consortium of partners to assess problems, identify underlying causes of these problems, identify effective strategies to address these problems (e.g., “theory of change”), implement data-driven strategies/programs to address these problems, conduct program assessments (e.g., process and/or outcome evaluations), and provide “real-time” feedback to enhance decision-making. Successful partnerships between practitioners and researchers require investments of planning, time, communication, complementary skills, and adequate resources.

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

The goal of this program is to support jurisdictions to develop and implement comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism for individuals reentering communities from incarceration who are at medium to high risk for recidivating. 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 (pre-release) and ends with his or her successful community reintegration and reduction in risk of recidivism (post-release).

This process should provide the individual with appropriate evidence-based services—including reentry planning that addresses individual criminogenic needs identified through information obtained from an empirically validated risk/needs assessment that also reflects the risk of recidivism for each individual. The reentry plan should reflect both specific and ongoing pre-release and post-release needs, and a strategy for ensuring that these needs are met throughout the duration of the reentry process.

Successful applicants under this solicitation will be required to work with a team that includes an action researcher to **complete** a planning phase for their projects and, after BJA approval, will be authorized to **begin** the implementation phase of the project. Up to 12 months of the total project period can be used to complete planning details, with the remaining months used for implementation of the project. The award period will be for a period of up to 36 months, with the possibility of no-cost extensions.

This program’s required deliverables are:

- A Planning and Implementation Guide that will serve as an action plan, comprising a problem analysis, logic model, summary of strategies and intended outcomes, and research base for proposed strategies. The action plan is envisioned as a product of collaboration among the applicant agency, research partner, and technical assistance provider. For more information about the required action plan, see page 16.
- Final analysis and report by the research partner.

### **Mandatory Project Components**

Applicants under this solicitation must address each of the following requirements:

1. Ability to track unique identifiers for participants, gain access to recidivism data, and report recidivism data, particularly returns to incarceration during the period 1 year after release.
2. Engagement of a research partner to assist with a) finalizing the strategic plan, b) collecting and analyzing data, c) finalizing the baseline recidivism rate, d) forecasting eligible program participant flow to ensure program utilization rates, e) monitoring and evaluating performance, and f) final analysis and report. The research partner can be an independent consultant, or located in an academic institution, a state Statistical Analysis Center, or a research organization. The research partner should have demonstrated expertise conducting the type of work proposed.
3. Provide a baseline recidivism rate for the proposed target population including documentation to support the development of the rate. All grantees will be required to provide a baseline recidivism rate upon award.

### **Mandatory Second Chance Act Requirements**

Section 101 of the Second Chance Act outlines the following Mandatory Requirements that must be included in an application to be eligible for funding for a comprehensive reentry program:

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.
2. A detailed reentry implementation schedule and sustainability plan for the program.
3. Documentation that reflects the establishment of, and ongoing engagement of, a Reentry Task Force composed of relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders.
4. The Task Force should examine ways to pool resources and funding streams and collect data and best practices in reentry from stakeholder agencies and organizations.
5. 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.) 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.
6. 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 collaborate during the planning and implementation of the reentry strategy. Provide for an independent evaluation of reentry programs that include, to the maximum extent possible, random assignment and controlled studies to determine the effectiveness of such programs.

7. 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.
8. A discussion of the role of state corrections departments, community corrections agencies, and local jail corrections systems in ensuring successful reentry in their communities. Applications must include letters of support from corrections officials responsible for facilities or individuals to be served through this project. (See "[What an Application Should Include](#).")
9. 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. (See "[What an Application Should Include](#).")
10. A description of the evidence-based methodology and outcome measures that will be used 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: Second Chance Act Grantees: What You Need to Know to Ensure Your Program is Built on Principles of Effective Practice. 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.
11. A description of how the project could be scaled up or broadly replicated if demonstrated to be effective.
12. A plan for the analysis of the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of individuals returning from incarceration 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 Inventory of Collateral Consequences of Conviction, which catalogs 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.

See the [Selection Criteria](#): Statement of the Problem for more information.

### **Allowable Uses for Award Funds: Planning Phase**

Although each of the Mandatory Requirements must be included in the application, BJA expects that some may be in the preliminary stages of development at the time of application. During the Planning Phase, applicants must demonstrate a commitment to establishing a robust reentry program. During this phase grantees will have access to up to \$150,000 of the grant award (see Section B, Amount and Length of Awards), will receive intensive technical assistance, and will be required to complete and submit a Planning and Implementation Guide, which will serve as an

action plan, provided by the BJA technical assistance provider—the [National Reentry Resource Center](#) (NRRC)—which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. During the planning phase the relationship with the research partner will be cemented, including a contract, memorandum of understanding, or other agreement that clearly delineates the role and responsibilities of the research partner. This document should establish the authority of the research partner to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative. Once Planning and Implementation Guides and research plans are submitted and approved by BJA, grantees will move into the Implementation Phase of their project and gain access to the remainder of their grant funds.

Allowable uses for award funds during the Planning Phase include the following:

- Support of a Reentry Task Force composed 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, implement best practices in reentry, and collect outcome data from stakeholder agencies and organizations. The Task Force should be the primary resource for development of a reentry strategic plan.
- Continue development of a reentry strategic plan that describes the long-term strategy, including measurable annual and 5-year performance outcomes, relating to the long-term goals of increasing public safety and reducing recidivism. The reentry strategic plan must:
  - Present a multidisciplinary, jurisdiction-wide reentry strategy to improve outcomes for individuals leaving prison or jail that incorporates the effective practices and policies outlined in Appendix 1.
  - Incorporate a detailed implementation schedule and sustainability plan for the reentry strategy.
  - Include discussion of the role of local governmental agencies, nonprofit organizations, and community stakeholders that will be coordinated by, and that will collaborate on, the offender reentry strategy of the applicant and its supporting evidence base, and certification of the involvement of such agencies and organizations.
  - Include extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing (including partnerships with public housing authorities), homeless services, child welfare, education, substance abuse, victims' services, and employment services, and with local law enforcement agencies.
  - Discuss the role of state corrections departments, community corrections agencies, local jails, and/or juvenile corrections systems in ensuring successful reentry of individuals returning from incarceration into their communities. Applications must include letters of support from corrections officials responsible for facilities or the individuals to be served through this project.
- Evaluate a jurisdiction's approach to contracting for services and assess whether or not contracts are achieving the most impact in their jurisdiction. Review contract terms and outcomes of contracted community reentry service providers. Collect and analyze data to help providers understand what outcomes they have realized. Address questions such as:
  - What data on service or needs inform the contracting process?
  - Do contracts target specific outcomes or populations based on that data?
  - Do contracts identify specific services (EBPs, for example)?

- Do contracts articulate evaluation metrics that can be tied to contract performance?
- Do contracts create a mechanism to communicate aggregate performance results across contractors?

### **Allowable Uses for Award Funds: Implementation Phase**

- **Target Criminogenic Needs that Affect Recidivism.** While individuals reentering the community have a variety of basic needs and mental health related needs, criminogenic needs are the dynamic risk factors mostly closely associated with the likelihood for future offending behavior. Criminogenic risk and needs factors include a history of anti-social behavior; anti-social personality pattern; anti-social cognition; anti-social associates; family and/or marital; school and/or work; leisure and/or recreation; and substance abuse. Individual needs in these domains are revealed by conducting an empirically validated criminogenic risk and needs assessment with an individual. Behavioral change is possible if individuals returning from incarceration 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 individuals.
- **Provide Sustained Case Planning/Management in the Community.** Reentry programs should ideally begin when the individual is first incarcerated and continue when the individual is released to the community. Since most individuals returning from incarceration are at the highest risk of re-arrest during the first few months after release, services should be most intensive at the time of release to 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 and is especially responsive to the individual's transition from incarceration to the community. Applicants are also strongly urged to indicate how information derived from the criminogenic risk and needs assessment will inform case management that aims to reduce risk of recidivism by focusing on mitigating criminogenic needs. Applicants are strongly urged to also link case management services to affordable and supportive housing for target populations where homelessness is a risk factor for recidivism.
- **Support a Comprehensive Range of Services for the Formerly Incarcerated.** Based on an individual's risk/needs assessment, applicants are encouraged to make available a comprehensive range of programs and a process for addressing the dosage needs of each individual returning from incarceration, including the following: treatment 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; substance abuse treatment (including alcohol abuse); housing, mental, and physical healthcare 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.
- **Provide Staff Training, Coaching, and Performance Evaluations on New Evidence-Based Practices Adopted.** Implemented reentry programs should also provide adequate staff training to appropriately use cognitive-behavioral interventions and strategies on the utilization of evidence-based programs and practices. Staff performance evaluations should contain items that reflect an expectation of fidelity to an evidence-based practice.
- **Resources for Civil Legal Aid.** Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. This guidance clarifies that 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. This excludes the payment of fines or penalties associated with a driver's license suspension or the payment of child support. For more information, go to [www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf](http://www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf).

- **Access to Health Benefits.** Develop and implement strategies to identify and enroll eligible, uninsured program participants in Medicaid, Social Security, Veterans Benefits or other insurance, and to connect them to treatment providers as appropriate. Plan and strategize for how expanded options for access to healthcare can enhance outcomes for individuals returning home from incarceration. Applicants can plan and implement strategies for expanded Medicaid eligibility, behavioral health parity, and connection to subsidized private health insurance options through the health insurance marketplace (also known as exchanges) to increase access, service use, and outcomes.
- **Develop Or Use An Existing Data System.** A data system should capture information that assists with tracking key indicators of staff, program, and individual progress. This data should be used to identify successes and areas of improvement to address barriers to staff, program, or individual progress.
- **Transitional Employment.** Funds can be used to support strategies and programs designed to improve the employability of individuals returning to the community by providing wage-paid work, job skills training, and supportive services to help individuals facing barriers to employment succeed in the workforce.
- **Improve Contracted Service Provision and Accountability.** Incorporate review of (contracted) service providers and implement changes in contracts to accurately reflect need, programs/practices (e.g. EBPs), and outcomes. This could include incorporating performance-based payments into existing or new reentry-related service contracts. Design service provision contracts that utilize evidence-based programs and ensure services yield actual reductions in recidivism. Provide training and technical assistance to providers to help them understand what works and how to translate those strategies into everyday practice. Implement changes in the contracting and evaluation processes, train contract monitors and related personnel, and expand data systems as necessary.

## Target Population

**The target population for the initiative must be a specific subset of medium- to high-risk individuals as identified using a validated assessment tool, and convicted as an adult and incarcerated in a state, local, or tribal prison or jail.** These individuals may include sex offenders, mentally ill individuals, or individuals dually diagnosed with major mental health disorders and alcohol or substance addictions, for participation in the funded program.

“High-risk offenders” are defined as individuals that score moderate to high risk based on a validated risk assessment tool. “Risk” is defined as the likelihood that a person will re-offend upon release from a facility. Applicants must identify the validated assessment tool used and the risk levels eligible for participation in the program.

Programs that target high-risk individuals who are experiencing or who are at risk of experiencing chronic homelessness will also be given strong consideration. This would include people who have been in jail or prison for 90 or fewer days, who 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.

Applicants are required to provide detailed information on the number of participants to be serviced through the project. For the purposes of this program, applicants are encouraged to provide services for a minimum of 75 individuals and with a majority of individuals served to be under community correctional supervision (parole or probation).

For federally recognized Indian tribes, the individuals may be housed in a tribal, regional, county, or local jail pursuant to state or tribal law.

Applicants must identify and define the specific subset of individuals, or combination of subsets, that are proposed to be the target population of their project. For example, jurisdictions may choose to specifically target individuals returning from incarceration who are:

- A specific demographic or set of demographics (age, gender, etc.).
- Focus on individuals returning to a jurisdiction (e.g., specific community, neighborhood, or ZIP code) where a disproportionate population of individuals will be released from prisons or jails.
- Housed in the same facility.

### **Target Population Data Collection**

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, if requested, in the format specified by OJP during this time period.

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.

**Note: All successful applicants will be expected to secure permission from all program participants to collect and report on administrative data pertaining to criminal status.**

### **Priority Considerations**

Priority consideration will be given to applicants who:

- Focus their initiative on geographic areas with a disproportionate population returning from prisons, jails, and juvenile facilities.
- Provide for an independent evaluation of reentry programs that include, to the maximum extent possible, random assignment and controlled studies to determine the effectiveness of such programs.
- Target medium- to high-risk young adults (24 years of age and younger), and incorporate a developmentally-responsive model that accounts for the ongoing brain development of young adults and its impacts on decision-making, impulse control, and psychosocial maturity.
- Demonstrate effective case assessment and management abilities to provide a comprehensive and continuous reentry process, including the following:
  - Using an actuarial-based assessment instrument for reentry planning that targets the

criminogenic needs of the individual that affect recidivism, and provide sustained case management and services during incarceration and for at least 6 months in the community.

- Pre-release planning and transition housing, connection to or placement into short-term and permanent housing, including permanent supportive housing, when appropriate.
- Establishing pre-release planning procedures to ensure that the eligibility of an individual for federal or state benefits is established before release and those individuals will obtain all necessary referrals for reentry services.
- Delivery of continuous and appropriate drug treatment, medical care, job training and placement, educational services, or any other service or support needed for successful reentry.
- Link grant-funded activities and services to affordable and supportive housing, leveraged through partnerships with nonprofit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care, particularly for those who are experiencing or at risk of chronic homelessness (see definitions). This would be people who have been in jail or prison for 90 or fewer days, who 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.
- Include input from nonprofit organizations, as relevant and appropriate, consultation with crime victims, and coordination with families of incarcerated individuals.

## **Applicant Resources**

### **National Reentry Resource Center (NRRC)**

BJA and the Office of Juvenile Justice and Delinquency Prevention (OJJDP) are also collaborating on the oversight of the [National Reentry Resource Center](#). The NRRC, funded by BJA, provides training and technical assistance to states, tribes, territories, local governments, service providers, nonprofit organizations, and correctional agencies and institutions working on reentry, including Second Chance Act grantees. The NRRC hosts a funding page that lists all reentry-related federal funding opportunities. All successful applicants will receive intensive technical assistance from the NRRC.

### **Evidence-Based Programs or Practices**

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. 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.
- 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. The [OJP CrimeSolutions.gov](http://OJP.CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

Collaborative partnerships between researchers and practitioners have great potential to improve practice and policy. The National Institute of Justice (NIJ) recently published findings of the Research-Practitioner Partnerships Study, which documents, synthesizes, and shares what makes partnerships between researchers and practitioners successful: "[Recommendations for Collaborating Successfully With Academic Researchers. Findings from the Researcher-Practitioner Partnerships Study \(RPPS\).](#)"

## B. Federal Award Information

### Amount and Length of Awards

BJA estimates that it will make up to 5 awards of up to \$1,000,000 each, including up to \$150,000 for the initial planning period of 12 months, and \$850,000 for an implementation period of 24 months, to begin on the date on which the planning period is concluded. The project period will begin on October 1, 2016.

In order to access the implementation portion of the award, grantees must successfully complete the planning process (up to \$150,000), as indicated by BJA's approval of a Planning and Implementation Guide completed by the grantee under the guidance of BJA's technical assistance provider, the National Reentry Resource Center. Once approved, grantees will gain access to the implementation award (\$850,000) and proceed into the implementation phase and complete project activities. The funding during the project period should support both applicant agency and research partner activities.

BJA may, in certain cases, provide supplemental funding in future years to awards under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

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

- **Category 1, Competition ID BJA-2016-9620:** Units or components of state government agencies serving adults.
- **Category 2, Competition ID BJA-2016-9621:** Units or components of county or local government agencies serving adults.
- **Category 3, Competition ID BJA-2016-9622:** Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adults.

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

### **Type of Award<sup>3</sup>**

BJA expects that it will make any award from this solicitation in the form of a grant.

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>4</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework,” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the recipient’s (and any subrecipient’s) compliance with statutes, regulations, and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the recipient (and any subrecipient) considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

### **Budget Information**

Applicants must budget funds to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff members to attend two meetings in Washington, D.C. All expenses must be reasonable, allowable, and necessary to the project.

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

In addition to the unallowable costs identified in the [2015 DOJ Grants 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

---

<sup>3</sup> See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

<sup>4</sup> For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

- Food and beverage

For questions pertaining to budget and examples of allowable and unallowable costs, see the [2015 DOJ Grants Financial Guide](#).

## Cost Sharing or Matching Requirement

### Match Requirement (cash or in-kind)

Federal funds awarded under this program may not cover more than 50 percent of the total costs of the project. Applicants must identify the source of the 50percent non-federal portion of the total project costs and how they will use match funds. If a successful applicant’s proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. (Match is restricted to the same uses of funds as allowed for the federal funds.) Applicants may satisfy this match requirement with either cash or in-kind services.

### 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. Detailed information must be provided with match waiver requests.

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

**Note:** The budget detail should distinguish cash from in-kind matched funds using an asterisk to show what percentage of the budget is cash. 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, and OJP approves the budget, the total match amount incorporated into the approved budget becomes 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 \$750,000, match would be calculated as follows:

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

### Award Special Condition – Withholding of Funds for BJA Planning and Implementation Guide

Once awarded, each grant award will have in place a special condition withholding all but \$150,000, which will allow grantees to establish an action plan within 180 days of receiving final approval of the project’s budget from the Office of the Chief Financial Officer (OCFO). The recipient

will not be authorized to obligate, expend, or draw down funds in excess of \$150,000 until BJA has reviewed and approved the action plan and a Grant Adjustment Notice has been issued and approved to remove the special condition. The action plan must include:

- A comprehensive project work plan based on a [Planning and Implementation \(P&I\) Guide](#) provided by BJA's technical assistance provider—the NRRC—which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. A completed P&I Guide will include:
  - Description of the problem and the data that led to its identification.
  - Logic model that identifies the solution(s) to be tested, intended outcomes, and evaluation metrics, including the research base for proposed strategies.
  - Evaluation plan, to include ongoing analysis, monitoring, and assessment of the overall project impact.
- A contract, memoranda of understanding, or other agreement that clearly delineates the role and responsibilities of the research partner. This document should establish the authority of the research partner to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative.
- Letters of commitment from external agencies or organizations that are expected to participate in the project, to the extent that letters have not already been provided.
- Demonstrate executive support and commitment of agency resources to the project.

For additional cost sharing or matching information, see the [Financial Guide](#).

### **Pre-Agreement Cost (also known as Pre-award Cost) Approvals**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [2015 DOJ Grants Financial Guide](#) for more 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.<sup>5</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid

---

<sup>5</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General 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.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on conference approval, planning, and reporting available at <http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

### **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 under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see title page.

For additional information on cost sharing or matching requirements, see Section [B. Federal Award Information](#).

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How To Apply](#).

## D. Application and Submission Information

### 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, and the Assurance to collect and submit participant recidivism indicator data. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How To Apply](#) to be sure applications are submitted in permitted formats.

*Please review the "Note on File Names and File Types" under [How To Apply](#) to be sure applications are submitted in permitted formats. OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Résumés") for all attachments. Also, OJP recommends that applicants include résumés 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 the OJP Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. The SF-424 should include the full amount requested for the entire project period.

- When selecting "type of applicant," if the applicant is a for-profit entity, 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.

### 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 the submission of reports. Make sure that the name, contact information, title, and salutation are correct.

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

## 2. Project 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 [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

All project abstracts should be clearly labeled, and include the following information:

- Legal name of the grant recipient and the title of the project.
- Funding category (state, locality, or tribe).
- Name of the research partner.
- Project purposes, goals, and deliverables.
- Program design elements, including the allowable uses of funds that will be incorporated into the project.
- Mandatory program components.
- Priority considerations.
- Projected number of participants to be serviced through the project and target population characteristics.
- Baseline recidivism rate.
- Name of the validated risk assessment tool used.

BJA requires the ability to copy and paste abstract text. **BJA strongly recommends submitting the abstract in a Word document format.**

**Permission to Share Project Abstract with the Public:** It is unlikely that BJA will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding unfunded applications, for example, through a listing on a web page 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 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 (a-e) 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 20 pages. Number pages “1 of 20,” “2 of 20,” 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 program narrative must respond to the solicitation and include sections a–e below, in order, as part of the program narrative. See “Selection Criteria” on page 30 for more information about what each section should include.

- 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

To demonstrate program progress and success, as well as 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. Post award, recipients will be required to submit quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT), located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). Applicants should review the complete list of Second Chance Act Smart Reentry Program performance measures at: [www.bjaperformancetools.org/help/scareentryquestionnaire.pdf](http://www.bjaperformancetools.org/help/scareentryquestionnaire.pdf).

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.

#### **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 Funding Resource Center](http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page (<http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm>). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

e. Impact/Outcomes, Evaluation, and 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/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.

Applicants must show all computations. The budget detail worksheet should provide itemized breakdowns of all costs. If the computations do not show a sufficient amount of detail or are incorrect, the budgets will be returned for corrections.

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 members to attend two meetings in Washington, D.C. All expenses must be reasonable, allowable, and necessary to the project. The estimates must provide a breakdown of all costs and adhere to the federal per diem.

For questions pertaining to budget and examples of allowable and unallowable costs, see the 2015 DOJ Grants Financial Guide at <http://ojp.gov/financialguide/DOJ/index.htm>.

See “Selection Criteria” on page 30 for more detail on what a budget for the Smart Reentry Program should include.

##### **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.

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [2015 DOJ Grants Financial Guide](#).

**d. Pre-Agreement Cost Approvals**

For information on pre-agreement costs, see Section [B. Federal Award Information](#).

**5. Assurance to Collect and Submit Recidivism Indicator Data**

Applications must include an Assurance signed by the applicant organization's chief executive (see the Appendix 2 for the Assurance form) that all participant recidivism indicator data will be collected and submitted at the end of the grant period. Applications that do not include this Assurance will not be considered. Inability or refusal to submit data after award may impact the organization's ability to receive future BJA competitive grant funding.

**6. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant is eligible to use and elects to use the "de minimis" indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

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. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [2015 DOJ Grants Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <http://ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the "de minimis" indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the "de minimis" rate) and its election. If the applicant elects the "de minimis" method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>6</sup>

---

<sup>6</sup> See 2 C.F.R. § 200.414(f).

## 7. 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, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or 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 unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, 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.

## 8. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

## 9. Additional Attachments

OJP strongly recommends that applicants use **appropriately descriptive filenames** (e.g., "Abstract," "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Disclosure of Pending Applications," and "Résumés") **for all attachments**. Also, OJP recommends that applicants include résumés in a single file. For better identification of application attachments during review, place the application number at the top of each application document.

- a. **Letter from Applicant Agency Executive** demonstrating agency commitment to the project and to the research partnership. (Note also that the Executive must also sign the

Assurance in Appendix 2 that aggregate recidivism indicator data will be submitted as required.)

- b. **Letter from the Research Partner** demonstrating commitment to the project.
- c. **Project Timeline** that includes each project goal, related objective activity, expected completion date, responsible person, or organization.
- d. **Position Descriptions** for key positions and **Résumés** for personnel in those positions, including Research Partner position(s).
- e. **Reentry Strategic Plan**
- f. **Letters of Support/ Memoranda of Agreement (MOA)** from all key partners, detailing the commitment to work with reentry initiative partners to promote the mission of the project. The Letter of Support from the lead organization responsible for the operational aspects of the project must include:
  - (1) Certification that the lead agency has consulted with other local parties, and
  - (2) The following statement: “The agency agrees to provide individual criminal history information for all participants to evaluators, unless prohibited by law. These data will be provided in response to periodic requests from the grantees and evaluator throughout the period of performance of this project to capture both criminal history prior to the program enrollment and subsequent recidivism.”
- g. **Applicant Disclosure of Pending Applications**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) 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 subaward 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/Email 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 to their application. The file should be named "Disclosure of Pending Applications."

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 on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) 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.").

**h. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal's other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
  - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of research and 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 part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse's work product

(actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential 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 specific project or a location implementing the project (whether funded by OJP or other sources), 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 or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an 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. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will 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 subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or 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. Financial Management and System of Internal Controls Questionnaire**

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, federal agencies must have in place a framework for evaluating the risks posed by applicants before

they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

## 11. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

### How To Apply

Applicants must register in and submit applications through Grants.gov, a primary source 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.

BJA strongly 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 updates will be automatically notified.

**Browser Information:** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

**Note on Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please ensure all required documents are attached in the mandatory category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
Hyphen ( - )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Space	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Period ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;#amp;” format.</b>		

Grants.gov is designed to forward successfully submitted applications to the OJP 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.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2, and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget (OMB) 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 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 is 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. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take up to 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

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 for organizations, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
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. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. 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 number for this solicitation is 16.812, titled Second Chance Act Reentry Initiative, and the funding opportunity number is BJA-2016-9207.
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. **Submit a valid 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 two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 9, 2016.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

#### **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 contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then the applicant must email the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The email must describe the technical difficulties, and

include a timeline of the applicant's submission efforts, the complete grant 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 OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, including firewalls, browser incompatibility, etc.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at <http://ojp.gov/funding/index.htm>.**

## E. Application Review Information

### Selection Criteria

The following six 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 criterion, "Statement of the Problem," is worth 15 percent of the entire application in the review process.

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

- Describe the problems with reentry to the community.
- Indicate the jurisdiction or tribal community to be served and include details on the target population, the number of adults to be served and returning to the community, and the number and offense type for adults in facilities.
- Summarize the basic components of the current reentry process in the jurisdiction, including:
  - How risk and need assessments are currently utilized to develop individualized transition/reentry plans.
  - Data collection and analysis methodology.
- 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 successful. If the applicant does not have a baseline recidivism rate for a historical sample of formerly incarcerated individuals **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for formerly incarcerated individuals that have been

released from a local prison or jail, **such as a facility or a systemwide 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. Project/Program Design and Implementation (35 percent)**

- Describe how the Planning Phase activities will be addressed, including the completion of the Planning and Implementation Guide.
- Describe in detail how the proposed project addresses the Mandatory Project Components and the Mandatory Second Chance Act Requirements specified on pages 5-7.
- Describe specifically which areas the proposed project will address (refer to the “Allowable Uses for Award Funds” section on pages 7-9).
- Use data to support the project design.
- Describe aspects of your initiative that fulfill one or more of the Priority Considerations listed on pages 11-12.
- Describe the roles and responsibilities of the research partner in the Smart Reentry Program and how they are integrated into the applicant’s proposed strategy. At minimum, the research partner should assist with: a) finalizing the strategic plan, b) collecting and analyzing data, c) finalizing the baseline recidivism rate, d) forecasting eligible program participant flow to ensure program utilization rates, and e) monitoring and evaluating performance, as well as preparing a final report that thoroughly assesses the results of the project.
- Provide a description of both the pre- **and** post-release services to be provided for every program participant.
- Indicate the number of people (reentrants) who would receive services over the length of the project period if this proposal is funded. If awarded funds, grantee performance will be measured against this number.
  - 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.

## **3. Capabilities and Competencies (25 percent)**

- 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 effectively, including gathering and analyzing data, engaging and collaborating with partners, developing and implementing a plan and troubleshooting implementation problems, and working with research partners to evaluate a project.

Describe and provide evidence of the types and quality of data sources available to the agency to conduct appropriate analysis.

- Describe the qualifications of the Smart Reentry Program research partner and the prior experience of the researcher with “action research,” including prior work with probation or parole agencies and other criminal justice partners. Candidates should be experienced in several different data collection and analytic methods. It is preferable that they have several years of evaluation research experience. Specifically, the application should include the proposed research partner’s experience completing the following activities as a member of a task force or implementation team:
  - Developing a “theory of change”
  - Developing logic models
  - Collecting and analyzing criminal justice and public safety data
  - Using data to identify criminal justice and public safety related problems
  - Working through barriers to research-driven problem solving
  - Identifying and proposing proven strategies/interventions to address problems
  - Documenting program operations and processes
  - Measuring program outcomes
  - Using data to determine program effectiveness
  - Assessing implementation fidelity
  - Presenting findings and conclusions both orally and in written form to a task force/implementation team
  - Making recommendations for program improvement
  - Developing "real-time" products and resources for strategic decision-making
  - Working with the team to develop a sustainability plan
  - Communicating with a wide variety of public sector, private, and community individuals – for example, prosecutors, law enforcement leadership and line officers, community members, clergy representatives, funding agency representatives, legislators, city council members, and even offenders are some of the individuals research partners may be called upon to present their evaluation findings, conclusions, and recommendations

**4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5 percent)**

- Describe the process for assessing the project’s effectiveness through the collection and reporting of the required performance metrics data (see “Performance Measures,” page 20), including who will be responsible and how data will be collected.
- List any additional performance metrics that will be used to assess the project’s effectiveness and the process for collecting the information, including who will be responsible and how data will be collected.

**5. Impact/Outcomes, Evaluation, Sustainability (10 percent)**

- Identify goals and objectives for program development, implementation, and outcomes.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented. BJA expects that, with assistance from the research partner, grantees should be able to report timely, complete, and accurate

data in the required grant reports.

- Describe the strategy/methodology for tracking participant unique identifiers, gaining access to recidivism data, and reporting this data to BJA.
- Describe the strategy/methodology for assessing the ability of the program to assess participant risk level and criminogenic needs and to track that the responsiveness and dosage of services provided is individualized and attendant to the risk/needs of participants.
- Discuss how this effort will be integrated into the state and local 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.

## **6. Budget (10 percent)**

- 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>7</sup>
- Include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment. There is no minimum or maximum requirement regarding what constitutes an appropriate percent; however, the budget designated should be adequate to fund the activities outlined in the application. The Budget Narrative should explain how the amount dedicated to these activities is adequate to support the proposed activities.
- The budget must indicate how the 50 percent federal funds and the 50 percent match will be allocated in the overall budget.
- Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff members to attend two meetings in Washington, D.C., to include representatives from the community supervision agency and the research partner.

## **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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although

---

<sup>7</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.

program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the System for Award Management (SAM).

For a list of critical elements, see [What an Application Should Include](#) under [Section D. Application and Submission Information](#).

BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. 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, although their views are considered carefully. 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 under prior BJA and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the [2015 DOJ Grants Financial Guide](#)
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those 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, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification

includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

### **Administrative, National Policy, and other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ, or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>8</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

---

<sup>8</sup> See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 [FFATA]).

### **General Information about Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative, or administrative obligations of the recipient or the program.

### **G. Federal Awarding Agency Contact(s)**

For Federal Awarding Agency Contact(s), see title page.

For contact information for Grants.gov, see title page.

### **H. Other Information**

#### **Provide Feedback to OJP**

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. Provide feedback 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 résumé to [ojpeerreview@lmsolas.com](mailto:ojpeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your résumé. **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 2016 Smart Reentry: Focus on Evidence-based Strategies for Successful Reentry from Incarceration to Community**

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

**What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 28)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 28)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 29)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 29)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 29)
- \_\_\_\_\_ Select the correct Competition ID (see page 29)
- \_\_\_\_\_ Download Funding Opportunity and Application Package
- \_\_\_\_\_ Sign up for Grants.gov email notifications (optional) (see page 27)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm)

*After application submission, receive Grants.gov email notifications that:*

- \_\_\_\_\_ (1) application has been received,
- \_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 29)

*If no Grants.gov receipt, and validation or error notifications are received:*

- \_\_\_\_\_ contact the NCJRS Response Center regarding experiencing technical difficulties (see page 29)

**General Requirements:**

- \_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

**Scope Requirement:**

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$1,000,000.

**Eligibility Requirement:** Eligible applicants are limited to state and local government agencies and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

## What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 18)
- \_\_\_\_\_ Project Abstract (see page 19)
- \_\_\_\_\_ \*Program Narrative (see page 20)
- \_\_\_\_\_ \*Budget Detail Worksheet and Budget Narrative (see page 21)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 22)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 23)
- \_\_\_\_\_ \*Assurance to Collect and Submit Recidivism Indicator Data (see page 22)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 23)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Letter from Applicant Agency Executive (see page 23)
  - \_\_\_\_\_ Letter from Research Partner (see page 24)
  - \_\_\_\_\_ Project Timeline (see page 24)
  - \_\_\_\_\_ Position Descriptions and Résumés (see page 24)
  - \_\_\_\_\_ Letters of Support/ Memoranda of Agreement (see page 24)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 24)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 25)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 26)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 27)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable, see page 16)

**\*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

## Second Chance Act Grantees: What You Need to Know to Ensure Your Program Is Built on Principles of Effective Practice

### 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 justice-involved individuals—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, 2010). The levels of supervision and services for individuals must be matched to individual risk and need.
- 2) Enhance Intrinsic Motivation:** Staff must be able to relate to individuals in interpersonally sensitive and constructive ways in order to enhance intrinsic motivation. Research findings suggest that motivational interviewing or other cognitive-behavioral communication techniques can effectively enhance a person's desire to initiate and maintain behavior changes (Miller and Rollnick, 2002; Miller and Mount, 2001).
- 3) Target Higher-Risk Individuals:** Prioritize primary supervision and treatment resources for individuals 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 individuals 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 people in the low-risk categories. Maximum benefit is gained only when intervention resources are directed to moderate- and high-risk individuals.
- 4) Address Individuals' 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 individual 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 an individual'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. (Andrews and Bonta, 2010)
- 6) Determine Dosage and Intensity of Services:** Higher-risk individuals require significantly more structure and services than lower-risk individuals. High-risk individuals should receive a minimum of 300 hours of cognitive-based interventions, moderate-risk individuals should receive a minimum of 200 hours, and low-risk individuals 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 individuals' free time needs to be occupied with delineated routine and

appropriate services (Bourgon and Armstrong, 2006; Latessa, 2004; Gendreau and Goggin, 1995).

### **Important Considerations from the Research:**

- Correctional staff members need to work with justice-involved persons to ensure they have the tools needed for success in the community.
- Correctional and community staff members must understand the importance of working with ***moderate- and high-risk*** individuals rather than low-risk individuals 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 have funded through your Second Chance grant, or you are proposing to fund through your Second Chance grant application?
- 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 individual?
- 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 individual receives in the community?
- How are supervision and treatment resources prioritized for moderate and high risk individuals?
- Are your interventions cognitive-behavioral based?
- Have staff members been trained to appropriately use cognitive-behavioral interventions and strategies?
- What data is collected about individuals reentering communities?
- 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 (2010). *The psychology of criminal conduct*, fifth edition. New Providence, NJ: Matthew Bender & Company, Inc.
- Blandford, Alex and Fred Osher. *Guidelines for the Successful Transition of People with Behavioral Health Disorders from Jail and Prison*. New York: Council of State Governments Justice Center, 2013. <http://csgjusticecenter.org/wp-content/uploads/2013/12/Guidelines-for-Successful-Transition.pdf>.
- Bourgon, G., and B. Armstrong (2006). Transferring the Principles of Effective Treatment into a “Real World” Setting. *Criminal Justice*, 32(1), 3-25.
- Carey, Mark. *Effective Case Management*. Silver Spring, MD: Center for Effective Public Policy, 2010.
- Carter, Madeline M. *The Importance of Data and Information in Achieving Successful Criminal Justice Outcomes*. Silver Spring, MD: Center for Effective Public Policy, 2006. <http://collaborativejustice.org/docs/Collaboration%20Data%20Monograph.pdf>.
- Carter, Madeline M. *Engaging in Collaborative Partnerships to Support Reentry*. Silver Spring, MD: Center for Effective Public Policy, 2010.
- Charlier, Jac and Maureen McDonnell. *Sustainability for Publicly-Funded Behavioral Health and Justice Grant Programs*. Delmar, NY: SAMHSA’s GAINS Center for Behavioral Health and Justice Transformation, 2012.
- The Council of State Governments Justice Center. *Reducing Recidivism: States Deliver Results*. New York: The Council of State Governments Justice Center, 2014. [http://csgjusticecenter.org/wp-content/uploads/2014/06/ReducingRecidivism\\_StatesDeliverResults.pdf](http://csgjusticecenter.org/wp-content/uploads/2014/06/ReducingRecidivism_StatesDeliverResults.pdf).
- Crime and Justice Institute at Community Resources for Justice. *Implementing Evidence-Based Policy and Practice in Community Corrections*, 2<sup>nd</sup> ed. Washington, DC: National Institute of Corrections, 2009. <http://static.nicic.gov/Library/024107.pdf>.
- Cushman, Robert C. *Guidelines for Developing a Criminal Justice Coordinating Committee*. Washington, DC: National Institute of Corrections, 2002. <https://s3.amazonaws.com/static.nicic.gov/Library/017232.pdf>.
- Desmarais, Sarah L. and Jay P. Singh. *Risk Assessment Instruments Validated and Implemented in Correctional Settings in the United States*. New York: Council of State Governments Justice Center, 2013. <http://csgjusticecenter.org/reentry/publications/risk-assessment-instruments-validated-and-implemented-in-correctional-settings-in-the-united-states/>.
- 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 Jersey.
- Jones, Michael R. *Keeping Your Criminal Justice Coordinating Committee Going Strong*.

Washington, DC: National Institute of Corrections, 2013. <http://www.pretrial.org/download/pji-reports/Keeping%20Your%20CJCC%20Going%20Strong%20-%20Jones%202013.pdf>.

Joplin, Lore. Mapping the Criminal Justice System to Connect Justice-Involved Individuals with Treatment and Health Care under the Affordable Care Act. Washington, DC: National Institute of Corrections, 2014. <https://s3.amazonaws.com/static.nicic.gov/Library/028222.pdf>.

Lampkin, Linda M. and Harry P. Hatry. *Key Steps in Outcome Management*. Washington, DC: The Urban Institute, 2003. <http://www.urban.org/sites/default/files/alfresco/publication-pdfs/310776-Key-Steps-in-Outcome-Management.PDF>.

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

Miller, W. and S. Rollnick (2002). *Motivational Interviewing: Preparing people for change*. New York, NY: Guilford Press. BJA-2015-4110

Morley, Elaine and Linda M. Lampkin. *Using Outcome Information: Making Data Pay Off*. Washington, DC: The Urban Institute, 2004. <http://www.urban.org/sites/default/files/alfresco/publication-pdfs/311040-Using-Outcome-Information.PDF>.

Rotter, Merrill and W. Amory Carr. *Reducing Criminal Recidivism for Justice-Involved Persons with Mental Illness: Risk/Needs/Responsivity and Cognitive-Behavioral Interventions*. Delmar, NY: SAMHSA's GAINS Center for Behavioral Health and Justice Transformation, 2013.

U.S. Department of Commerce, U.S. Department of Education, U.S. Department of Health and Human Services, and U.S. Department of Labor. *What Works in Job Training: A Synthesis of the Evidence*. Washington, DC: 2014. <http://www.dol.gov/asp/evaluation/jdt/jdt.pdf>.

Andrews, D.A., and J. Bonta (2010). *The psychology of criminal conduct, fifth edition*. New Providence, NJ: Matthew Bender & Company, Inc.

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

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

## APPENDIX 2

### Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

I hereby assure that, if awarded grant funds under Second Chance Act Smart Reentry Program, my organization will collect unique identifiers and recidivism indicator performance data for each program participant, and will aggregate all such data and submit it via the Bureau of Justice Assistance Performance Measurement Tool as required upon grant closeout. I understand that the inability or refusal to submit such data after an award is made may impact my organization's ability to receive future Bureau of Justice Assistance competitive grant funding.

---

Signature

---

Title

---

Date