

**U.S. Department of Justice**  
Office of Justice Programs  
*Bureau of Justice Assistance*



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for 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 2017 Competitive Grant Announcement**

**Applications Due: March 14, 2017**

### **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).

**Note: Assessing the outcome of programs funded under the Second Chance Act is a 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 one 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 that do not include an assurance from the applicant agency's Chief Executive to collect and submit participant recidivism indicator data will not be considered.**

BJA welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").<sup>1</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient ("subgrantee") in more than one application.

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<sup>1</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

BJA may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

## Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on March 14, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP encourages all applicants 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](#) Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any unforeseen Grants.gov technical issues beyond an applicant's control that prevent it from submitting its application by the deadline, or 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 solicitation: BJA-2017-11541

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# 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>2</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 incarceration, they face a myriad of challenges, including finding housing and employment, combating substance use, 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 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.

**Statutory Authority:** 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.

### 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, 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. 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

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<sup>2</sup> Correctional Populations in the United States, 2014, Bureau of Justice Statistics.  
<http://www.bjs.gov/content/pub/pdf/cpus14.pdf>

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 recidivism rates, 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 the Smart Reentry 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 as a team that includes practitioners and an action researcher<sup>3</sup> 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 to complete program evaluations.

This program’s required deliverables are:

- A Planning and Implementation Guide that will serve as a research and action plan, comprising a problem analysis, logic model, summary of strategies and intended outcomes, the research base for proposed strategies, and the type and details of the research/evaluation to be conducted. It is envisioned as a product of collaboration among the applicant agency, research partner, and technical assistance provider. For more information about the required plan, see page 17.
- Final analysis and report by the research partner.

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<sup>3</sup> Action research is a process of uncovering solutions through progressive problem-solving activities. The outcome is intended to improve practices and address issues.

## **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 one year after release.
2. Collaboration with a research partner that understands the utilization of action research, to coordinate 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. Use of a risk and needs assessment in the prerelease phase to inform participant selection and for program matching and service/supervision dosage post-release.
4. Use of evidence-based, cognitive-based programming pre- and post-release to address the risk and criminogenic needs of the medium- to high-risk target population.
5. 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.
6. A description of both the pre- **and** post-release services to be provided for every program participant.

## **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 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. BJA recommends the task force include a representative of the formerly incarcerated community.
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 use, 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 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 and Implementation**

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](#)), 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 (research and action 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: Planning Phase**

- 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 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 use, 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 most 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 align their systems so that reentrants receive 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. Grantees should use consistent pre- and post-release case management and supervision that is sustained over a period of at least six months and is especially responsive to the individual's transition from incarceration to the community. Applicants should indicate how information derived from the criminogenic risk and needs assessment will inform case management that aims to reduce the risk of recidivism by focusing on mitigating criminogenic needs. Applicants should 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 use treatment (including alcohol); 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 peer support; 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 evidence-based practice.
- **Resources for Civil Legal Aid.** Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. Second Chance Act funds may be used for referrals 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, who were convicted as adults and incarcerated in state, local, or tribal prisons or jails.** The target population may include individuals convicted of sex crimes, 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” is 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.).
- 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:
  - An actuarial-based assessment instrument for reentry planning that targets the criminogenic needs of the individual that affect recidivism and provides sustained case management and services during incarceration and for at least six months in the community.
  - Pre-release planning and transition housing, with connection to or placement into short-term and permanent housing, including permanent supportive housing, when appropriate.
  - 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.
  - 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 individuals who are released from prisons, jails, and juvenile facilities, 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.

The Goals, Objectives, and Deliverables are directly related to the performance measures set out in the table in [Section D. Application and Submission Information](#), under "Program Narrative."

### **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://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.

## **B. Federal Award Information**

BJA expects to make up to five awards of up to \$1,000,000 each, for a 36-month period of performance, including up to \$150,000 for the initial planning period of up to 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 period of performance will begin on October 1, 2017.

In order to access the implementation portion of the award, grantees must successfully complete the planning process, as indicated by BJA's approval of a Planning and Implementation Guide and a Research Plan completed by the grantee and research partner under the guidance of BJA's technical assistance provider, the National Reentry Resource Center. Once approved, grantees will gain access to the implementation portion of the 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 additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and 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-2017-11542:** Units or components of state government agencies serving adults.
- **Category 2, Competition ID BJA-2017-11543:** Units or components of county or local government agencies serving adults.
- **Category 3, Competition ID BJA-2017-11544:** 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**

BJA expects that any award under this solicitation will be made in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>4</sup>) must, as described in the Part 200 Uniform Requirements<sup>5</sup> as 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 (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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<sup>4</sup> For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to a subrecipient (“subgrantee”) to carry out part of the funded award or program.

<sup>5</sup> The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ 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 three 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
- 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 Match Requirement (cash or in-kind)**

Federal funds awarded under this solicitation may not cover more than 50 percent of the total costs of the project. An applicant must identify the source of the 50 percent non-federal portion<sup>6</sup> of the total project costs and how it 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" funds may be used only for purposes that would be allowable for the federal funds.) Recipients may satisfy this match requirement with either cash or in-kind services. See the [DOJ Grants Financial Guide](#) for examples of "in-kind" services. The formula for calculating the 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:** 50% match requirement: for a federal award amount of \$1,000,000, calculate match as follows:

$$\frac{\$1,000,000}{50\%} = \$2,000,000 \qquad 50\% \times \$2,000,000 = \$1,000,000 \text{ match}$$

### **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

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<sup>6</sup> Indian tribes and tribal organizations that otherwise are eligible for an award may be able to apply certain types of funds received from the federal government (for example, certain funds received under an Indian "self-determination contract") to satisfy all or part of a required "non-federal" match.

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.

For additional information on cost sharing and match, see the [DOJ Grants Financial Guide](#).

#### **Award Special Condition – Withholding of Funds for BJA Planning and Implementation Guide (Action and Research Plan)**

Once awarded, each grant award will have in place a special condition withholding all but \$150,000, which will allow grantees to complete, submit, and receive approval on a Planning and Implementation Guide and a Research Plan within 12 months 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 Planning and Implementation Guide and a Research Plan and a Grant Adjustment Notice has been issued and approved to remove the special condition. The action plan must include:

- [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 Planning and Implementation 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.
  - Research/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.

#### **Pre-Agreement Costs (also known as Pre-award Costs)**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal 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. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [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, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the 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>7</sup> The 2017 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 with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation 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, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

[www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.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, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

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<sup>7</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

### **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 "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see the title page.

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

## **D. Application and Submission Information**

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

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Abstract, Program Narrative, Budget Detail Worksheet, Budget Narrative, and the Assurance to collect and submit participant recidivism indicator data. An applicant 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](#) (below) 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. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable). The SF-424 must include the amount requested for the entire 36-month project period.

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for "Legal Name" should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP's financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501C3, etc.) to confirm the legal name, address, and EIN entered into the SF-424.

### **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 solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response 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 (such as 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 OJP 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 applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure 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 following sections should be included as part of the program narrative<sup>8</sup>:

- a. Statement of the Problem

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<sup>8</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in [Section A. Program Description](#). 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. The application should describe the applicant's plan for collection of all of the performance measure data.

- e. Impact/Outcomes, Evaluation, and Sustainment.

#### **Note on Project Evaluations**

An applicant that proposes to use award funds 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." Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 ("Protection of Human Subjects").

Research, for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the "Research and the protection of human subjects" section of the "[Requirements related to Research](#)" web page of the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017," available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical

component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

#### **4. Budget and Associated Documentation**

##### **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). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

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. 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 [DOJ Grants Financial Guide](#).

##### **b. Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

##### **c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the

federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a "subaward" or is instead a procurement "contract" under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

## **1. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

## **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for

purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement “contract” that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

#### **d. Pre-Agreement Costs**

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

### **5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (that is, unexpired), federally-approved indirect cost rate; or
- (b) The recipient 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).

An applicant with a current (that is, unexpired) federally-approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally-approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 1-800-458-0786 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://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect

or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the "de minimis" rate.)

#### **6. Tribal Authorizing Resolution (if applicable)**

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award 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 award. 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.

#### **7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

**Every** applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated "high risk" by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.
- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered "high risk" by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

#### **8. Disclosure of Lobbying Activities**

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for

lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## 9. Additional Attachments

- 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. **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.
- h. **Applicant Disclosure of Pending Applications**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) 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.

Each applicant that has one or more pending applications as described above is 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 federal or State funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/ Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ 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

Each applicant should include the table as a separate attachment to its application. The file should be named "Disclosure of Pending Applications." The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: "[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of in this application."

**i. Research and Evaluation Independence and Integrity**

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest – whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified – including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients – that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are 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 would not be given an award 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), because the organization in such an instance might 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, each applicant is to address 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 actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of

performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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.

### **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**, which operates 24 hours a day, 7 days a week, except on 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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP 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 that all required documents are attached in either Grants.gov category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully submitted applications to the OJP Grants Management System (GMS).

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>Applicants must use the “&amp;” format in place of the ampersand (&amp;) when using XML format for documents.</b>		

**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:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2, and 4.)

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and

subrecipients. It will be used throughout the life cycle of an OJP award. 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 certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application 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 as long as 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. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, 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 ("CFDA") number for this solicitation is 16.812, titled Second Chance Act Reentry Initiative, and the funding opportunity number is BJA-2017-11541.
- 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. The second will state whether the application has been validated and successfully submitted, or whether it has been 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 an application well ahead

of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **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. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on March 14, 2017.

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

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

#### **Experiencing Unforeseen Grants.gov Technical Issues**

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its 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. The applicant must email the BJA contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify 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 untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are 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, such as issues with firewalls or browser incompatibility.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) web page.**

## E. Application Review Information

### Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review 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/Description of the Issue (15%)

- 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 who will be 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 Design and Implementation (35%)

- 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 6-7.
- Describe specifically which areas the proposed project will address (refer to the "Allowable Uses for Award Funds" section on pages 8-10).
- Use data to support the project design.

- Describe aspects of your initiative that fulfill one or more of the Priority Considerations listed on page 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 six 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 six months.

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

- 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 people who have formerly been incarcerated – to present their evaluation findings, conclusions, and recommendations

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

- Describe the process for assessing the project’s effectiveness through the collection and reporting of the required performance metrics data (see “Performance Measures,” page 21), 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. Budget: (10%)**

- 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>9</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.

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<sup>9</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.

- 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 three meetings in Washington, D.C., to include representatives from the community supervision agency and the research partner.

## **6. Impact/Outcomes, Evaluation, Sustainability (10%)**

- 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.

### **Review Process**

OJP is committed to ensuring a fair and open process for making awards. 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 an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP 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.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination,

to assess applications on technical merit using the solicitation's review 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. Peer reviewers' ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIS").

**Important note on FAPIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as --

1. Applicant financial stability and fiscal integrity.
2. Quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide.
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies.
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

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 take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

## F. Federal Award Administration Information

### Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications 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 steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires 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 OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)," available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

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

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically 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 or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP website at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any recipient, post award, to provide the data listed or linked under "Plan for Collecting the Data Required for this Solicitation's Performance Measures" in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

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 OJP contact(s), see the title page.

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

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly fall within the scope of the Privacy Act or one of the statutory

exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

**Application Checklist**  
**FY 2017 Smart Reentry: Focus on Evidence-based Strategies for Successful Reentry  
from Incarceration to Community**

This application checklist has been created as an aid in developing an application.

**The elements preceded by asterisks in the “What an Application Should Include” section 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.**

**What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 30)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 31)

*To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 31)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 31)

*To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 31)
- \_\_\_\_\_ Select the correct Competition ID (see page 31)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 31)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 29)
- \_\_\_\_\_ 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) (see page 17)

*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 31)

If No Grants.gov Receipt, and Validation or Error Notifications are Received:

- \_\_\_\_\_ contact NCJRS regarding experiencing technical difficulties (see page 32)

**Overview of Post-Award Legal Requirements:**

- \_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" 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 19)
_____	*Project Abstract	(see page 19)
_____	*Program Narrative	(see page 20)
_____	*Budget Detail Worksheet and Budget Narrative	(see page 22)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 24)
_____	Tribal Authorizing Resolution (if applicable)	(see page 25)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 25)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 25)
_____	Additional Attachments	
_____	Letter from Applicant Agency Executive	(see page 26)
_____	Letter from Research Partner	(see page 26)
_____	Project Timeline	(see page 26)
_____	Position Descriptions and Résumés	(see page 26)
_____	Reentry Strategic Plan	(see page 26)
_____	Letters of Support/Memoranda of Agreement	(see page 26)
_____	*Assurance to Collect and Submit Recidivism Indicator Data	(see page 26)
_____	Applicant Disclosure of Pending Applications	(see page 26)
_____	Research and Evaluation Independence and Integrity	(see page 27)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 17)

\*Note: These elements are the basic minimum requirements for applications. Applications that do not include these elements shall not be forwarded for 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 to 70 percent 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?

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## APPENDIX 2

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

I hereby assure that, if awarded grant funds under the 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.

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Signature

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Title

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Date