

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP) [Bureau of Justice Assistance](#) (BJA) is seeking applications under the Second Chance Act from units of local government and Indian tribal governments to assess and develop the capacity for reentry systems improvement. This program furthers the Department's mission, by providing resources to develop and implement strategic plans for systems change efforts that result in evidence-based reentry practices and procedures that result in improved public safety including lower crime and reduced recidivism.

Innovations in Reentry Initiative: Reducing Recidivism Through Systems Improvement

Applications Due: June 25, 2018

Eligibility

Eligible applicants are units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior):

Category 1, Competition ID BJA-2018-14341: Units or components of county or local government agencies serving adults.

Category 2, Competition ID BJA-2018-14342: Units or components of federally recognized Indian tribes and Alaska Native tribes serving adults.

Note: Assessing the outcomes of programs funded under the Second Chance Act is a BJA priority. Applicants for this program should be able to track unique identifiers for participants, gain access to recidivism data, and report recidivism data, particularly returns to incarceration during the period 1 year after release. 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 sub recipients (subgrantees).¹ The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program.

¹ 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 Fiscal Year (FY) 2018 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 at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on June 25, 2018.

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, 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, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at 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** 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; 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-2018-13631

Release date: May 24, 2018

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Innovations In Reentry Initiative: Reducing Recidivism Through Systems Improvement

CFDA # 16.812

A. Program Description

Overview

The purpose of the FY 2018 Innovations in Reentry Initiative (IRI): Reducing Recidivism Through Systems Improvement is to provide local jurisdictions and Indian tribes with the resources and training and technical assistance (TTA) necessary to identify assets and gaps in their local reentry systems and to develop capacity and partnerships with other justice agencies to provide services that prevent recidivism, reduce crime, and improve public safety in their jurisdictions.

Statutory Authority: Awards under this solicitation are authorized pursuant to Section 101 of the Second Chance Act, codified at 34 U.S.C. § 10631. Additional authority for awards under this solicitation is provided by the Consolidated Appropriations Act, 2018, 132 Stat. 348, 421.

Program-specific Information

At year-end 2016, there were over 2.1 million individuals incarcerated in state or federal prisons or held in local jails.² 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 and jail, and after release, may negatively impact their ability to live productive, crime-free lives, thereby impacting the safety of communities nationwide. IRI seeks to improve the capacity and effectiveness of local and tribal jurisdictions to increase the success of offenders returning to their communities from incarceration.

IRI is part of BJA's Innovations in Public Safety portfolio, also known as the "Innovations Suite." The Innovations Suite of programs invests in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies that are effective and economical.³ This data-driven approach enables jurisdictions to understand the full nature and extent of the crime challenges they face and to direct resources to the highest priorities. Successful partnerships between practitioners and researchers require investments of planning, time, communication, complementary skills, and adequate resources.⁴

Objectives and Deliverables

The overall objective of the IRI is to support the development and implementation of comprehensive and collaborative reentry strategies to reduce recidivism among reentering offenders who are at medium to high risk for recidivating and to improve public safety. Within the context of this initiative, "reentry" is not a specific program, but rather a process that begins

² Correctional Populations in the United States, 2016, Bureau of Justice Statistics, <https://www.bjs.gov/content/pub/pdf/cpus16.pdf>

³ For more information about the Innovations Suite of programs, see: <https://www.bja.gov/Programs/CRPPE/>.

⁴ For guidance about identifying and working with a research partner, see: <http://www.psnmsu.com/documents/ResearchPartnerQ&A.pdf>

when the offender is incarcerated (pre-release) and ends with his or her reintegration into the community (post-release).

This process should provide the offender with appropriate evidence-based services, including reentry planning, that address individual criminogenic needs identified through empirically validated risk and needs assessments. Results from these assessments should also reflect the risk of recidivism for each individual. The reentry plan should reflect specific and ongoing pre-release and post-release needs, and a strategy for ensuring that these needs can be met throughout the duration of the reentry process.

Mandatory Second Chance Act Requirements

Section 101 of the Second Chance Act outlines the following Mandatory Requirements that must be satisfied by an applicant in order to be eligible for an Innovations in Reentry Initiative award:

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 objectives of increasing public safety and reducing recidivism. A specific objective of the plan should be a 50 percent reduction in the rate of recidivism over a 5-year period for offenders served by a program funded through the Innovations in Reentry Initiative.
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.
4. The task force should examine ways to pool resources and collect data and best practices in reentry from stakeholder agencies and organizations.
5. The task force and the strategic planning requirement noted 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 must provide certification of the involvement of such agencies and organizations. These partners and participants in the creation of the reentry strategy should include representatives from the fields of public safety, corrections, housing (including partnerships with public housing authorities), homeless services providers, health, education, substance abuse, children and families, victims' services, employment, and business.
6. Discussion of the role of local governmental agencies, nonprofit organizations, 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, parole and probation 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 offenders to be served through this program. (See "[What an Application Should Include.](#)")
9. Documentation that reflects explicit support of the chief executive officer of the applicant unit of local government or Indian tribe and how this office will remain informed and connected to the activities of the program. (See "[What an Application Should Include.](#)")
10. A description of the evidence-based methods and outcome measures that will be used to evaluate the program and a discussion of how such measures 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 and improving public safety. These six strategies are outlined in [Appendix D: Innovations in Reentry 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 program 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 offenders 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.)

Note that grantees funded under this solicitation will be required to work as a team that includes practitioners, an action researcher⁵ (if applicable), and TTA provider to **complete a planning phase** for their programs and, after BJA approval, will be authorized to **begin the implementation phase** of their programs. Up to 12 months of the total program period can be used to complete the planning, with the remaining months used for implementation of the program. The award period will be for a period of up to 36 months, with the possibility of a no-cost extension not to exceed 12 additional months, to complete program evaluations.

BJA Program Requirements

In order to meet the above mandatory requirements, applicants should demonstrate capacity to:

⁵ Action research is a process of uncovering solutions through progressive problem-solving activities. The outcome is intended to improve practices and address issues.

1. Identify and hire a reentry coordinator to lead the task force, liaise with the research partner (if applicable), lead the practice and policy review, and finalize the strategic plan.
2. Reassess reentry coalition partnerships to ensure the current structure includes all necessary stakeholders.
3. Re-evaluate and revise the current reentry strategic plan and address any identified deficits, including identification of system gaps that have an impact on reducing recidivism, and violent crime in particular.
4. Conduct a system analysis of reentry providers and services, including eligibility, enrollment, and adherence to the risk/need/responsivity principle.
5. Collect data specific to the jurisdiction that includes who is returning from federal, state, and local incarceration yearly; under what supervision and with what services; and the recidivism rate.
6. Identify a high risk target population and provide individualized case plans, management, supervision, and services.
7. Provide a baseline recidivism rate for the proposed target population, including documentation to support the development of the rate. All grantees will be required to provide a baseline recidivism rate upon award.
8. Choose and conduct an analysis of the systems in two of the following domains: Behavioral Health; Community Supervision; Education; or Employment and Housing (see Appendix C), including a review of current policies and practices, and develop and implement plans to remove barriers to successful reentry.
9. Consider securing a partnership with a researcher who has experience/knowledge of the action research process.
10. Ensure expertise 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) finalizing the analysis and report. If using a research partner, such 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.
11. Complete a final analysis and research report on population served, resources provided and outcomes achieved.
12. Track unique identifiers (unique state identification number or FBI number) for offenders, gain access to and report recidivism data, particularly returns to incarceration during the one year period after release.
13. Use a validated risk and needs assessment in the prerelease phase to inform participant selection and for program matching and service/supervision dosage post-release.
14. Use evidence-based, cognitive-based programming, pre- and post-release, to address the risk and criminogenic needs of the medium-to-high risk target population.
15. Provide a description of both the pre- **and** post-release services to be provided for every program participant.
16. Complete a Planning & Implementation (P&I) Guide (See page 13).
17. Complete a final report (no more than five pages) that outlines the process utilized in identifying the two domain areas, policies and practices identified, partnerships established in each domain area, strategies identified for impacting policies and practices, and the policies and practices changed during the grant period.

See [Review Criteria: Description of the Issue](#) for more information.

Priority Consideration

Priority consideration will be given to applicants that:

- Propose strategies to reduce violent recidivism among high risk offenders being released back into the local jurisdiction who have a history of violence and are identified in concert with local and/or state law enforcement. The proposals must include a description of how this target population will be identified.
- Collaborate and partner with current violence reduction strategies existing in their jurisdictions.
- Focus their programs on geographic areas with a disproportionate population of offenders returning to the community from prisons, jails, and juvenile facilities.

Planning and Implementation Phases

During the planning phase, grantees will have access to up to \$200,000 of the grant award (see [Section B. Federal Award Information](#)), will be required to participate in intensive technical assistance, and will be required to complete and submit a P&I Guide 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, if applicable, 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. Additional technical assistance will also be available from the Innovations Suite TTA provider to support action research partnerships.

Once their P&I Guides are submitted and approved by BJA, grantees will move into the implementation phase of their program and gain access to the remainder of their grant funds.

Target Population

The target population for the program must be a specific subset of medium-to-high risk offenders, as identified using a validated assessment tool, who were convicted as adults and currently are incarcerated in state, local, or tribal prisons or jails.

“High risk” is defined as individuals who 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 offenders who are experiencing, or who are at risk of experiencing, chronic homelessness will 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 offenders to be serviced through the program. Applicants are encouraged to provide services for a minimum of

150 offenders throughout the funding period, with a majority of offenders served to be under parole or probation supervision.

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 offenders, or combination of subsets, that are proposed to be the target population of their programs. For example, jurisdictions may choose to specifically target offenders 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 offenders 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 program. 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: Grantees will be expected to secure permission from all program participants to collect and report on administrative data pertaining to their criminal status, consistent with 28 C.F.R. Part 46.

Applicant Resources

National Reentry Resource Center (NRRC)

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

The Objectives and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

See the [Review Criteria: Description of the Issue](#) for more information.

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 website at <https://www.crimesolutions.gov> is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

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

For information related to implementation science, applicants may wish to refer to the [National Implementation Research Network](#).

Information Regarding Potential Evaluation of Programs and Activities

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that OJP may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and subrecipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

B. Federal Award Information

BJA expects to make up to eight awards of up to \$1,000,000 each, including up to \$200,000 for the initial 12-month planning period and up to \$800,000 for the 24-month implementation period, to begin on the date when the planning period is concluded. All awards are expected to begin on or about October 1, 2018, for a program period of 36 months.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards,

BJA and OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, 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.

Grants will be awarded in the following two categories:

- **Category 1, Competition ID BJA-2018-14341:** Units or components of county or local government agencies serving adults.
- **Category 2, Competition ID BJA-2018-14342:** Units or components of federally recognized Indian tribes and Alaska Native tribes 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 to make any award under this solicitation 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 entities⁶) must, as described in the Part 200 Uniform Requirements⁷ 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.

⁶ 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. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

⁷ 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.

- (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.

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire—the [OJP Financial Management and System of Internal Controls Questionnaire](#)—that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

Budget Information

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 DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

Cost Sharing or Matching Requirement (cash or in-kind)

Federal funds awarded under this solicitation may not cover more than 50 percent of the total costs of the program, and 50 percent of the match needs to be a cash match. The remaining 50 percent of the match can be in-kind. An applicant must identify the source of the 50 percent non-federal portion⁸ of the total program 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 at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm> for examples of "in-kind" services. The formula for calculating the match is:

⁸ 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.

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

Required Recipient's Share Percentage x Adjusted Program Cost = Required Match

Example: 50% match requirement: for a federal award amount of \$350,000, calculate match as follows:

$$\frac{\$350,000}{50\%} = \$700,000 \quad 50\% \times \$700,000 = \$350,000 \text{ match}$$

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 grantee'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 Waiver

The Attorney General may waive the match requirement upon a determination of fiscal hardship. To be considered for a waiver of match, a letter of request signed by the Authorized Representative must be submitted with the application defining the fiscal hardship. Fiscal hardship may be defined in terms related to reductions in overall budgets, furloughing or reductions in force of 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."

For additional information on cost sharing and match, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>.

Award Special Condition – Withholding of Funds for BJA Action and Research Plans

Once awarded, each grant award will have in place a special condition withholding all but \$200,000, which will allow the grantee to complete, submit, and receive approval on its P&I Guide that includes the research plan. The guide must be completed within 12 months of the grantee receiving final approval of its program's budget from the Office of the Chief Financial Officer (OCFO). The grantee will not be authorized to obligate, expend, or draw down funds in excess of \$200,000 until BJA has reviewed and approved the P&I Guide that includes the research plan and a Grant Adjustment Notice has been issued and approved to remove the special condition.

A comprehensive program work plan, based on the [P&I Guide](#) provided by BJA's technical assistance provider, NRRC, will guide the grantee in developing the research plan that incorporates evidence-based programs, policies, and practices. A completed P&I Guide will include:

- A description of the problem and the data that led to its identification.
- A brief description of the solution(s) to be tested, intended outcomes, and evaluation metrics, including the research base for proposed strategies.

- An evaluation plan, to include ongoing analysis, monitoring, and assessment of the overall program impact.
- A contract, memorandum of understanding, or other agreement that clearly delineates the role and responsibilities of the research partner, if applicable. 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 program, to the extent that letters have not already been provided.
- Demonstrate executive support and commitment of agency resources to the program.

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 program 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 at <https://ojp.gov/financialguide/DOJ/index.htm> 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.⁹ The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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.

⁹ 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.

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 program, 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

<https://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 program 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.

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 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

C. Eligibility Information

For eligibility information, see 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: Program Abstract, Program Narrative, Budget Detail Worksheet and Budget Narrative, Letter of Support from the Jurisdiction's Chief Executive, job description and/or résumés/curricula vita of key personnel, and the Assurance to Collect and Submit Recidivism Indicator Data.

NOTE: OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See "Budget Information and Associated Documentation" below for more information about the Budget Detail Worksheet and where it can be accessed.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet," "Timelines," "Memoranda of Understanding," "Résumés") for all attachments. Also, OJP recommends that applicants include résumés in a single file.

Please review the "Note on File Names and File Types" under [How To Apply](#) to be sure applications are submitted in permitted formats.

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).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for "Legal Name" (box 8a), 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.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8b 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 its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How To Apply](#) section for more information on SAM and DUNS numbers.

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. Program Abstract

Applications should include a high quality program abstract that summarizes the proposed program in 400 words or less. Program abstracts should be:

- Written for a general public audience.
- Submitted as a separate attachment with "Program Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.
- **Clearly labeled, and include the following information:**
 - Legal name of the grant recipient and the title of the program.
 - Funding category (locality or tribe).
 - Name of the research partner, if applicable.
 - Program purposes, objectives, and deliverables.
 - Mandatory program components.
 - Priority considerations.
 - Projected number of participants to be serviced through the program and target population characteristics.
 - Baseline recidivism rate.
 - Name of the validated risk assessment tool used.

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

All program abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

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

3. Program Narrative

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman preferred); have 1-inch margins; and should not exceed 15 pages. Pages should be numbered "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 narrative¹⁰:

- a. Description of the Issue
- b. Program Design and Implementation

¹⁰ 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](#).

- 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 regular performance data that demonstrate the results of the work carried out under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the objectives and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

More information on performance measurement at OJP is provided at www.ojp.gov/performance.

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA's online Performance Measurement Tool (PMT) located at bjapmt.ojp.gov. Applicants should examine the complete list of measures for the Innovations in Reentry Initiative, which is available at the following link: <https://bjapmt.ojp.gov/help/scareentryquestionnaire.pdf>.

Note on Program Evaluations

An applicant that proposes to use award funds through this solicitation to conduct program evaluations should be aware that certain program 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, program 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 program 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"](https://ojp.gov/funding/index.htm) webpage of the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](https://ojp.gov/funding/index.htm)," available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that webpage.

4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs. For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

b. Budget Narrative

The budget narrative should thoroughly and clearly describe **every** category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for program 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 objectives of the program. 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 program. 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 an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

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. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

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 Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not 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. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. 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.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a

procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

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 (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 (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 Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://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.) For the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

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 program 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.

An applicant unable to submit an application that includes a fully-executed (i.e., signed) copy of legal appropriate documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, OJP will make use of and access to award funds contingent on receipt of the fully-executed legal documentation.

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

Every OJP applicant is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. 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 program and to the research plan. (Note that the executive must also sign the Assurance in Appendix 1 that aggregate recidivism indicator data will be submitted as required.)
- b. If applicable, letter from the Research Partner** demonstrating commitment to the program.
- c. Program Timeline** that includes each program objective, activity, expected completion date, responsible person, or organization.
- d. Position Descriptions** for key roles. Position descriptions should relate to the role on the proposed program, not the person's role within the applicant organization, and describe critical competencies and expectations regarding program responsibilities.
- e. Résumés** for key personnel. Applicants may combine position descriptions and résumés into a single document; however, please note that résumés are one of the critical elements for an application, along with the program narrative and budget/budget narrative. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.
- f. Reentry Strategic Plan as required by the Second Chance Act.**
- g. 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 program. The Letter of Support from the lead organization responsible for the operational aspects of the program must include:
 - (1) Certification that the lead agency has consulted with other local parties.
 - (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 program to capture both criminal history prior to the program enrollment and subsequent recidivism."
- h. Assurance to Collect and Submit Recidivism Indicator Data**

Applications must include an Assurance signed by the applicant organization's chief executive (see Appendix 1 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 a grantee’s ability to receive future BJA competitive grant funding.

i. 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 program 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 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/program name
- The point of contact information at the applicable federal or state funding agency

Federal or State Funding Agency	Solicitation Name/Program 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 and 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’s 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 program being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.”

j. 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 programs.

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 <https://www.grants.gov/web/grants/support.html>. 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.

Important Grants.gov update. Grants.gov has updated its application tool. The legacy PDF application package was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 at <https://www.grants.gov/web/grants/manage-subscriptions.html>. 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. Attachments are also labeled to describe the file being attached (e.g., Program Narrative, Budget Narrative, Other, etc.) Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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
Upper case (A – Z)
Lower case (a – z)
Underscore (_)
Hyphen (-)
Space
Period (.)

Special Characters		
Parenthesis ()	Curly braces { }	Square brackets []
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma (,)	Semicolon (;)	Apostrophe (')
At sign (@)	Number sign (#)	Dollar sign (\$)
Percent sign (%)	Plus sign (+)	Equal sign (=)

***When using the ampersand (&) in XML, applicants must use the “&” format.**

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:

Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)

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. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the 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.

Registration and Submission Steps

- 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.

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 <https://www.dnb.com/>. A DUNS number is usually received within 1–2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at https://www.fsd.gov/fsd.gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183.

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). 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 (2 more weeks to acquire an EIN).

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.

- 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 <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/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-2018-13631.
- 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.

Category 1: BJA-2018-14341

Category 2: BJA-2018-14342

- 7. Access Funding Opportunity and Application Package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
- 8. 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 June 25, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> 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 at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the 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 at <https://ojp.gov/funding/index.htm>.

E. Application Review Information

Review Criteria

Consistent with the objectives and deliverables outlined above, applicants should include in their proposals:

1. A summary description of the problem to be addressed through this grant.

2. A self-assessment indicating how agency practices align with best and evidence-based supervision practices outlined in the objectives above and identifying areas for improvement.¹¹
3. Data-driven, evidence-based, and/or innovative grant activities to build capacity in one or more areas assessed as needing improvement.
4. Demonstrated understanding of, and a plan (if applicable) to utilize, the action research approach of incorporating a research partner to assist with unpacking the problem, implementation, and evaluation.¹²
5. Demonstration of agency-wide commitment to align policies and practices with recidivism and crime reduction objectives and continuous quality improvement.

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

1. Description of the Issue (10 percent)

- Describe in detail how your organization meets the Mandatory Second Chance Act Requirements (Section 101) listed on pages 5-6.
- Describe and demonstrate understanding of the nature and scope of the problems with reentry, using data and research as support.
- Describe successful efforts to date that address the needs identified, including:
 - How risk and need assessments are currently utilized to develop individualized transition/reentry plans.
 - Data collection and analysis methodology.
- Describe the need for assistance and resources to address the problem.
 - Indicate the jurisdiction or tribe to be served and include details on the target population, the number of adult offenders to be served and returning to the community, and the number and offense type for offenders in facilities.
- 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 who 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.

¹¹ Publicly available self-assessment tools include the Recidivism Reduction Checklists developed by the Council of State Governments Justice Center (<https://csgjusticecenter.org/reentry/reentry-checklists/>) and the RNR Simulation Tool developed by the Center for Advancing Correctional Excellence at George Mason University (https://www.gmuace.org/tools/files/RNR_Practitioner_Pub_FINAL_2.12.13.pdf).

¹² For guidance, see: <http://www.psnmsu.com/documents/ResearchPartnerQ&A.pdf>.

2. Program Design and Implementation (35 percent)

- Address in detail how the applicant proposes to undertake and accomplish each of the **tasks** outlined for this program (see page 7). Applicants may propose other objectives or deliverables in addition to the ones listed in this grant announcement and should provide detailed information on those items, if applicable. Inclusion of a timeline/program plan that identifies the major tasks and deliverables of the proposed program and who is responsible for each activity will contribute to scoring under this criterion.
- Describe in detail how the proposed program addresses the BJA **Program Requirements** specified (see pages 6-7).
- Use data to support the program design.
- Describe the roles and responsibilities of each partner and how they will be integrated into the applicant's proposed strategy.
 - Include how the target population will be identified.
 - Identify two domains to remedy reentry barriers (see page 5).
- Provide a description of both the pre- **and** post-release services to be provided for every program participant.
- Indicate the number of offenders (reentrants) who would receive services over the length of the program 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 offenders the program has served (who meet the stated target population characteristics) over the past 6 months.
 - If the applicant is proposing to implement a new program, the applicant must state how many offenders met the target population characteristics within the past 6 months.

3. Capabilities and Competencies (25 percent)

- Describe the management structure and staffing of the program, identifying the agency responsible for the program and the reentry coordinator.
- Describe how the proposed structure and staffing of the program that will facilitate the deliverables of the required services and tasks (see pages 6-7) that are outlined in the Timeline/Program Plan. Information regarding the personnel assigned to these tasks and whether their résumés and role descriptions are included will contribute to the assignment of points relative to this criterion.

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

- Describe the manner in which the data required for this solicitation's performance measures will be collected, including the system(s) used and the person(s) responsible.
- Describe whether and how other relevant performance metrics will be documented, monitored, and evaluated.

5. Budget: (10 percent)

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for program 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 objectives of the program.¹³

6. Impact/Outcomes, Evaluation, Sustainability (15 percent)

- Discuss how this effort will be integrated into the local justice system plans or commitments.
- Describe how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.
- Describe the strategy/methodology for tracking unique participant 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 levels and criminogenic needs and to track that the responsivity and dosage of services provided are individualized and attendant to the risks/needs of participants.

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:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application 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](#).

¹³ 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.

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 BJA include geographic diversity, strategic priorities, and available funding, as well as the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain program 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 the applicant. 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.

In addition, 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, FAPIIS).

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

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 applicant's management systems, 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, 2018. 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 and submission 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 program consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (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 2018 Awards](#)," available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. 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. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 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 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, 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, semiannual 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 webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each 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 award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

Notice of Post-Award FFATA Reporting Requirement

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

Please note that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient unless the potential subrecipient acquires and provides a DUNS number.

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 falls 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 program 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 the 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.

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 ojpprsupport@usdoj.gov. (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.

Appendix A:
Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

I hereby assure that, if awarded grant funds under the Innovations in Reentry Initiative, 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 the award is made may impact this project, or my organization's ability to receive future Bureau of Justice Assistance competitive grant funding.

Signature

Title

Date

Appendix B: Application Checklist

Innovations in Reentry through Systems Improvements

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

_____ Acquire a DUNS Number (see page 29)

_____ Acquire or renew registration with SAM (see page 29)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 30)

_____ Acquire AOR confirmation from the E-Biz POC (see page 30)

To Find Funding Opportunity:

_____ Search for the Funding Opportunity on Grants.gov (see page 30)

_____ Select the correct Competition ID (see page 30)

_____ Access Funding Opportunity and Application Package (see page 30)

_____ Sign up for Grants.gov email [notifications](#) (optional) (see page 27)

_____ Read [Important Notice: Applying for Grants in Grants.gov](#)

_____ Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 15)

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 30)

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

_____ contact NCJRS regarding experiencing technical difficulties (see page 31)

Overview of Post-Award Legal Requirements:

_____ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

_____ The federal amount requested is within the allowable limit(s) of \$1,000,000.00

Eligibility Requirement:

Category 1, Competition ID BJA-2018-14341: Units or components of county or local government agencies serving adults.

Category 2, Competition ID BJA-2018-14342: Units or components of federally recognized Indian tribes and Alaska Native tribes serving adults.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 16)
 - _____ Program Abstract* (see page 17)
 - _____ Program Narrative* (see page 17)
 - _____ Budget Detail Worksheet* (see page 19)
 - _____ Budget Narrative* (see page 19)
 - _____ Indirect Cost Rate Agreement (if applicable) (see page 22)
 - _____ Tribal Authorizing Resolution (if applicable) (see page 22)
 - _____ Financial Management and System of Internal Controls Questionnaire (see page 23)
 - _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 24)
- Additional Attachments: (see page 24)

- _____ Letter from Applicant Agency Executive*
 - _____ Letter from Research Partner, if applicable*
 - _____ Program Timeline*
 - _____ Position Description(s)*
 - _____ Résumés*
 - _____ Reentry Strategic Plan*
 - _____ Letters of Support and/or Memoranda of Agreement/Understanding*
 - _____ Assurance to Collect and Submit Recidivism Indicator Data*
 - _____ Applicant Disclosure of Pending Applications (see page 25)
 - _____ Research and Evaluation Independence and Integrity (see page 26)
-
- _____ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 14)
 - _____ Match Waiver request (if applicable) (see page 13)

*** 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 C: Examples of Domain Areas to Analyze

Behavioral Health

Many people in the criminal justice system have co-occurring disorders. Providing integrated treatment to address mental illness and substance abuse can lead to positive outcomes such as reduced substance abuse and arrests. Screening and assessing offenders in the criminal justice system should occur routinely at the entry points to the system. This includes use of standardized instruments, trained staff to administer the instruments, and referral to treatment as indicated.

Proposals in this domain may request funds to:

- Expand and improve the screening and assessment for co-occurring disorders that takes place in jails and prisons, in-reach by community-based providers, and the reentry and community reintegration process.
- Improve the coordination and provision of treatment for adults being treated for co-occurring disorders, focusing on pre- and post-release programming for every program participant.

Partners for this domain ***must include some representation from:***

- Behavioral health treatment providers, consumers of behavioral health services and their family members.

Community Supervision

Probation and parole agencies have been begun focusing their ability and effectiveness to address the risk and needs of individuals under their supervision, and to thereby reduce recidivism and improve public safety in their jurisdictions. These efforts may include adopting evidence-based practices, but they also require agency-wide commitments to align policies and practices with recidivism and crime reduction goals and continuous quality improvement.

Proposals in this domain may request funds to:

- Support staff training to meet the rehabilitative and supervision needs of the supervision population.
- Address gaps and/or quality of service provision.
- Standardize new or existing strategies to promote replication and scaling.
- Develop and implement performance metrics.

Partners for this domain ***must include some representation from:***

- Paroling authorities
- Probation/Community Supervision Agency
- Community/Specialty (Drug, Reentry, Mental Health, Veterans) Courts

Education

Successful reintegration may be determined by many factors. One barrier to successful reintegration may be the lack of education or under education, which reduces the ability to secure employment at a level to be self-sufficient.

Proposals in this domain may request funds to:

- Improve or expand the provision of or connection to educational/vocational services that will increase the likelihood of obtaining meaningful employment.

Partners in this domain ***must include some representation from:***

- Local adult education/literacy programs, community colleges, vocational education centers, and other institutions of higher education.

Employment

Engaging an individual's time in employment activities not only provides a positive, structured use of time in the community, having a job provides income to contribute to personal and family support, reduce the reliance on social services, and increase self-efficacy. Offenders face many barriers to obtaining and sustaining employment.

Proposals in this domain may request funds to:

- Detail the use of a structured job readiness curricula, enhanced by transitional and subsidized employment opportunities that will lead to long-term employment with wages that promote self-sufficiency.

Partners in this domain ***must include some representation from:***

- The local Workforce Development Board/American Job Center (also known as One-Stop Centers), Chamber of Commerce, and labor unions.

Housing

Successful reentry includes access to safe and secure housing.

Proposals in this domain may request funds to:

- Outline linking grant-funded activities and services to affordable and supportive housing, especially permanent supportive housing, where appropriate.
- Link activities and services through leveraged partnerships with nonprofit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care (CoCs) that support stable, affordable housing and prevent homelessness.

Partners in this domain ***must include some representation from:***

- The local CoC, a collaborative planning body that oversees the use of federally funded homelessness assistance programs such as supportive housing.
- The Public Housing Agency (PHA), which oversees programs like Section 8 Housing, Choice Vouchers, and public housing.
- City and county housing departments and the state housing agency, all of which help finance and regulate affordable housing.
- Faith-based and neighborhood organizations, which often have resources that assist people experiencing homelessness.

**Appendix D:
Innovations in Reentry 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 and improve public safety.

- 1) Objectively Assess Criminogenic Risks and Needs:** Maintain a comprehensive system to establish risk screening and needs assessment. The actuarial assessment of offenders—in a reliable and valid manner—is essential for the effective supervision and treatment of people returning from prisons, jails, and juvenile facilities (Andrews and Bonta, 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 an 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 3 to 9 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 offenders 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 Act 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 are collected about individuals reentering communities?

- Do you collect case-level data on your program participants such as: (1) housing, (2) employment, (3) substance abuse treatment [if necessary], (4) mental health treatment [if necessary], and (5) social support?

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