

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



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## **Second Chance Act Pay for Success Initiative: Outcomes-based Contracting To Lower Recidivism and Homelessness FY 2019 Competitive Grant Solicitation**

**CFDA #16.812**

**Grants.gov Solicitation Number:** BJA-2019-16890

**Solicitation Release Date:** August 13, 2019

**Application Deadline:** 11:59 p.m. eastern time on October 15, 2019

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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP) [Bureau of Justice Assistance](#) (BJA) is seeking applications for state, local, and tribal governments to implement outcomes-based contracts with reentry and permanent supportive housing service providers to improve recidivism, housing and related outcomes for formerly incarcerated people. This program furthers the Department's mission by reducing recidivism and building more effective service delivery systems that pay for outcomes.

This solicitation incorporates the [OJP Grant Application Resource Guide](#) by reference. It provides guidance to applicants on how to prepare and submit applications for funding to OJP. If this solicitation expressly modifies any provision in the OJP Grant Application Resource Guide, the applicant is to follow the guidelines in this solicitation as to that provision.

**Eligibility** (Who may apply):

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

All recipients and subrecipients must forgo any profit or management fee.

BJA will consider applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (subgrantees). The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. For additional information on subawards, see the [OJP Grant Application Resource Guide](#).

BJA may elect to fund applications submitted under this FY 2019 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

### **Contact information**

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at [support@grants.gov](mailto:support@grants.gov). The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the contact identified below **within 24 hours after the application deadline** 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 (Grants.gov) section in the [OJP Grant Application Resource Guide](#).

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

### **Post-Award Legal Requirements Notice**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions and 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 applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

For additional information on these legal requirements, see the Administrative, National Policy, and Other Legal Requirements section in the [OJP Grant Application Resource Guide](#).

### **Deadline Details**

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 October 15, 2019.

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.

An applicant must use the **Add Attachment** button to attach a file to its application. Do not click the paperclip icon to attach files. This action will not attach the files to the application. After adding an attachment, select the **View Attachment** button to confirm you attached the correct file. To remove the file, select the **Delete Attachment** button.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see the How to Apply (Grants.gov) section in the [OJP Grant Application Resource Guide](#).

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# SECOND CHANCE ACT PAY FOR SUCCESS INITIATIVE: OUTCOMES-BASED CONTRACTING TO LOWER RECIDIVISM AND HOMELESSNESS CFDA #16.812

## A. Program Description

### Overview

The purpose of this program is to assist local, state, and tribal governments in converting reentry and permanent supportive housing (PSH) service contracts into outcomes-based contracts in order to ensure accountability and improve performance with regard to recidivism reduction (categories 1 and 2) and increasing nights housed and emergency service savings (Category 2).

Jurisdictions measure recidivism in several ways, including the following: rearrest, reconviction, reincarceration, and revocation. By these measures, recidivism rates have remained stubbornly high in many jurisdictions despite some impressive declines in certain states.<sup>1, 2, 3</sup> Additionally, many local communities struggle with a certain subset of their population who are chronically homeless and are high users of emergency services such as hospitals and homeless shelters, and who cycle in and out of jail. Nevertheless, evidence-based models exist for identifying and addressing the needs of people leaving incarceration at moderate to high risk of reoffending and who are high users of local emergency services.

BJA has incentivized the implementation of the risk-need-responsivity principles in Second Chance Act solicitations and has partnered with the U.S. Department of Housing and Urban Development to build local capacity for permanent supportive housing through one application for Pay for Success. That approach uses a financing model that leverages philanthropic and private dollars to provide assistance up front, with the government paying after results are generated.<sup>4</sup>

The Second Chance Act Pay For Success Initiative: Outcomes-based Contracting To Lower Recidivism And Homelessness will provide assistance and funding to state, local, and tribal governments to price, write, negotiate, fund, and manage contracts that pay for these services in a way that ensures accountability of the contract service providers, and incentivizes improved performance over time. Contracted services that may be purchased with grant funds include reentry services which are tailored to individuals leaving incarceration who are at moderate to high risk for recidivism in the community and services available to individuals living in permanent supportive housing units.

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<sup>1</sup> 2018 Update on Prisoner Recidivism: A 9-Year Follow-up Period (2005-2014), 2018, Bureau of Justice Statistics, <http://www.bjs.gov/index.cfm?ty=pbdetail&iid=6266>

<sup>2</sup> Recidivism of Prisoners Released in 30 States in 2005: Patterns from 2005 to 2010 – Update, 2014, Bureau of Justice Statistics, <http://www.bjs.gov/index.cfm?ty=pbdetail&iid=4986>

<sup>3</sup> Reducing Recidivism, States Deliver Results, 2017, Council of State Governments Justice Center, [https://csgjusticecenter.org/wp-content/uploads/2018/03/Reducing-Recidivism\\_State-Deliver-Results\\_2017.pdf](https://csgjusticecenter.org/wp-content/uploads/2018/03/Reducing-Recidivism_State-Deliver-Results_2017.pdf)

<sup>4</sup> <https://www.hudexchange.info/programs/pay-for-success/>

**Statutory Authority:** Any awards under this solicitation will be made under statutory authority provided by the Consolidated Appropriations Act, 2019, Public Law No. 116-6, 133 Stat 13, 114.

### **Project-specific Information**

The overall goal of the FY 2019 Second Chance Act Pay For Success Initiative: Outcomes-based Contracting To Lower Recidivism And Homelessness (SCA OBC) is to improve the capacity and effectiveness of governments to pay for outcomes rather than inputs and outputs. The goal of these outcomes-based contracts is to improve recidivism, housing, and functional outcomes (increases in number of nights housed in a permanent supportive housing unit and reduction in number of nights spent in emergency facilities) for service recipients while improving public safety and saving taxpayer dollars.

Up to \$200,000 of each award may be used to research, price, write, negotiate, and finalize the service contracts, and the rest must be used to fund the outcomes-based contracted services.

Please note that all grant recipients will be expected to work closely with BJA's training and technical assistance provider, the National Reentry Resource Center, to document progress and develop and deliver the required analyses, contracts, and reports as described below.

### **Objectives and Deliverables**

#### **Category 1: Outcomes-based Contracting for Reentry Services**

##### Objectives:

- Enter into an outcomes-based contract to provide individualized (as documented in a case management plan informed by a validated needs assessment) reentry services for people leaving incarceration who are identified through a validated risk tool as being at moderate to high risk to reoffend in the community.
- Manage the outcomes-based reentry service contract, including data and report collection, regular performance and outcome reviews between the governments and service provider, on and off-site monitoring, outcomes validation, and incentive payment approvals.
- Ensure government staff and service providers have adequate training on SCA OBC procurement, reentry service/intervention, data collection, and outcomes validation.

##### Deliverables:

- Analysis that demonstrates reentry service need, based on evidence, and data indicating the number and needs of people to be served. Describe the mechanisms to ensure the intended size and target population are identified and provided with contracted services.
- Analysis that demonstrates the outcomes selected for payment. Contracts must include recidivism outcomes that can include the four mentioned above (rearrest, reconviction, reincarceration, revocation) and can also include time to reoffense and reduction in severity of offense.
- Analysis that demonstrates the grantee's decision about the outcomes-based contract structure (e.g., phased approach over the period of the contract, inclusion of a hold-harmless period, etc.), repayment strategy (e.g., unit of outcome achieved, weighted

incentives, percent change in outcomes, tiered payment scheduled, bonus payments)<sup>5</sup> and timing of payments.

- First-year-of-contract term report.
- Close-out report, including outcomes achieved and payments made.

## **Category 2: Outcomes-based Contracting for Permanent Supportive Housing**

### Objectives:

- Enter into an outcomes-based contract to provide permanent supportive housing services for a specific subset of the community's population who exceed identified thresholds for hospital and homeless system service use and jail bookings.
- Manage the outcomes-based permanent supportive housing services contract, including data and report collection, regular metric and outcome reviews between governments and service providers, on and off-site monitoring, outcomes validation, and incentive payment approvals.
- Ensure government staff and service providers have adequate training on SCA OBC procurement, permanent supportive housing service/intervention, data collection, and outcomes validation.

### Deliverables:

- Analysis that demonstrates permanent supportive housing service need, including the following data: (1) jail (booking and release dates, charging information, and unit/bed type), (2) homeless management information system (dates in shelter, services used, and location of last service), (3) health care system (utilization and dates, location, cost), and (4) other services (mental health and substance use disorder services, child welfare, and benefits access) to support the number and needs of the people to be served and ensure the intended target population is identified and provided with contracted services.
- Analysis that demonstrates the outcomes selected for payment. Contracts must include appropriate functional outcomes, relevant system savings, and recidivism outcomes including jail bookings, length of stay, and charging information.
- Analysis that demonstrates the grantee's decision about the outcomes-based contract structure (e.g., phased approach over the period of the contract, inclusion of a hold-harmless period, etc.), repayment strategy (e.g., unit of outcome achieved, weighted incentives, percent change in outcomes, tiered payment scheduled, bonus payments),<sup>6</sup> and timing of payments.
- First-year-of-contract term report.
- Close-out report, including outcomes achieved and payments made.

### Mandatory Permanent Supportive Housing Elements

It is mandatory that any contracts entered into using Category 2 funds must exhibit the following PSH key elements<sup>7</sup>:

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<sup>5</sup> Incentivizing Results: Contracting for Outcomes in Social Service Delivery, 2019, <https://pfs.urban.org/library/pfs-guidance-briefs-and-reports/content/incentivizing-results-contracting-outcomes-social>

<sup>6</sup> Incentivizing Results: Contracting for Outcomes in Social Service Delivery, 2019, <https://pfs.urban.org/library/pfs-guidance-briefs-and-reports/content/incentivizing-results-contracting-outcomes-social>

<sup>7</sup> Permanent Supportive Housing Evidence-Based Practices Kit, 2010, HHS Publication No. SMA-10-4509 <https://store.samhsa.gov/system/files/sma10-4510-06-buildingyourprogram-psh.pdf>

1. Tenants have a lease in their name, and, therefore, they have full rights of tenancy under landlord-tenant law, including control over living space and protection against eviction.
2. Leases do not have any provisions that would not be found in leases held by someone who does not have a psychiatric disability.
3. Participation in services is voluntary and tenants cannot be evicted for rejecting services.
4. House rules, if any, are similar to those found in housing for people who do not have psychiatric disabilities and do not restrict visitors or otherwise interfere with a life in the community.
5. Housing is not time-limited, and the lease is renewable at tenants' and owners' option.
6. Before moving into Permanent Supportive Housing, tenants are asked about their housing preferences and are offered the same range of choices as are available to others at their income level in the same housing market.
7. Housing is affordable, with tenants paying no more than 30 percent of their income toward rent and utilities, with the balance available for discretionary spending.
8. Housing is integrated. Tenants have the opportunity to interact with neighbors who do not have psychiatric disabilities.
9. Tenants have choices in the support services that they receive. They are asked about their choices and can choose from a range of services, and different tenants receive different types of services based on their needs and preferences.
10. As needs change over time, tenants can receive more intensive or less intensive support services without losing their homes.
11. Support services promote recovery and are designed to help tenants choose, get, and keep housing.
12. The provision of housing and the provision of support services are distinct.

### **Priority Consideration**

Priority consideration will be given to applicants that propose strategies to reduce violent recidivism among high-risk offenders, employ randomized control trial (RCT) methods to evaluate effectiveness, and propose to enhance public safety in qualified opportunity zones. All applicants will be judged on the totality of their proposals. In order to receive priority consideration, applicants must demonstrate they satisfy the criteria defined in this section in addition to all selection and review criteria defined throughout this solicitation.

Applicants that propose strategies to reduce violent recidivism among high-risk offenders under supervision, who have a history of serious violence and are identified in concert with local and/or state law enforcement, will receive priority consideration. The proposals must include a description of how this group will be identified and demonstrate law enforcement input.

RCT studies are a powerful, much needed tool for building scientific evidence about what works. Therefore, applicants employing RCT methods to assess the effectiveness of programs and practices will be given higher priority consideration in award decisions. A strong RCT design should include low sample attrition, sufficient sample size, close adherence to random assignment, valid outcome measures, and statistical analyses. Taking RCT costs into consideration, applicants may want to consider studies using privacy-protected administrative data that are already being collected or implementing an intervention into a program already funded.

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](#).

### **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. For additional information and resources on evidence-based programs or practices, see the [OJP Grant Application Resource Guide](#).

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

### **Information Regarding Potential Evaluation of Programs and Activities**

Applicants should note that OJP may conduct or support an evaluation of the programs and activities funded under this solicitation. For additional information, see the [OJP Grant Application Resource Guide](#) section titled Information Regarding Potential Evaluation of Programs and Activities.

### **Encouraging Program Investments in Economically Distressed Communities (Qualified Opportunity Zones)**

Under this program, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that directly benefit federally designated Qualified Opportunity Zones (QOZs).<sup>8</sup> In order to assist OJP in considering this factor, applicants should include information in the application that specifies how the project will enhance public safety in the specified QOZs. For resources on QOZs, and for a current list of designated QOZs, see the U.S. Department of the Treasury's resource webpage, accessible at <https://www.cdfifund.gov/pages/opportunity-zones.aspx>.

## **A. Federal Award Information**

### **Category 1**

Maximum number of awards BJA expects to make	2
Estimated maximum dollar amount for each award	up to \$2,000,000
Total amount anticipated to be awarded under solicitation	\$2,180,267
Period of performance start date	March 1, 2020
Period of performance duration	54 months

### **Category 2**

Maximum number of awards BJA expects to make	2
Estimated maximum dollar amount for each award	up to \$2,200,000
Total amount anticipated to be awarded under solicitation	\$4,426,602
Period of performance start date	March 1, 2020

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<sup>8</sup> See Public Law 115-97, Title I, Subtitle C, Part IX, Subpart B, Sec. 13823.

Period of performance duration

54 months

The funding during the initial period (no longer than 12 months from the date of final budget approval) prior to service contract finalization should include only costs to support contract initialization and support planning activities followed by 36 months of implementation activities. Implementation may begin after BJA reviews and approves the contract and services begin. The final 6 months will be used to validate outcomes and develop and submit the final report.

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, 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.

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 category in the form of a grant. See the Administrative, National Policy, and Other Legal Requirements section of the [OJP Grant Application Resource Guide](#) for important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants (and cooperative agreements).

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities) must, as described in the Part 200 Uniform Requirements<sup>9</sup> as set out at 2 C.F.R. 200.303, comply with standards for financial and program management. See the [OJP Grant Application Resource Guide](#) for additional information.

### **Budget Information**

In addition to the unallowable costs identified in the [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.

### **Cost Sharing or Matching Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

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<sup>9</sup> The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

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 Plan**

Once awarded, each grant award will have in place a special condition withholding all but \$200,000, which will allow grantees to finalize a services contract within 12 months of receiving final approval of the project’s budget from the Office of the Chief Financial Officer. The recipient will not be authorized to obligate, expend, or draw down funds in excess of \$200,000 until BJA has reviewed and approved the services contract and a Grant Adjustment Notice has been issued and approved to remove the special condition.

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

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

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient’s approved budget and applicable cost principles. See the section titled Costs Requiring Prior Approval in the DOJ Grants Financial Guide (Post-award Requirements) at <https://ojp.gov/financialguide/DOJ/index.htm> for more information.

#### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

For applicants seeking the waiver, see the [OJP Grant Application Resource Guide](#) for information.

#### **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. See the [OJP Grant Application Resource Guide](#) for information.

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

See the [OJP Grant Application Resource Guide](#) for information on costs associated with language assistance that may be allowable.

### **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

For this solicitation, BJA has designated the following application elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet, Letter of Support from the Lead Agency Executive, Letter of Support from the Responsible Government Procurement Agency Executive, Disclosure of Proposed Subrecipients, Timeline, and Résumés/Curricula Vita of Key Personnel.

See the Application Elements and Formatting Instructions section of the [OJP Grant Application Resource Guide](#) for information on, among other things, what happens to an application that does not contain all of the specified elements or that is nonresponsive to the scope of the solicitation.

#### 1. Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of preapplications, applications, and related information. See the [OJP Grant Application Resource Guide](#) for additional information on completing the SF-424.

**Intergovernmental Review:** This solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the "Program is not covered by E.O. 12372.")

#### 2. Project Abstract

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

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (such as Times New Roman) with **1-inch margins**.
- **Clearly labeled, including the following information:**
  - Legal name of the grant recipient and the title of the project
  - Indicate whether grant recipient previously received Second Chance Act funding. (Note, this is an eligibility consideration, not a criterion for selection.)
  - Indicate whether the grantee jurisdiction has entered into any outcomes-based contracts within the past 5 years.
  - Project's purpose, objectives, and deliverables
  - Mandatory PSH elements
  - The projected number of participants to be serviced through the project and target population characteristics

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

### 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 15," "2 of 15," etc. If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

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

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

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award. The performance data directly relate to the objectives and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

Applicants should visit OJP's performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP.

Performance measures for this solicitation are listed in [Appendix B: Performance Measures Table](#). BJA will continue to develop and refine the performance measures for this program, and they will be distributed to those receiving awards prior to the program start date.

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.

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.

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

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should follow the guidance under Note on Project Evaluations in the [OJP Grant Application Resource Guide](#).

### 4. Budget Information and Associated Documentation

See the Budget Preparation and Submission Information section of the [OJP Grant Application Resource Guide](#) for details on the Budget Detail Worksheet, and on budget information and associated documentation, such as information on proposed subawards, proposed procurement contracts under awards, and preagreement costs.

## **5. Indirect Cost Rate Agreement**

See the Budget Preparation and Submission Information section of the [OJP Grant Application Resource Guide](#) for information.

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

The following two paragraphs in this solicitation expressly modify the “Tribal Authorizing Resolution” provisions in the [OJP Grant Application Resource Guide](#). An applicant is to follow the guidance in these two paragraphs instead of the guidance stated under the “Tribal Authorizing Resolution” heading in the Guide.

An application in response to the solicitation may require inclusion of information related to a tribal authorizing resolution. A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

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 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 (other than an individual applying in his or her personal capacity) 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. See the [OJP Grant Application Resource Guide](#) for additional information and submission instructions for this Questionnaire.

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

Each applicant must complete and submit this information. See the [OJP Grant Application Resource Guide](#) for additional information and submission instructions for this disclosure.

## 9. Applicant Disclosure of Pending Applications

Each applicant is required to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. For additional information on the submission requirements for this disclosure, see the [OJP Grant Application Resource Guide](#).

## 10. Applicant Disclosure and Justification – DOJ High Risk Grantees<sup>10</sup> (if applicable)

An applicant that is designated as a DOJ High Risk Grantee is to submit, as a separate attachment to its application, information that OJP will use, among other pertinent information, to determine whether it will consider or select the application for an award under this solicitation. The file should be named “DOJ High Risk Grantee Applicant Disclosure and Justification.” (See, also, “Review Process,” below, under Section E. Application Review Information, for a brief discussion of how such information may be considered in the application review process.) See the [OJP Grant Application Resource Guide](#) for additional information and submission instructions for this disclosure.

## 11. 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. For additional information regarding demonstrating research/evaluation independence and integrity, including appropriate safeguards, see the [OJP Grant Application Resource Guide](#).

## 12. Additional Attachments

### a. Documentation of Anticipated Benefit to Qualified Opportunity Zones (if applicable)

As is mentioned above, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that will likely enhance public safety in federally designated Qualified Opportunity Zones (QOZs). Each applicant proposing a project it anticipates will likely enhance public safety in one or more QOZs should provide a sufficient narrative explanation in order for OJP to identify clearly the public safety benefit the applicant anticipates that its project will have on a specified QOZ(s). The attachment(s) should be clearly labeled as addressing QOZs. The applicant may also include tables, charts, graphs, or other relevant illustrations that may be useful in comprehending the manner in which the proposed project is anticipated to benefit a QOZ(s).

### b. Letter From Lead Agency Executive demonstrating agency commitment to the project. Note that the executive must also sign the Assurance in Appendix 2 that aggregate recidivism indicator data will be submitted as required.

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<sup>10</sup> A “DOJ High Risk Grantee” is a recipient that has received a DOJ High-Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

- c. **Letter From Responsible Government Procurement Agency Executive** demonstrating commitment to the project.
- d. **Letters of Support From All Other Key Partners (if applicable)** detailing the commitment to work with the applicant to promote the mission of the project.
- e. **Applicant Disclosure of Proposed Subrecipients.** Attach a list of proposed subrecipients of grant funding, if applicable, that includes the name, organizational affiliation, and location of the proposed subrecipient entity.
- f. **Timeline/Project Plan** outlining key tasks, benchmarks, and persons or entities responsible.
- g. **Position Descriptions** for key roles. A position description should relate to the role on the proposed project, not the person's role within the applicant organization, and describes the critical competencies and expectations regarding the project responsibilities.
- h. **Résumés or Curricula Vitarum (CVs)** for key personnel. Applicants may combine position descriptions and résumés or CVs into a single document; however, please note that they are one of the critical elements for an application. Applications that do not include these will neither proceed to peer review nor receive further consideration by BJA.

### **How To Apply**

Applicants must register in and submit applications through [Grants.gov](https://www.Grants.gov), a primary source to find federal funding opportunities and apply for funding. Find information on how to apply in response to this solicitation in the [OJP Grant Application Resource Guide](#).

### **Registration and Submission Steps**

Applicants will need the following identifying information when searching for the funding opportunity on Grants.gov.

1. **CDFA #16.812 Second Chance Act Reentry Initiative**
2. **Funding opportunity # BJA-2019-16890**
3. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple categories, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended category of the application.

**Category 1:** Competition ID: **BJA-2019-16891**

**Category 2:** Competition ID: **BJA-2019-16892**

For information on each registration and submission step, see the [OJP Grant Application Resource Guide](#).

## **E. Application Review Information**

### **Review Criteria**

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

#### **1. Description of the Issue (15 percent)**

- Describe the current service delivery method for the services to be contracted.
- Describe any efforts conducted by the applicant jurisdiction in the past 5 years to enter into outcomes-based contracts and the results of those efforts.
- Provide an overview of the jurisdiction's current service provision capacity in the relevant category (Category 1, reentry services, or Category 2, permanent supportive housing services). Include whether those services are provided by the applicant agency, via contract, or through governmental or nongovernmental partners. Describe how demand for such services is being met compared to the need and how the jurisdiction assesses that need.

#### **2. Project Design and Implementation (30 percent)**

- Address in detail how the applicant proposes to undertake and accomplish each of the objectives and deliverables (see pages 7-9).
- Address the data-sharing agreements which need to be in place to inform the contract and to assess outcome attainment. Discuss which entities have the data needed, any history of sharing information with these entities, as well as any perceived challenges with obtaining data on an ongoing basis.
- Include a Timeline/Project Plan that reflects a 12-month planning and contracting period, 36-month implementation period, and a 6-month post-implementation period; the major tasks and deliverables of the proposed project; and who is responsible for each activity, including the procurement functions. Successful applicants will be expected to have staffing and other needed supports in place by the end of the planning period so they can begin addressing the primary project activities at the start of the implementation period.
- In addition to the attachments such as letters from lead agency executive, the responsible government procurement agency executive, and other key partners (if applicable), provide a written demonstration of the jurisdiction's commitment to making a shift to outcomes-based contracts.

#### **3. Capabilities and Competencies (20 percent)**

- Provide a detailed description of the capacity of the organization and the key personnel to deliver the required services and perform the key tasks described on pages 7-9.
- Describe how the proposed management structure and staffing of the project will facilitate the delivery of the required services. The management and organizational structure described should match the staffing needs necessary to accomplish the tasks outlined in the Timeline/Project Plan. Information regarding the personnel assigned to these tasks and whether their résumés and role descriptions are

included (see page 18) will contribute to the assignment of points relative to this criterion.

#### **4. Plan for Collecting the Data Required for This Solicitation's Performance Measures (10 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 project activities).
- Budget narratives should demonstrate generally how the applicant will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the objectives of the project.<sup>11</sup>

#### **6. Impact/Outcomes, Sustainability (15 percent)**

- Discuss the ability of the jurisdiction to validate outcomes.
- Discuss how this effort will be integrated into the jurisdiction's 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.

#### **Review Process**

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

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."

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<sup>11</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An internal reviewer is a current DOJ employee who is well versed or has expertise in the subject of this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. 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 (specifically including, but not limited to, demonstrable potential enhancement to public safety in one or more federally designated Qualified Opportunity Zones), potential project sustainability factors such as voluntary committed cost sharing (or match), available funding, and the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by 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 \$250,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the nonpublic 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.

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**

See the [OJP Grant Application Resource Guide](#) for information on award notifications and instructions.

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

OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application. See the

[OJP Grant Application Resource Guide](#) for additional information on administrative, national policy, and other legal requirements.

### **Information Technology (IT) Security Clauses**

An application in response to this solicitation may require inclusion of information related to information technology security. See the [OJP Grant Application Resource Guide](#) for information on information technology security.

### **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 certain reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

See the [OJP Grant Application Resource Guide](#) for additional information on specific post-award reporting requirements, including performance measures data.

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

For OJP contact(s), see page 2.

For contact information for Grants.gov, see page 2.

## **B. Other Information**

### **Freedom of Information and Privacy Act (5 U.S.C. 552 and 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. See the [OJP Grant Application Resource Guide](#) for information on DOJ and OJP processes with regard to application information requested pursuant to FOIA.

### **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. See the [OJP Grant Application Resource Guide](#) for information on providing solicitation feedback to OJP.

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

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

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Signature

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Name

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Title

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Date

## Appendix B: Performance Measures Table

Objectives	Performance Measure	Data Grantee Provides
<p>Objective 1: Enter into outcomes-based contract for specified reentry services for people leaving incarceration who are identified through a validated risk and needs assessment as being at moderate to high risk to reoffend in the community.</p>	<p>Number of SCA OBC contracts</p> <p>Percentage of the contract(s) paid to the service provider</p> <p>Percentage of outcome benchmarks achieved</p> <p>Percentage of grantees using a research partner/evaluator to assist with outcome monitoring</p> <p>Percentage change in the recidivism rate when compared to the base year (e.g., rearrest, reconviction, reincarceration, or revocation)</p> <p>Number of people trained on SCA-OBC procurement, service/intervention, data collection, and outcome validation</p>	<ol style="list-style-type: none"> <li>1. Number of new SCA OBC contracts executed during this reporting period</li> <li>2. Number of outcome benchmarks established (per contract)               <ol style="list-style-type: none"> <li>a. Of those, how many were achieved during this reporting period</li> <li>b. Of those, how many were not achieved during this reporting period</li> </ol> </li> <li>3. How many benchmarks were formally adjusted in the contract based on new analysis findings during the reporting period?</li> <li>4. Overall, since the beginning of the contract, what percentage of the contract has been paid to the service provider (per contract)?</li> <li>5. Name of research partner/evaluator               <ol style="list-style-type: none"> <li>a. How did the research partner contribute to the project during the reporting period?                   <ol style="list-style-type: none"> <li>i. Conducted data analysis</li> <li>ii. Presented analysis results/outcomes/metrics during metric and outcome reviews</li> <li>iii. Presented analysis result and/or recommendations to community groups or professional organizations outside of the project</li> <li>iv. Provided or coordinated training or technical assistance</li> <li>v. Other</li> </ol> </li> </ol> </li> <li>6. Since the beginning of the SCA-OBC contract, when compared to the base year, what is the percentage change in the recidivism rate (only report those metrics that you are actively tracking):               <ol style="list-style-type: none"> <li>a. Rearrest</li> <li>b. Reconviction</li> <li>c. Reincarceration</li> <li>d. Revocation</li> </ol> </li> <li>7. Since the beginning of the SCA-OBC contract, number of people receiving contracted services</li> <li>8. Number of people involved in the SCA-OBC project that received training or were involved in a technical assistance engagement during the reporting period</li> </ol>

<p>Objective 2: Enter into outcomes-based contract for permanent supportive housing services for a specific subset of the community's population who exceed identified thresholds for hospital and homeless system service use and jail bookings</p>	<p>Number of SCA OBC contracts for housing and other support services</p> <p>Percentage of outcome benchmarks achieved</p> <p>Percentage of the contract paid to the service provider (by contract)</p> <p>Percentage of grantees using a research partner/evaluator to assist with outcome monitoring</p> <p>Percentage of people that have received housing services and have had stable housing for more than 6 months</p> <p>Percentage of people that have received <i>other</i> recovery support services or substance use treatment services</p> <p>Percentage change in recidivism compared to the base year (e.g., rearrest, jail bookings)</p> <p>Percentage change in the average length of stay in local jails involved in the project</p>	<ol style="list-style-type: none"> <li>1. Number new of SCA OBC contracts executed this reporting period</li> <li>2. Number of outcome benchmarks established (per contract) <ol style="list-style-type: none"> <li>a. Of those, how many were achieved this reporting period</li> <li>b. Of those, how many were not achieved this reporting period</li> </ol> </li> <li>3. How many benchmarks were formally adjusted in the contract based on new analysis findings during the reporting period?</li> <li>4. Overall, since the beginning of the contract, what percentage of the contract has been paid to the service provider (per contract)?</li> <li>5. Name of research partner/evaluator <ol style="list-style-type: none"> <li>a. How did the research partner contribute to the project during the reporting period? <ol style="list-style-type: none"> <li>i. Conducted data analysis</li> <li>ii. Presented analysis results/outcomes/metrics during metric and outcome reviews</li> <li>iii. Presented analysis result and/or recommendations to community groups or professional organizations outside of the project</li> <li>iv. Provided or coordinated training or technical assistance</li> <li>v. Other</li> </ol> </li> </ol> </li> <li>6. Since the beginning of the SCA-OBC contract, number of people receiving contracted services <ol style="list-style-type: none"> <li>a. Housing</li> <li>b. Recovery support services</li> <li>c. Substance use treatment</li> <li>d. Total number of people receiving all services</li> </ol> </li> <li>7. Since the beginning of the SCA-OBC contract, when compared to the base year, what is the percentage change in the following (only report those metrics that you are actively tracking): <ol style="list-style-type: none"> <li>a. People receiving housing service with stable housing for more than 6-months (percentage)</li> <li>b. Recidivism <ol style="list-style-type: none"> <li>i. Rearrest</li> <li>ii. Jail-bookings</li> </ol> </li> </ol> </li> </ol>
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Objectives	Performance Measure	Data Grantee Provides
	Number of people trained on SCA-OBC procurement, service/intervention, data collection, and outcome validation	<ul style="list-style-type: none"> <li data-bbox="1101 233 1485 296">c. Average length of stay in local jails involved in the project</li> <li data-bbox="1003 327 1495 443">8. Number of people involved in the SCA OBC project who received training or were involved in a technical assistance engagement during the reporting period</li> </ul>

## Appendix C: Application Checklist

### Second Chance Act Pay for Success Initiative: Outcomes-based Contracting to Lower Recidivism and Homelessness

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 the [OJP Grant Application Resource Guide](#))

\_\_\_\_\_ Acquire or renew registration with SAM (see the [OJP Grant Application Resource Guide](#))

To Register with Grants.gov:

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see the [OJP Grant Application Resource Guide](#))

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see the [OJP Grant Application Resource Guide](#))

To Find Funding Opportunity:

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 16)

\_\_\_\_\_ Select the correct Competition ID (see page 16)

\_\_\_\_\_ Access Funding Opportunity and Application Package (see the [OJP Grant Application Resource Guide](#))

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see the [OJP Grant Application Resource Guide](#))

\_\_\_\_\_ 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](https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see the [OJP Grant Application Resource Guide](#))

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 the [OJP Grant Application Resource Guide](#))

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

\_\_\_\_\_ Contact BJA regarding experiencing technical difficulties (see page 2)

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

\_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2019 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/Explore/LegalOverview2019/index.htm>.

**Scope Requirement:**

\_\_\_\_\_ The federal amount requested is within the allowable limit for the category.

**Eligibility Requirement:** Eligible applicants are states, units of local government, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

**What an Application Should Include:**

The following items are critical application elements required to meet the basic minimum requirements. An application that OJP determines does not include the application elements designated to be critical will neither proceed to peer review nor receive further consideration.

- Project Abstract (see page 12)
- Program Narrative (see page 13)
- Budget Detail Worksheet (including Narrative) (see page 13)
- Timeline/Project Plan (see page 16)
- Letter from Lead Agency (if applicable) (see page 15)
- Letter from Responsible Government Procurement Agency Executive (see page 16)
- Applicant Disclosure of Proposed Subrecipients (see page 16)
- Résumés or curricula vita for key personnel (see page 16)

- Application for Federal Assistance (SF-424) (see page 12)
- Indirect Cost Rate Agreement (if applicable) (see page 14)
- Tribal Authorizing Resolution (if applicable) (see page 14)
- Financial Management and System of Internal Controls Questionnaire (see page 14)
- [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 14)
- Applicant Disclosure of Pending Applications (see page 15)
- Applicant Disclosure and Justification – DOJ High Risk Grantees (see page 15)

Additional Attachments

- Research and Evaluation Independence and Integrity (see page 15)
- Request and Justification for Employee Compensation; Waiver (if applicable) (see page 11)
- Other Letters of Support (see page 16)
- Position Descriptions (see page 16)
- Documentation of Anticipated Benefit to federally designated Qualified Opportunity Zones (if applicable) (see page 15)