

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 for the Second Chance Act Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders. This program furthers the Department's mission by providing resources to state, local, and tribal governments to establish or enhance the provision of treatment to adults to facilitate the successful reintegration of individuals returning from incarceration to their communities.

Second Chance Act Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders FY 2017 Competitive Grant Announcement

Applications Due: March 14, 2017

Eligibility

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

Note: Assessing the outcome of programs funded under the Second Chance Act is a DOJ priority. Applicants should not apply for funding if they cannot track unique identifiers for participants, gain access to recidivism data, and report recidivism data, particularly returns to incarceration during the period 1 year after release. Chief executives from applicant organizations must sign and submit an assurance that all participant recidivism indicator data will be collected and submitted. Applications which do not include an assurance from the applicant agency's Chief Executive to collect and submit participant recidivism indicator data will not be considered. See Appendix 3 on page 45 for more information.

BJA welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").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. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient ("subgrantee") in more than one application.

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

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

Mandatory Certification: This program provides for the treatment and reentry services of people with co-occurring substance use and mental disorders returning to the community from incarceration. All applicants **must certify** that any treatment program proposed in the application is or will be clinically appropriate and will provide comprehensive integrated substance use and mental disorder treatment. Applicants **must provide official documentation** that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local (city and county), and tribal requirements, as appropriate. If provider organizations are not yet known, this information must be provided post-award. See Appendix 2 on page 44 for more information.

Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on March 14, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

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

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to support@grants.gov. The [Grants.gov](#) Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

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

For assistance with any 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 announcement: BJA-2017-11483

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Second Chance Act Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders (CFDA #16.812)

A. Program Description

Overview

The Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders is designed to improve outcomes for adults with co-occurring substance use and mental disorders returning to communities after a period of incarceration. BJA recognizes that a significant number of individuals who are incarcerated and return to the community have chronic substance use and mental disorders and are in need of treatment in order to successfully complete their supervision, reduce recidivism, and promote public safety. The coordination of substance use and mental health treatment with correctional planning can encourage participation in treatment and can help incorporate treatment goals into correctional supervision and supports.

Statutory Authority: This program is authorized under Section 201 (Offender Reentry Substance Abuse and Criminal Justice Collaboration Program) of the Second Chance Act of 2007 ([Public Law 110-199](#)).

Program-Specific Information

Under this solicitation, BJA is seeking applications to implement or expand treatment programs for adults with co-occurring substance use and mental disorders who are returning to their communities following incarceration. Programs should 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. Proposed programs should improve the provision of treatment for adults (18 years and over) being treated for co-occurring substance use and mental disorders, focusing on ***pre- and post-release programming for every program participant***.

A 2014 joint report released by the Treatment Advocacy Center (TAC) and The National Sheriffs' Association, *The Treatment of Persons with Mental Illness in Prisons and Jails: A State Survey*, estimated that in 2012 there were 356,268 inmates with a severe mental illness in prisons and jails,² and that in the same year there were approximately 35,000 patients with severe mental illnesses in state psychiatric hospitals, signifying that the number of incarcerated persons with mental illnesses was 10 times higher than the number of people with mental disorders residing in state hospitals.

The report also demonstrated that in 44 of the 50 states, a prison or jail in that state holds more individuals with serious mental illnesses than the largest state psychiatric hospital. In a study of jail populations, researchers found rates of serious mental disorders were three to six times higher than those found in the general population, affecting approximately 15 percent of men and 31

² <http://www.treatmentadvocacycenter.org/storage/documents/treatment-behind-bars/treatment-behind-bars.pdf>, April 8, 2014.

percent of women.³ Further, mentally ill adults remained in prison and jail longer than regular prisoners and thus contributed to increases in overcrowding and potentially to the use of solitary confinement.⁴ They are disproportionately abused, beaten, and/or raped, and suicides in prison and jails occur disproportionately more often among prisoners who are mentally ill.⁵

For the majority of those adults with mental illnesses, post release/reentry into the community is a vulnerable time, marked by difficulties adjusting, increased drug use, and a 12-fold increased risk of death in the first 2 weeks after release. Effective transition planning and implementation can minimize the risk of these hazards and improve individual functional outcomes as well as public safety by increasing the possibility that individuals will participate in and complete supervision requirements and treatment.⁶

Research from the National Institute on Drug Abuse indicates that those who complete prison-based treatment and continue with treatment in the community have the best outcomes.⁷ In addition, research indicates that medications are an important part of treatment for many justice-involved adults with substance use disorders and should be made available as part of their treatment when appropriate.⁸ Outcomes for people in the justice system with substance use disorders can be improved by monitoring drug use and by encouraging and facilitating continued participation in treatment.

Ongoing coordination between treatment providers and community corrections is important in addressing the complex needs of these re-entering individuals. Additionally, providing connections to permanent housing, particularly permanent supportive housing, has been demonstrated to result in lower recidivism, reduced homelessness, and improved mental health and substance use outcomes for segments of the population with significant histories of homelessness and behavioral health issues.⁹

³ Steadman, Henry J., Osher, Fred C., Clark Robbins, Pamela, Case, Brian, and Samuels, Steven, "Prevalence of Serious Mental Illness among Jail Inmates," *Psychiatric Services* 60, no. 6:761–765, 2009.

⁴ www.safealternativestosegregation.org.

⁵ Torrey Fuller, E., Zdanowicz, M., Kennard, A., Lamb, R., Eslinger, D, Biasotti, M., *The Treatment of Persons with Mental Illness in Prisons and Jails: A State Survey*, 2014.

⁶ Blandford, A.M. and Osher, Fred, "Guidelines for successful transition of people with behavioral health disorders from jail and prison," Council of State Governments Justice Center, November 2013.

⁷ Martin, S.S., Butzin, C.A., Saum, C.A, and Inciardi, J.A., "Three-year outcomes of therapeutic community treatment for drug-involved offenders in Delaware: From prison to work release to aftercare," *The Prison Journal* 79(3):294–320, 1999; Prendergast, M.L., Podus, D., Change, E., and Urada, D., "The effectiveness of drug abuse treatment: A meta-analysis of comparison group studies," *Drug Alcohol Depend* 67(1):53–72, 2002.

⁸ Kinlock, T.W., Gordon, M.S., Schwartz, R.P., Fitzgerald, T.T., and O'Grady, K.E., "A randomized clinical trial of methadone maintenance for prisoners: Results at 12 months post-release," *J Subst Abuse Treat* 37(3):277–285, 2009.

⁹ Fountaine, J., Gilcrest-Scott, D., Roman, J., Taxy, S., Roman, C., "Supportive Housing for Returning Prisoners: Outcomes and Impacts of the Returning Home-Ohio Pilot Project." Urban Institute, August 2012. Retrieved from: http://www.urban.org/research/publication/supportive-housing-returning-prisoners-outcomes-and-impacts-returning-home-ohio-pilot-project/view/full_report.

Goals, Objectives, and Deliverables

The goal of this program is to: Reduce recidivism and improve public safety and public health by providing screening, assessment, and pre- and post-release treatment for individuals with co-occurring substance use and mental disorders.

The objectives of this program are to:

- 1) Increase the screening and assessment for criminogenic risk and needs, substance use, and mental disorders in jails and prisons.
- 2) Improve the provision of integrated treatment to adults with co-occurring substance use and mental disorders pre- and post-release from incarceration.
- 3) Develop reentry case plans that incorporate the results for risk and needs assessment, substance use disorders, and mental disorders to develop supervision and program components.

Allowable Program Activities Include:

Screening and assessment, using a validated risk assessment tool, for co-occurring substance use and mental disorders while in prison and jail; providing treatment for co-occurring substance use and mental disorders while in prison and jail, including integrated dual diagnosis treatment; pre-release and post-release case planning; case management; providing linkages to other wraparound or recovery support services, including employment, education, housing and life skills training, and post-release treatment and aftercare programming in the community through the completion of parole or court supervision; and specialized supervision caseloads.

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

Definitions

- **Co-Occurring Disorders (COD):** Co-occurring disorders refers to co-occurring substance-related and mental disorders. Clients said to have COD have one or more substance-related disorders as well as one or more mental disorders. At the *individual level*, COD exist "when at least one disorder of each type can be established independent of the other and is not simply a cluster of symptoms resulting from [a single] disorder."
- **Homelessness and Chronic Homelessness:** In general, the term "chronically homeless" means, with respect to an individual, that the individual:
 - (I) has been continuously homeless for a year or more; OR
 - (II) has had at least four episodes of homelessness in the past 3 years.

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 is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services. Another resource is the Substance Abuse and Mental Health Services Administration (SAMHSA) National Registry of Evidence-based Programs and Practices (NREPP), a searchable online registry of more than 350 substance use and mental health interventions, including criminal justice/criminogenic-treatment interventions. See: <http://nrepp.samhsa.gov/>.

Program Design Elements

Grantees will be expected to complete a “Planning Phase” that requires work with BJA’s technical assistance provider and approval from BJA before activity may begin toward the full implementation of their programs.

Planning Phase:

- Although each of the six program design elements must be included in the application, BJA expects that some may be in the preliminary stages of development at the time of application. During the Planning Phase, applicants will build upon and strengthen compliance with the mandatory program design elements.
- Required milestones in the Planning Phase include the following:
 - **Completion and Submission of the *Planning and Implementation Guide*.** Grantees will receive intensive technical assistance and will be allowed to access up to \$100,000 of the total grant award in order to complete and submit a required [Planning and Implementation 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. Program budget approval and coordination with a technical assistance coordinator is required to complete and submit the *Planning and Implementation Guide*.
 - **Use of the Risk Needs Responsivity (RNR) Simulation Tool in Completing the *Planning and Implementation Guide*.** Grantees are required to utilize the [RNR Simulation Tool](#), with assistance from the NRRC, in planning to gather and analyze information about a representative sample of individuals in the target population, the program(s), and the jurisdiction’s capacity to meet identified needs to inform their *Planning and Implementation Guide*. This tool, developed with support from a 2009 BJA grantee, helps agencies ensure that programs adhere to evidence-based principles and that individuals receive appropriate treatment. For guidance, see: [When Agencies Partner](#), specifically Chapters 2 and 3.
- Allowable uses for award funds during the Planning Phase include the following:

- Staff time to work with partners and collect data related to the RNR Simulation Tool.
 - Establishing a program design, including the integration of an Integrated Care Model.
 - Continuing or commencing a strategic plan for the implementation of health care services into the program design (see page 11 for more information).
 - Continuing development of a Continuum of Care model, examining the applicant's current provision of screening and assessment, pre-release treatment services, and post-release programming to ensure that all gaps within the remaining system are filled by strategically targeting grant funds for maximum efficacy.
 - Improving and enhancing the use of screening and assessment to ensure that individuals are selected for participation in the most appropriate programming to ensure the best outcomes for them.
 - Engaging in strategic planning to ensure long-term systems change and sustainability for maximum program efficacy.
 - Formalizing program partnerships, including the development or refinement of memorandums of understanding (MOUs) and role clarification for institutional and or community corrections and co-occurring substance use and mental disorders treatment providers.
 - Formalizing partnership (if necessary) with a research/evaluation partner.
 - Working with a research/evaluation partner to set performance outcome measures.
 - Developing and enhancing strategies to increase access to health care for people in the justice system, including enrollment in benefits.
- Once the *Planning and Implementation Guides*, informed by the results of the RNR tool, are submitted and approved by BJA, grantees will move into the Implementation Phase of their programs and gain access to the remainder of their grant funds.

Implementation Phase:

The following six elements listed below **MUST** be addressed in the proposal. Proposals should include an “integrated care” approach in the design of the programs, which incorporate all the mandatory program design elements. For more information on the Integrated Care Model, refer to [Appendix 1](#). Applicants **MUST**:

1) Address Criminogenic Risk and Needs, and Recidivism Reduction

- Use an Actuarial-Based Risk Assessment Instrument for Case and Treatment Planning: Applicants must use risk and needs assessment tools that are reliable and validated in order to increase the chances that individuals will be matched with the appropriate type of treatment and reentry services.¹⁰
- Target Individuals at Moderate to High Risk to Reoffend: Prioritize primary supervision and treatment resources for individuals who are at higher risk to re-offend as identified by the risk and needs assessment.
- Target Criminogenic Risk and Needs that Affect Recidivism Through Cognitive Behavioral Interventions: Provide treatment interventions that target criminal

¹⁰ See Demarais, S. and Singh, J., *Risk Assessment Instruments Validated and Implemented in Correctional Settings in the United States: An Empirical Guide*. Retrieved from: <https://csgjusticecenter.org/wp-content/uploads/2014/07/Risk-Instruments-Guide.pdf>

thinking, especially for higher risk individuals, and provide training for staff in utilizing cognitive-behavioral interventions and strategies.

- 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 3–9 months post-release, 40–70 percent of high risk individuals' free time needs to be occupied with delineated routine and appropriate services.¹¹

2) Use Integrated and Evidence-based Substance Use and Mental Disorders Treatment

- Use validated tools to screen and assess for substance use disorders and mental disorders.¹²
- Provide substance use and mental disorder treatment practices and services that have a demonstrated evidence base and that are appropriate for the target population.¹³ Applicants should identify the evidence-based practice being proposed for implementation; identify and discuss the evidence that shows that the practice is effective; discuss the population(s) for which this practice has been shown to be effective; and determine that it is appropriate for the proposed target population.
- Provide Integrated Treatment for Substance Use and Mental Disorders. BJA anticipates funding applicants that demonstrate an integrated treatment approach, knowing that integrated treatment produces better outcomes for individuals with co-occurring substance use and disorders. Without integrated treatment, one or both disorders may not be addressed properly.
- Those applicants designing prison-based programs must provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit exclusively for use by participants—from the general correctional population. Individuals included in prison-based programs must be within 6–12 months before scheduled release to the community.

¹¹ Bourgon and Armstrong, 2006; Latessa, 2004; Gendreau and Goggin, 1995.

¹² See Substance Abuse and Mental Health Services Administration. *Screening and Assessment of Co-occurring Disorders in the Justice System*. HHS Publication No. (SMA)-15-4930. Rockville, MD: Substance Abuse and Mental Health Services Administration, 2015. <http://store.samhsa.gov/shin/content//SMA15-4930/SMA15-4930.pdf>.

¹³ Applicants can also find information on evidence-based practices in SAMHSA's *Guide to Evidence-Based Practices* available at www.samhsa.gov/ebpwebguide. The guide provides a short description and a link to dozens of websites with relevant evidence-based practices information—either specific interventions or comprehensive reviews of research findings. Note that SAMHSA's *Guide to Evidence-Based Practices* also references NREPP, a searchable database of interventions for the prevention and treatment of mental and substance use disorders. NREPP is intended to serve as a decision support tool, not as an authoritative list of effective interventions. *Being included in NREPP, or in any other resource listed in the guide, does not mean an intervention is "recommended" or that it has been demonstrated to achieve positive results in all circumstances.* Applicants must document that the selected practice is appropriate for the specific target population and purposes of their project.

Proposed programs should require urinalysis and/or other proven reliable forms of drug and alcohol testing for program participants, including both periodic and random testing, and for former participants while they remain in the custody, or under community supervision, of the state, local, or tribal government.

- Provide Evidence-Based Pharmacological Drug Treatment Services. Applicants are encouraged to utilize pharmacological drug treatment services (also referred to as “Medication-Assisted Treatment”), as appropriate and available, as part of any drug treatment program. In consultation with federal partners at SAMHSA, Medication-Assisted Treatment (MAT) is supported and considered an evidence-based substance use treatment protocol. BJA supports the right of individuals to have access to appropriate MAT under the care and prescription of a physician. BJA recognizes that all communities may not have access to MAT due to a lack of physicians who are able to prescribe and oversee clients using anti-alcohol and opioid medications. This will not preclude the applicant from applying, but where and when available, BJA supports the client’s right to access MAT.
- Increase Access to Health Care. Applicants should have processes in place or develop and implement processes to identify individuals who have access to or are in need of enrollment in health care and other benefits (Supplemental Security Income/Social Security Disability [SSI/SSDI], Medicaid, veterans benefits, food stamps). Examples of how funding may be utilized to meet these goals include: incorporating health literacy into pre-release planning; institutionalizing enrollment activities; building capacity for correctional health care and community health care providers to share information, including the use of health information technology; providing guidance on the applicability of the individual mandate for the criminal justice population; identifying options and exclusions under Medicaid and private coverage relating to court-mandated treatment; identifying opportunities for maximizing health care coverage for the criminal justice population in traditional and expanded Medicaid programs; and collaborating with state Medicaid agencies to address policies relating to Medicaid managed care enrollment and suspending and/or terminating Medicaid benefits during incarceration.

3) Support a Comprehensive Range of Recovery Support Services. Make available a comprehensive range of programs, including services that employ the cognitive, behavioral, and social learning techniques of modeling, role playing, reinforcement, resource provision, and cognitive restructuring; educational, literacy, vocational, and job placement services, including supported employment; ongoing evidenced-based substance use (including alcohol abuse) and mental disorder treatment; housing and physical health care services; veteran-specific services as applicable; programs that encourage safe, healthy, and responsible family and parent-child relationships and enhance family reunification, as appropriate; mentoring; and permanent supportive housing. An MOU should be in place with housing partners wherever possible. Partnerships with housing services agencies should include a data-sharing agreement, and grant-funded activities should include screening program participants for housing needs, risk of homelessness, and/or chronic homelessness status. Grant-funded services may also include civil legal assistance to litigate inappropriate denials of housing or violations of the Fair Housing Act.

4) Provide Community Supervision Services Which Follow Evidence-Based Practices.

Provide evidence-based community supervision services, including the development and supervision of individualized case plans which stem from risk and needs assessments; the use of graduated responses such as the employment of structured, swift, and incremental responses to violations; structuring supervision caseloads which reflect the level of risk and needs for the target population; and staff development such as training in effective individual management techniques.

5) Demonstrate Ability to Utilize a Collaborative Case Management Model. A case plan is collaborative when all agencies involved in a client's reentry and recovery work together with the client and their support system throughout the case planning process. The case planning process is comprehensive when information from behavioral health assessments, trauma screens, and criminogenic risk and needs assessments and other important information is appropriately combined into the individual's case plan. The following pointers are designed to facilitate the case planning process for criminal justice and behavioral health entities and help their teams develop and implement collaborative and comprehensive case plans.

- The collaborative comprehensive case plan must be jointly agreed to and monitored by all involved agencies.
- There must be ongoing communication among corrections, supervision, and behavioral health teams.
- There must be a primary coordinator for the case management plan and details on the primary coordinator's capacity and authority to assure collaborative interventions for mental health, substance use, and criminogenic risk and needs treatment as well as evidence-based supervision.
- The data system and how information sharing will happen must be explained, including which partners have access to shared access to the case file.
- The applicant is required to submit information on how each system representative will be providing information to inform the case plans.
- When the person in jail or prison reenters, the applicant must assure that all relevant team members perform in-reach to that person while they are incarcerated.¹⁴

6) Plan for Data Collection, Performance Measurement, and Quality Assurance to Meet Grant's Performance Measurement Reporting Requirements, and Plan for Conducting Process/Outcome Evaluation. Applicants will work closely with an identified research/evaluation partner to establish and test the efficacy of a reentry protocol for people reentering the jurisdiction from incarceration. Demonstrate baseline recidivism data exists for target population and that there is a mechanism to track recidivism data for the cohort going forward: Provide a baseline recidivism rate specifically for the proposed target population including documentation to support the development of the rate. Collect participant unique identifiers, and collect and report recidivism indicator data.

¹⁴ Shoemaker, J., *Health Care Reform: A Practical Guide for Corrections and Criminal Justice Professionals*. American Correctional Association and Bureau of Justice Assistance. 2016.

Priority Considerations

Priority consideration will be given to applicants that include the following elements in the development of their programs:

- Letters of support or MOUs or prior engagement through advisory or council meetings. Corrections, community-based behavioral health, and community supervision partnerships are demonstrated with the ability to develop and provide funding to partner agencies to ensure collaboration to provide high quality services to people with co-occurring disorders reentering the community.
- Focus their program on geographic areas with demonstrated high rates of people with co-occurring substance use and mental disorders returning from prisons or jails.
- Incorporate innovative uses of information technology that leverage electronic information sharing and communication to advance the specific goals of this solicitation, including, but not limited to, the sharing of electronic medical records. Such proposals should clearly state how justice information sharing will be employed to address business solutions using architecture, standards, policy, and technology deployment. Applicants must also demonstrate utilization of DOJ's Global-recommended specifications and guidelines, where applicable, to include implementation of the Global Standards Package. For more information, visit: www.it.ojp.gov/gsp.
- Link grant-funded activities and services to affordable and supportive housing, especially permanent supportive housing, where appropriate. Linked activities and services should be leveraged through partnerships with nonprofit housing agencies, public housing authorities, housing finance agencies, and Continuums of Care that support stable, affordable housing and prevent homelessness.

Resources:

The National Reentry Resource Center (NRRC): BJA provides oversight of the NRRC for the provision of training and technical assistance (TTA) to Second Chance Act grantees. The NRRC, funded by BJA, provides education and TTA to states, tribes, territories, local governments and service providers, nonprofit organizations, and corrections institutions working on reentry. Grantees will be provided a TTA Coordinator who will provide assistance in planning and implementing their programs.

Risk Needs Responsivity (RNR) Simulation Tool: The RNR Simulation Tool is a suite of three on-line decision support portals that assist in adherence to evidence-based principles by providing: (1) information on individual level assessment and treatment matching, (2) program feedback and guidance for improving adherence to evidence-based practices (EBPs), and (3) jurisdiction- or system-level information on whether identified needs are being met by available programs. For more information, visit the [George Mason University Center for Advancing Correctional Excellence! website](#) where applicants may also test-drive the tools.

Behavioral Health Framework for Adults Under Correctional Supervision: For a compilation of research regarding targeted programming for people with behavioral health needs under correctional supervision, see: [Adults with Behavioral Health Needs under Correctional](#)

[Supervision: A Shared Framework for Reducing Recidivism and Promoting Recovery](#). The framework is designed to reduce recidivism and behavioral health problems among individuals under correctional control or supervision by making the most effective use of scarce resources to improve outcomes for those individuals. It provides a common structure for corrections and treatment system professionals to begin building truly collaborative responses to their overlapping service population.

Civil Legal Aid: Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. An allowable use of Second Chance Act funds for reentry services includes referral to and payment of legal services related to the purpose of the grant such as securing a driver's license, expunging criminal records, litigating inappropriate denials of housing or employment and violations of the Fair Credit Reporting Act, creating and/or modifying child support orders, and other family law services that help stabilize individuals and families. For more information, go to: www.bja.gov/Programs/SecondChanceLegalServicesGuidance.pdf. This excludes the payment of fines or penalties associated with a driver's license suspension or the payment of child support.

B. Federal Award Information

Amount and Length of Awards

BJA expects to make up to eight awards of up to \$650,000, with an estimated total amount awarded of up to \$5.2 million. BJA expects to make awards for a 36-month period of performance, to begin on October 1, 2017.

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

- **Category 1, Competition ID BJA-2017-12360:** Units or components of state government agencies serving adult individuals.
- **Category 2, Competition ID BJA-2017-12361:** Units or components of county or city local government agencies serving adult individuals.
- **Category 3, Competition ID BJA-2017-12362:** Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adult individuals.

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 Award¹⁵

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

¹⁵ See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements [a type of grant]).

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities¹⁶) must, as described in the Part 200 Uniform Requirements¹⁷ as set out at 2 C.F.R. 200.303:

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

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

Budget Information

Unallowable Uses for Award Funds

In addition to the unallowable costs identified in the DOJ Grants Financial Guide, award funds may not be used for:

- Prizes/rewards/entertainment/trinkets (or any type of monetary incentive)
- Client stipends

¹⁶ 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.

¹⁷ 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.

- Gift cards
- Vehicles
- Food and beverage

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

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.

For more information on matching or cost sharing requirements, go to the 2015 DOJ Grants Financial Guide, Chapter III: http://ojp.gov/financialguide/DOJ/pdfs/2015_DOJ_FinancialGuide.pdf.

Award Special Condition – Withholding of Funds for Planning Phase

Once awarded, each grant award will have in place a special condition withholding all but \$150,000, which will allow grantees to complete, submit, and receive approval on the *Planning and Implementation Guide* within 6 months of receiving final approval of the project’s budget from the Office of the Chief Financial Officer (OCFO). The recipient will not be authorized to obligate, expend, or draw down funds in excess of \$150,000 until BJA has reviewed and approved the *Planning and Implementation Guide* and a Grant Adjustment Notice has been issued and approved to remove the special condition. The Planning and Implementation (P&I) Guide will be provided by BJA’s technical assistance provider—the NRRC—which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. A completed P&I Guide will include:

- Description of the problem and the data that led to its identification
- A logic model that identifies 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 project impact

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

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

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient’s

approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#) for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110% 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.¹⁸ The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

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

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

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

www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide

¹⁸ 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.

meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see the title page.

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet/Budget Narrative, the Chief Executive Assurance to Collect and Submit Participant Recidivism Indicator Data, and the Mandatory Certification Requirements and Coordination Requirements. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How To Apply](#) (below) to be sure applications are submitted in permitted formats.

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

For samples of successful FY 2015 applications, go to <https://uat-www.bja.gov/funding/ApplicationExamples17.html>

1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and the OJP Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable). The SF-424 must include the amount of funds requested for the entire 36-month period of performance.

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

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

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.")

Selecting the Appropriate Point of Contact (POC) and the Authorized Organization

Representative (AOR): Applicants should be cognizant that these two contacts should not be the same. The AOR must have the authority to enter the state, county, municipality, or other eligible unit of local government into a legal contract with the federal government. This person is typically a county commissioner, mayor, city manager, or other similarly designated official. The POC will serve as the primary point of contact and will be responsible for grant management duties such as a submission of reports. Make sure that the name, contact information, title, and salutation are correct.

2. Project Abstract

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

- Written for a general public audience
- Submitted as a separate attachment with "Project Abstract" as part of its file name
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative. **The abstract should include the following clearly labeled information:**

- Name of applicant (agency/correctional facility), title of the project, and amount of funding requested
- Whether the agency/correctional facility is a state, local, or tribal entity
- Brief description of the target population (e.g., size and make-up of the target population, etc.), the geographic location for the target population, the projected number of individuals to be serviced, and the jurisdiction's population
- Baseline recidivism rate for the proposed target
- Brief description of the program design that includes a description of both the pre- **and** post-release treatment services to be provided for every program participant
- Description of the type of objective assessment instrument(s) used to identify and determine an individual's criminogenic risks, needs, and intervention treatment
- Information on the collaborative partnerships with community-based substance use service providers to ensure coordinated reentry
- Briefly explain which, if any, of the Priority Considerations the application has addressed as described on page 13.
- Describe how many people in total the proposed program plans to serve over the length of the project period. If the applicant is requesting funds for a program that is currently operational, the applicant must state how many people the program has served (who meet the stated target population characteristics) over the past 6 months. If the applicant is proposing to implement as a "new program," the applicant must state how many people met the target population characteristics within the past 6 months. **Those served or eligible over the past 6 months will provide the foundation for determining the total number of people the proposed program plans to serve.**
- Name the research partner who will be providing the evaluation of the program and the type of evaluation to be conducted.

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

NOTE: BJA recommends that the abstract be submitted as a Microsoft Word document.

Permission to Share Project Abstract with the Public: It is unlikely that OJP will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding unfunded applications, for example, through a listing on a web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's

funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

Note: OJP may choose not to list a project that otherwise would have been included in a listing of unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria (1-4) in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and should not exceed 15 pages. Number pages "1 of 15," "2 of 15," etc.

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

The following sections should be included as part of the program narrative¹⁹:

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

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

The application should describe the applicant's plan for collection of all of the performance measures data should it receive funding.

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA's online Performance Measurement Tool (PMT) located at: www.bjaperformancetools.org. Applicants should examine the complete list of measures for the Second Chance Act Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders Program, which is available at the following link: www.bjaperformancetools.org/help/scaco-occurringquestionnaire.pdf

¹⁹ 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](#).

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements, likely do not constitute “research.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection for OJP-funded programs, is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the “[Requirements related to Research](#)” web page of the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017," available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

4. Budget and Associated Documentation

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at: www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet:

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

Applicants must show all computations. The Budget Detail Worksheet should provide itemized break downs of all costs. If the computations do not show a sufficient amount of detail or are incorrect, the budget will be returned for corrections. The Budget Detail Worksheet should break out costs by year.

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

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

b. Budget Narrative

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

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The budget narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how those costs are necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the budget narrative should describe costs by year.

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

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

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

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

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

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

1. Information on proposed subawards

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

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

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

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

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

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

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

d. Pre-Agreement Costs

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

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

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

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 1–800–458–0786 or at: ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at: <http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both—(1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the “de minimis” rate.)

6. Tribal Authorizing Resolution (if applicable)

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

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

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

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

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

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

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Additional Attachments:

NOTE: OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Timeline,” “Position Descriptions,” “Memorandums of Understanding,” “Disclosure of Pending Applications,” and “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés in a single file.

- a. **Project Timeline** with each project goal, related objective, activity, expected completion date, responsible person, or organization.
- b. **Position Descriptions** for key positions.
- c. **Letters of Support/Memorandums of Understanding** from all key partners detailing their commitment to work with the applicant to promote the mission of the project.
- d. **Mandatory Certification Requirements and Mandatory Coordination Requirement Form** (see also Appendix 2). Applicants must certify that any treatment program proposed in the application is clinically appropriate, will provide comprehensive treatment, and has been developed in coordination with the Single State Agency for Substance Abuse Services. Treatment providers who are serving the intended target population of this program must provide documentation that demonstrates their credentials to provide integrated substance use and mental disorder treatment services.

Applicants should also provide official documentation that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local (city, county), and tribal requirements, as appropriate.

- e. **Assurance to Collect and Submit Participant Recidivism Indicator Data**
Applications must include an assurance signed by the applicant organization’s chief executive (see Appendix 3 for Assurance form) that all participant recidivism indicator data will be collected and submitted at the end of the grant period. Applications which do not include this assurance will not be considered. Inability or refusal to submit data after award may impact the organization’s ability to receive future BJA competitive grant funding.
- f. **Applicant Disclosure of Pending Applications**
Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or State funding agency
- The solicitation name/project name
- The point of contact information at the applicable federal or State funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/ Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ Substance Abuse & Mental Health Services Administration	Drug-Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

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

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

g. Research and Evaluation Independence and Integrity

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

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

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

interest – whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified – including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients – that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and

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

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

How To Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at: www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

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

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

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

GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

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

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

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

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

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at: www.dnb.com. A DUNS number is usually received within 1–2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants,

recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

Information about SAM registration procedures can be accessed at www.sam.gov.

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance ("CFDA") number for this solicitation is 16.812, titled "Second Chance Act Reentry Initiative," and the funding opportunity number is BJA-2017-11483.
- 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, Competition ID BJA-2017-12360:** Units or components of state government agencies serving adult individuals.
 - **Category 2, Competition ID BJA-2017-12361:** Units or components of county or city local government agencies serving adult individuals.
 - **Category 3, Competition ID BJA-2017-12362:** Federally recognized Indian tribes and Alaska Native tribes and/or tribal organizations serving adult individuals.
- 7. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully

submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on March 14, 2017.

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

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the NCJRS Response Center identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

Note: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

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

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

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria. The following five selection criteria will be used to evaluate each application, with a weight given to each based on the percentage value listed after each individual criterion. For example, the first criterion, "Statement of the Problem," is worth 15 percent of the entire score in the application review process.

1. Statement of the Problem (15 percent)

- Describe the problems with meeting the needs of adults with co-occurring substance use and mental disorders returning to the community from incarceration.
- Indicate the jurisdiction or tribe to be served, including information about the correctional facilities from which individuals will be reentering their communities. Provide information on the target population (i.e., size and make-up, etc.), the number of individuals with co-occurring substance use and mental disorders within the correctional/detention facilities who are returning to the community, and any recidivism and substance use data available for the target population.
- Summarize the basic components of the current process for identifying individual risk/needs, availability of substance use and mental health treatment services, reentry planning for these individuals, linkages to community-based treatment providers, and case management.
- Provide justification and support documentation for selecting the target population.
- Provide a baseline recidivism rate, including the method for calculating the rate, for the proposed target population and discuss what level of reduction in recidivism you would consider to be success. If the applicant does not have a baseline recidivism rate for a historical sample of ex-individuals **similar to the target population**, provide a rate for **another** population. For instance, use a recidivism rate for individuals who have been released from a local prison or jail **such as a facility 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 a description of the population (demographics, risk level, offense type), the follow-up period length (post-release), and the dates when the recidivism rate was calculated.

2. Program Design and Implementation (35 percent)

- Describe the proposed program and the project's purpose, goals, and objectives.
- Describe how the Planning Phase activities will be addressed, including the completion of the *Planning and Implementation Guide*.
- Address each of the six Program Design Elements (pages 8-12 and Appendix 1).
- Address the Priority Considerations (page 13).
- Provide operational guidelines for identifying eligible program participants, which should include a plan to screen potential participants, conduct risk and needs assessments, and refer individuals to the program.

- Describe how many total people the proposed program plans to serve over the length of the project period. If awarded grant funds, BJA will track and compare the number of participants actually provided services with the number proposed in this section of the application.
 - If the applicant is requesting funds for a program that is currently operational, the applicant must state how many people the program has served (**who meet the stated target population characteristics**) over the past 6 months.
 - If the applicant is proposing to implement a “new program,” the applicant must state **how many people met the target population characteristics within the past 6 months**.
- Provide a description of both the pre-release screening and assessment process **and** post-release services to be provided for every program participant.
- Describe the process for linking individuals to treatment and other recovery support services. Describe any modifications/adaptations needed to make this practice meet the goals of your project and why the changes will improve the outcomes.
- Describe the mechanisms that will be put in place to ensure the accountability of the service delivery system on an ongoing basis.

3. Capabilities, Competencies, and Coordination (25 percent)

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.
- Demonstrate the capability of the implementing agency and collaborative partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program. Include position descriptions for key personnel (as an attachment).
- Describe the experience of the project researcher and, in particular, their experience evaluating criminal justice programs, measuring and reporting recidivism and improvement in functional outcomes for justice-involved individuals with behavioral health disorders, and working across multiple data sets.
- Demonstrate and identify partnership organizations with community-based substance use and mental health treatment programs to ensure coordinated reentry efforts within the correctional facility/facilities and ongoing treatment and/or aftercare programming upon individual reentry to the community.

4. Plan for Data Collection and Performance Measurement to Meet Grant’s Performance Measurement Reporting Requirements and Plan for Conducting Process/Outcome Evaluation (15 percent)

- Describe the applicant’s current ability to collect and analyze participant-level, if applicable, and program-level performance and outcome data. In addition, this description should also include the ability to share data with other agencies such as the department of mental health or other relevant service agencies. Outline how and what data and information will be collected and analyzed to determine the effectiveness of the treatment programs implemented or enhanced and describe how randomized trials will be used where feasible. Describe how performance will be documented, monitored, and evaluated and identify the

impact of the strategy once implemented.

- Identify existing barriers to collaboration between the criminal justice and behavioral health systems within the jurisdiction and with its intergovernmental partners, as relevant, and describe how this grant will improve collaboration to improve access to treatment services beyond this particular program.
- Discuss how variables like stakeholder support and service coordination will be defined and measured.
- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources to sustain the project when the federal grant ends.
- Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery.

5. Budget (10 percent)

- Provide a proposed budget for the entire period of performance, including both the Planning Phase and the Implementation Phase, that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). The Budget Narrative should generally demonstrate how the applicant will maximize cost effectiveness of grant expenditures. The Budget Narrative should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.²⁰
- Applicants must budget funding to travel to DOJ-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff members to attend two meetings in Washington, D.C.
- Upon the granting of this award, initial funds will be available only for the Planning Phase. Please be mindful that the *Planning and Implementation Guide* must be submitted and approved by BJA before grantees move into the Implementation Phase of their project and gain access to the remainder of their funds.
- See the additional budget and budget narrative requirements on pages 22-23.

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

²⁰ Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

- The 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](#).

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

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

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 applicants.

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

1. Applicant financial stability and fiscal integrity
2. Quality of the management systems of the applicant, and the applicant’s ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies

4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

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

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

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

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

General Information about Post-Federal Award Reporting Requirements

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

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

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

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any recipient, post award, to provide the data in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

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 project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

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

Provide Feedback to OJP

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

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

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

Application Checklist
FY 2017 Second Chance Act Reentry Program for Adults with Co-Occurring Substance Use and Mental Disorders

This checklist has been created to assist with developing an application. **Elements marked with an asterisk are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.**

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 31)
- _____ Acquire or renew registration with SAM (see page 31)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 32)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 32)

To Find Funding Opportunity:

- _____ Search for the funding opportunity on Grants.gov (see page 32)
- _____ Select the correct Competition ID (see page 32)
- _____ Download Funding Opportunity and Application Package
- _____ Sign up for Grants.gov e-mail [notifications](#) (optional) (see page 30)
- _____ 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 17)

After application submission, receive Grants.gov e-mail notifications that:

- _____ (1) application has been received,
- _____ (2) application has either been successfully validated or rejected with errors (see page 32)

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

- _____ contact the NCJRS Response Center regarding experiencing technical difficulties (see page 33)

General Requirements:

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

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of \$650,000.

Eligibility Requirement:

- _____ Applicant agency meets eligibility requirements (see title page)
- _____ Federally recognized Indian tribe (if applicable)

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) Form (see page 19)
- _____ *Project Abstract—Including information on **both pre- and post-release services for every program participant** (see page 19)
- _____ *Program Narrative—Including information on **both pre- and post-release services for every program participant** (see page 21)
- _____ *Budget Detail Worksheet and *Budget Narrative (see pages 22-23)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 25)
- _____ Tribal Authorizing Resolution (if applicable) (see page 26)
- _____ Financial Management and System of Internal Controls Questionnaire (if applicable) (see page 26)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 26)
- _____ Additional Attachments (see page 27)
 - _____ Project Timeline
 - _____ Position Descriptions
 - _____ Letters of Support/Memoranda of Understanding
 - _____ *Mandatory Certification Requirements and Coordination Requirements
 - _____ Applicant Disclosure of Pending Applications
 - _____ Research and Evaluation Independence and Integrity
- _____ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 17)
- _____ *Chief Executive Assurance to Collect and Submit Participant Recidivism Indicator Data (see page 27)

Appendix 1

Integrated Substance Use and Mental Disorders Treatment

There are two levels of integration: systems integration and services integration. **Systems integration** refers to the process by which individual systems or collaborating systems (e.g., criminal justice, substance use, mental health) organize themselves to implement services integration to clients with co-occurring substance use and mental health disorders and their families.²¹ **Services Integration**²² refers to the participation of providers trained in both substance use and mental health services to develop a single treatment plan addressing both sets of conditions and the continuing formal interaction and cooperation of these providers in merging separate clinical services to meet the individual's substance use, mental health, and other needs. Services integration has two levels: **integrated programs** are changes within an entire agency that help practitioners provide integrated treatment, and **integrated treatment interventions**²³ are specific treatment strategies or techniques at the individual-practitioner level and include all services and activities that are combined in a single contact or series of contacts over time.

Services integration means providing *at a minimum*:

- Integrated screening for mental and substance use disorders
- Integrated assessment
- Integrated treatment planning
- Integrated or, at least, coordinated treatment
- Continuing care

The overall vision of an integrated system is to effectively serve individuals with co-occurring substance use and mental disorders no matter where they enter the system. In the context of reentry, integrated care models unite and align evidence-based treatment approaches to provide seamless and coordinated pre-release and post-release services that address both criminogenic risk and needs, health needs, and general reentry needs. Typical integrated care programs in reentry unite treatment for co-occurring substance use and mental disorders with trauma care and criminogenic risk reduction strategies. Services begin during incarceration and continue in the community following release.

²³ For more information, please see SAMHSA (2010). *Integrated Treatment for Co-Occurring Disorders Evidence-Based Practices (EBP) Kit*. Retrieved from <http://store.samhsa.gov/product/SMA08-4367>

Appendix 2
Mandatory Certification and Coordination Requirement Form
(Submit with the Application as an Attachment)

As the Authorized Representative of [*insert name of applicant organization*]
____, I assure BJA the following:

Mandatory Certification Requirement: Service Provider Licensing/Accreditation/Certification Documentation: All collaborating service provider organizations listed in this application meet applicable licensing, accreditation, and certification requirements.

As the authorized representative, I also understand that the following information is required to receive funding, and these materials have been included with the application materials:

- A letter of commitment that specifies the nature of the participation and what service(s) will be provided from every service provider organization listed in the application that has agreed to participate in the project.
- Official documentation that all service provider organizations collaborating in the project have been providing relevant services for a minimum of 2 years prior to the date of the application in the area(s) in which services are to be provided. Official documents definitively establish that the organization has provided relevant services for the last 2 years.
- Official documentation that all collaborating service provider organizations are in compliance with all local (city, county) and state/tribal requirements for licensing, accreditation, and certification or official documentation from the appropriate agency of the applicable state/tribal, county, or other governmental unit that licensing, accreditation, and certification requirements do not exist.

Note: Official documentation is a copy of each service provider organization's license, accreditation, and certification. Documentation of accreditation will not be accepted in lieu of an organization's license.

A statement by, or letter from, the applicant organization or from a provider organization attesting to compliance with licensing, accreditation and certification or that no licensing, accreditation, certification requirements exist, does not constitute adequate documentation.

Mandatory Coordination Requirement: I assure BJA that if my organization is not the Single State Agency (SSA) for Substance Abuse Services, the proposal has been developed in coordination with SSA support, except in the case of federally recognized tribal government applicants.

Signature of Authorized Representative

Date

Appendix 3
Mandatory Chief Executive Assurance to Collect and Report Recidivism Indicator Data

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

Signature

Title

Date