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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) (OJJDP) is seeking applications for funding under the Second Chance Act Reentry Program for Juveniles with Co-Occurring Substance Abuse and Mental Health Disorders. This program furthers the Department's mission by providing resources for substance abuse and mental health services and programs to help successfully reintegrate youth in confinement returning to their communities, families, schools, and the workforce.

## **OJJDP FY 2013 Second Chance Act Reentry Program for Juveniles with Co-Occurring Substance Abuse and Mental Health Disorders**

### **Eligibility**

Eligible applicants are limited to states (including territories) and units of local government (including federally recognized tribal governments, as determined by the Secretary of the Interior). (See Eligibility, page 3.)

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

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. (See How To Apply, page 25.) All applications are due by 11:59 p.m. eastern time on June 24, 2013. (See Deadlines: Registration and Application, page 3.)

### **Contact Information**

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov). Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirements of this solicitation, contact the Justice Information Center (JIC) at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com), or by [live Web chat](#). JIC hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

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# OJJDP FY 2013 Second Chance Act Reentry Program for Juveniles with Co-Occurring Substance Abuse and Mental Health Disorders (CFDA #16.812)

## Overview

The Second Chance Act of 2007 provides a comprehensive response to the increasing number of incarcerated adults and juveniles who are released from prison, jail, and juvenile residential facilities and are returning to their communities. The FY 2013 Second Chance Act Reentry Program for Juveniles with Co-Occurring Substance Abuse and Mental Health Disorders seeks to reduce long-term alcohol and other substance abuse among juveniles in secure confinement facilities and to improve drug treatment and mental health services provided to them during their confinement and through the completion of their court supervision. A secure confinement facility may include a juvenile detention center, juvenile correctional facility, or staff-secure facility. Eligible juveniles must have been confined under juvenile court jurisdiction. This program is authorized by the Second Chance Act, (Pub. L. 110-199), (42 U.S.C. § 3797w).

## Deadlines: Registration and Application

Applicants must register with Grants.gov to submit an application. 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 due date** of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on June 24, 2013. See How To Apply, page 25, for details.

## Eligibility

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

**Mandatory Certification Requirements (Statement of Assurance and Service Provider Licensing/Accreditation/Certification Documentation).** Applicants must certify that any treatment program that they propose in their application is clinically appropriate and will provide comprehensive treatment. Applicants must 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 and county), and tribal requirements, as appropriate. See Appendix B on page 30 for more information.

**Mandatory Coordination Requirement.** Applicants that are not the Single State Agency (SSA) for Substance Abuse Services must provide documentation that they have developed their proposal in consultation with the SSA. Federally recognized tribes must submit a Tribal Authorizing Resolution with their applications. See [www.samhsa.gov/Grants/ssadirectory.pdf](http://www.samhsa.gov/Grants/ssadirectory.pdf) for a listing of the SSA entities.

OJJDP welcomes joint applications from two or more eligible applicants; however, one applicant must be clearly indicated as the primary accountable applicant (for correspondence, award, and management purposes) and the others indicated as coapplicants.

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

## Program-Specific Information

OJJDP that a significant number of young people returning to the community from confinement have chronic substance abuse and mental health disorders and are in need of treatment to successfully complete their supervision. Among those youth with a mental health diagnosis, 60.8 percent also meet the criteria for a substance use disorder. Among American Indian and Alaska Native youth in confinement, 72 percent have co-occurring disorders.<sup>1</sup> Co-occurring substance use disorders are most frequently found among youth with a disruptive disorder, followed by youth with a mood disorder. Youth with comorbid and co-occurring disorders pose a unique challenge to the juvenile justice system, not only because the intensity of their needs is likely to be greater, but proper responses to their multiple needs requires increased collaboration, continuity of care, and the ability to recruit and retain providers to treat multiple needs over a sustained period of time.<sup>2</sup>

The purpose of Section 201 of the Second Chance Act is to:

1. improve the provision of drug treatment to juveniles in secure confinement facilities.
2. reduce long-term substance abusers' use of alcohol and other drugs while they are in a secure confinement facility and through the completion of parole or court supervision.

**Target Population.** Funds may be used to provide services only to youth admitted to the program prior to their 18th birthday. However, award recipients may continue to support a reentry plan for these individuals after their 18th birthday. OJJDP does not have a set timeline for terminating these services, but instead, allows recipients to provide services for as long as it is therapeutically necessary.

**Collaboration with Other Federal Agencies.** OJJDP and the Bureau of Justice Assistance (BJA) are collaborating closely on the Second Chance Act implementation to support both juvenile and adult reentry efforts. Similarly, BJA and OJJDP are working with the National Institute of Justice to support research and evaluations under the Act. For more information on the implementation of the Second Chance Act initiatives and Frequently Asked Questions, visit the [National Reentry Resource Center](http://www.nationalreentryresourcecenter.org) at [www.nationalreentryresourcecenter.org](http://www.nationalreentryresourcecenter.org).

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<sup>1</sup> Regier D.A., Farmer, M.E., Rae, D.S., Locke, B.Z., Keith, S.J., Judd, L.L., and Goodwin, F.K. 1990. Comorbidity of mental disorders with alcohol and other drug abuse. *Journal of the American Medical Association* 264:2511–2518.

<sup>2</sup> Shufelt, J.L., and Cocozza, J.J. 2006. "Youth with Mental Health Disorders in the Juvenile Justice System: Results from a Multi-State Prevalence Study."

## Goals, Objectives, and Deliverables

Section 201 of the Second Chance Act supports award recipients as they develop and implement comprehensive and collaborative strategies to increase public safety and reduce recidivism among reentering juveniles. Section 201 authorizes award recipients to provide improved drug treatment to juveniles in secure confinement and reduce long-term substance abusers' use of alcohol and other drugs while they are confined and through completion of court supervision.

The objectives of this program include improving outcomes for juveniles with co-occurring substance abuse and mental health disorders through the provision of appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk and needs assessment. To achieve this objective, OJJDP is seeking applications to implement or expand treatment programs for juveniles with co-occurring substance abuse and mental health disorders. These programs should improve the provision of treatment for juveniles (younger than 18 years old) with co-occurring substance abuse and mental health disorders within juvenile facilities and include both pre- and post-release programming for all program participants.

**Program Design Elements.** Applicants must also address the following program design elements in their proposal:

- 1. Use of Actuarial-Based Assessment Instruments for Treatment and Reentry Planning.** Applicants should use screening instruments and assessment processes that are reliable, validated, and normed for their specific target population to increase the chances that individuals will be matched with appropriate treatment and reentry services.
- 2. Provision of Evidence-Based Substance Abuse and Mental Health Treatment Services.** Applicants should provide substance abuse and mental health treatment practices and services that have a demonstrated evidence base and are appropriate for the target population. Applicants should identify the evidence-based practice they are proposing for implementation, identify and discuss the evidence that shows the practice is effective; and discuss the population(s) for which this practice has been shown to be effective and show that it is appropriate for the target population.

OJJDP strongly urges applicants to provide integrated treatment of co-occurring disorders, including a consistent message to program participants about substance use and mental health treatment and integrated clinical treatment provided by specialists with knowledge of both substance use disorders and serious mental illnesses and an understanding of the complexity of interactions between disorders. OJJDP encourages applicants to design treatment programs that provide individualized programming that addresses participants' psychosocial problems and skills deficiencies, created through comprehensive assessment and consultation with the treatment participant and provider.

**Note:** Applicants must indicate how they will begin dual diagnosis treatment for participating juveniles prior to their release (pre-release services) and how the applicant will continue treatment after participants are released into the community (post-release services).

Programs that applicants propose 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.

- 3. Pharmacological Drug Treatment Services.** OJJDP encourages applicants to use pharmacological drug treatment services, as appropriate, as part of any drug treatment program they offer to juveniles in a secure confinement facility.
- 4. Transition Planning Procedures.** Developing and implementing transition planning procedures to ensure linkages to services and benefits is a critical part of the reentry process. Applicants should consider institutionalizing appropriate information sharing with relevant community corrections and behavioral health partner agencies, assessing insurance and benefit status (including Medicaid, SSI, SSDI, veterans benefits, and other government entitlement programs) and eligibility, and assisting participants in the insurance/benefits application process.
- 5. Support of a Comprehensive Range of Recovery Support Services.** OJJDP encourages applicants to 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 evidence-based substance abuse (including alcohol abuse); and mental health disorder treatment; housing, 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; and mentoring.
- 6. Provision of Sustained Aftercare, Case Planning/Management in the Community.** OJJDP strongly encourages applicants to use consistent pre- and post-release case management and supervision that is sustained over a period of at least 6 months from the time of release or through the completion of probation or court supervision, whichever is shorter, and is especially responsive to the participant's transition from secure confinement to the community. Aftercare services must involve coordination between the correctional treatment program, community supervision program, and other social service and rehabilitation programs, such as education and job training, probation supervision, halfway houses, self-help, and peer group programs. Post-release treatment and aftercare must be coordinated, including information sharing, and in-reach allowed for community-based treatment providers.
- 7. Provision of Community Supervision Services that Follow Evidence-Based Practices.** Grantees may use funds to provide evidence-based community supervision services, including the development and supervision of individualized case plans that stem from risk and needs assessments; use graduated responses, including the employment of structured, swift, and incremental responses to violations; structure supervision caseloads that reflect the level of risk and needs for the target population; and provide staff development, including training in effective juvenile management techniques.

OJJDP encourages applicants to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluation. One resource that applicants should consider is the e-Consortium for University Centers and Researchers for Partnership with Justice Practitioners. The e-Consortium provides a resource to local, state, federal, and other groups who seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial to the criminal justice community. Find the e-Consortium online at [www.gmuconsortium.org/](http://www.gmuconsortium.org/).

## Definitions

- **Recidivism.** The Second Chance Act requires that recidivism be a measure of success in funded programs. For purposes of this solicitation, OJJDP defines recidivism as a return to prison and/or jail with either a new conviction or as the result of a violation of the terms of supervision within 12 months of initial release.
- **Facility-Based Programs.** Facility-based programs are in juvenile facilities or “behind the walls” programs that must provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit in a facility exclusively for use by participants—from the general population. Juveniles participating in facility-based programs must be within 6–12 months of scheduled release to the community.
- **Co-occurring Disorders (COD).** This term refers to co-occurring substance-related and mental health disorders. Clients said to have COD have one or more substance-related disorders and one or more mental health disorders. At the individual level, CODs 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.”
- **Evidence-Based Programs or Practices.** OJP strongly emphasizes the use of data and evidence in policymaking and program development in criminal justice. 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. OJP’s [CrimeSolutions.gov](http://CrimeSolutions.gov) and OJJDP’s [Model Program Guide](http://ModelProgramGuide) Web sites are two resources that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

For an in-depth look at a framework for major juvenile justice reform, integrating a forward-looking administrative model with evidence-based programming, see: “Improving the Effectiveness of Juvenile Justice Programs: A New Perspective on Evidence-Based Practice:” [cjr.georgetown.edu/pdfs/ebp/ebppaper.pdf](http://cjr.georgetown.edu/pdfs/ebp/ebppaper.pdf)

OJJDP recognizes that there are a limited number of evidence-based programs and practices that have been studied in a tribal setting. Consequently, OJJDP encourages applicants proposing to work with American Indian/Alaska Native youth to implement and evaluate evidence-based programs demonstrated effective in other populations. Applicants

may propose minor adaptations to these models for purposes of cultural relevance. Applicants should address and justify any proposed changes in their logic model.

- **Integrated Care.** As defined by the World Health Organization, integrated care brings together inputs, delivery, management, and organization of services related to diagnosis, treatment, care, rehabilitation, and health promotion to improve services in relation to access, quality, user satisfaction, and efficiency. 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 co-occurring substance abuse/mental health treatment with trauma care and criminogenic risk reduction strategies. Services begin during incarceration and continue in the community following release. As often seen with integrated care reentry programs, an institution administers co-occurring treatment over a specific time and simultaneously augments it with both trauma services and criminogenic risk reduction services. As program participants near completion of two parallel treatment curricula, they enroll in other transitional services to address general reentry needs, such as employment services, housing assistance, and government support services. A case manager, who, with the participant, creates an individualized treatment and transition plan with the aid of risk and need assessment tools, typically guides the entire course of care..

### **Amount and Length of Awards**

OJJDP expects to make as many as 6 awards of as much as \$600,000 for a 24-month project period. All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

### **Budget Information**

**Limitation on Use of Award Funds for Employee Compensation, Waiver.** With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2013 salary table for SES employees is available at [www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2013/executive-senior-level/rates-of-basic-pay-for-the-senior-executive-service-ses/](http://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2013/executive-senior-level/rates-of-basic-pay-for-the-senior-executive-service-ses/). 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. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. Applicants requesting a waiver should include a detailed justification in the budget narrative of their applications. Applicants who do not submit a waiver request and justification with their applications should anticipate that OJP will request them to adjust and resubmit their budgets.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the



individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

**Minimization of Conference Costs.** OJP encourages applicants to review the guidance on conference approval, planning, and reporting that is available on the OJP Web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This guidance sets out the current OJP policy, which requires all funding recipients who propose to hold or sponsor conferences (including meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

**Note on food and beverages.** OJP may make exceptions to the general prohibition on using OJP funding for food and beverages but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not affect direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

For awards made under this solicitation, food and/or beverage expenses are deemed reasonable and allowable only to the extent that they are (1) directly related to a youth reentry activity, (2) specifically included in the budget that OJP approves, and (3) consistent with threshold cost limits that DOJ has established for conference activity. Award recipients may not expend grant funds for food and/or beverage expenses that are related to conferences, trainings, or meetings that don't involve the direct provision of youth reentry services without separate prior approval from OJP.

**Costs Associated with Language Assistance (if applicable).** If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" Web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

**Match 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.

## Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. OJJDP will require award recipients to submit semiannual performance metrics of relevant data through the Data Reporting Tool (DCTAT) located [www.ojjdp-dctat.org/](http://www.ojjdp-dctat.org/). Performance measures for this solicitation are as follows:

Objective	Performance Measure	Description	Data Grantee Provides
<p>The objectives of this program include improving outcomes for juveniles with co-occurring substance abuse and mental health disorders through the provision of appropriate evidence-based services based on a reentry plan that relies on a risk and needs assessment.</p>	<p>Number of released youth served by a reentry program.</p>	<p>The intent of this indicator is to measure the change in the number of youth who are enrolled in reentry services.</p> <p>The number of youth <b>enrolled</b> represents the number of youth who actually end up in the program.</p> <p>Program records are the preferred data source.</p>	<p>Number of youth <b>enrolled</b> in the reentry program during the reporting period.</p>
	<p>Number of program youth served during the reporting period.</p>	<p>An unduplicated count of the number of youth <b>served</b> by the program during the reporting period. The number of youth served for a reporting period is the number of program youth carried over from previous reporting period and new admissions during the reporting period.</p> <p>Program records are the preferred data source.</p>	<p>Number of program youth carried over from the previous reporting period.</p> <p>New admissions during the reporting period.</p>

	<p>Percentage of youth served with whom an evidence-based best practice model was used.</p>	<p>The number and percentage of youth with whom a best practice was used. Best practice models include program models that have been shown, through rigorous evaluation and replication, to be effective at preventing or reducing juvenile delinquency or related risk factors, such as substance abuse. Model programs can come from many valid sources (e.g., Blueprints for Violence Prevention, OJJDP's Model Programs Guide, SAMHSA's Model Programs, state model program resources, etc.).</p>	<p>Number of youth served using an evidence-based best practice model or program during the reporting period.</p> <p>The number of youth served during the reporting period.</p>
	<p>Number of services provided to youth.</p>	<p>This measure assesses both need and program capacity. Report the number of youth who are <b>assessed</b> as needing various types of services during the reporting period, and also the number of youth who <b>actually receive</b> various services during the reporting period.</p>	<p>Number of youth assessed as needing substance use counseling/services.</p> <p>Number of youth enrolled in substance use counseling/services.</p> <p>Number of youth assessed as needing mental health services.</p> <p>Number of youth enrolled in mental health services.</p> <p>Number of youth assessed as needing housing services.</p> <p>Number of youth who successfully found housing.</p>

	<p>Number of program youth who were adjudicated (short and long term).</p>	<p>The number and percentage of participating program youth who were adjudicated for a new delinquent offense during the reporting period or 6-12 months post program completion. This does NOT include technical violations and is appropriate for any youth-serving program.</p> <p>A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages.</p> <p>Official records (police, juvenile court) are the preferred data source.</p>	<p>Number of program youth who were committed to a juvenile residential facility as a result of a new adjudication.</p> <p>Number of youth sentenced to adult prison as a result of a new adjudication.</p> <p>Number of youth given some other sentence as a result of a new adjudication.</p> <p>Number of program youth tracked for adjudications.</p>
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	Number of program youth who had technical violations (short and long term).	<p>The number and percentage of program youth who had a violation of the terms of their supervision (commonly referred to as a technical violation) during the reporting period or 6-12 months post program completion.</p> <p>A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages.</p>	<p>Number of program youth who were committed to a juvenile residential facility as a result of a technical violation.</p> <p>Number of youth who were sentenced to adult prison as a result of a technical violation.</p> <p>Number of youth who received some other sentence as a result of a technical violation.</p> <p>Number of program youth tracked for technical violations.</p>
	Percentage of youth completing program requirements (short term).	The number and percentage of program youth who have <b>successfully</b> fulfilled all program obligations and requirements. This does not include youth who are still in ongoing programs. Program obligations will vary by program, but should be a predefined list of requirements or obligations that clients must meet before program completion.	<p>Number of program youth who exited the program having completed all program requirements during the reporting period.</p> <p>Total number of youth who exited the program during the reporting period (either successfully or unsuccessfully).</p>
	Percentage of program youth exhibiting desired change in the targeted behavior (short and long term).	The number and percentage of program youth who have exhibited a desired change in the targeted behavior during the reporting period or 6-12 months post program completion.	Number of youth exhibiting a desired change in targeted behavior (behavior targeted will depend on specific program goals and activities and may include academic achievement, school attendance, social competence, etc.).

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Is Expected To Include” on page 15 for additional information.

## Project Evaluations

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations or statistical data collections should be aware that these activities (such as systematic investigations to develop or contribute to generalizable knowledge) may constitute research, which is defined as follows:

**Research** means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research for the purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities (28 C.F. R. § 46.102(d)). The following information pertains to applications that propose to conduct research and involves human subjects:

DOJ regulations (28 C.F.R. Part 46) protect the human subjects of federally funded research. In brief, 28 C.F.R. Part 46 requires that an Institutional Review Board, in accordance with the regulations, review and approve most research involving human subjects that any federal department or agency conducts or supports before an award recipient may expend federal funds for that research. As a rule, persons who participate in federally funded research must provide their informed consent and must be permitted to terminate their participation at any time. Funding recipients, before they will be allowed to spend OJP funds on any research activity involving human subjects, must submit appropriate documentation to OJP showing compliance with 28 C.F.R. Part 46 requirements, as requested by OJP.

DOJ regulations (28 C.F.R. Part 22) require recipients of OJP funding to submit a Privacy Certificate as a condition of approval of any grant application or contract proposal that contains a research or statistical component under which information identifiable to a private person will be collected, analyzed, used, or disclosed. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect the confidentiality of identifiable data (28 C.F.R. § 22.23). The Department's regulations provide, among other matters, that: "Research or statistical information identifiable to a private person may be used only for research or statistical purposes (28 C.F.R. § 22.21)." Moreover, any private person from whom information identifiable to a private person is collected or obtained (either orally or by means of written questionnaire or other document) must be advised that the information will only be used or disclosed for research or statistical purposes and that compliance with the request for information is voluntary and may be terminated at any time (28 C.F.R. § 22.27).

OJP has developed a decision tree ([www.ojp.usdoj.gov/funding/pdfs/decision\\_tree.pdf](http://www.ojp.usdoj.gov/funding/pdfs/decision_tree.pdf)) to assist applicants in assessing whether an activity they plan to undertake with OJP funds may constitute research involving human subjects. **Applicants should review this decision tree and include a statement in their application narrative that clarifies if they intend to use any information from a project evaluation or data collection to contribute to generalizable knowledge or if they intend to use the information solely for internal improvements and/or to meet OJP's performance measures data reporting requirements.** If an application

includes a research, demonstration evaluation, or statistical data collection component, OJP will examine that component to determine whether it meets the definition of research.

For additional information visit the “Research and Protection of Human Subjects” and the “Confidentiality” sections of the OJP “Other Requirements” Web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

## **Notice of Post-Award FFATA Reporting Requirement**

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

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

## **What an Application Is Expected To Include**

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should OJJDP decide to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications that do not respond to the scope of the solicitation, do not meet the eligibility requirements, do not request funding within the funding limit, or do not include the application elements that OJJDP has designated to be critical will neither proceed to peer review nor receive further consideration. Under this solicitation, OJJDP has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet or Budget Narrative.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant’s profile to populate the fields on this form. If the applicant is a for-profit entity, select “For-Profit Organization” or “Small Business” (as applicable), when selecting “type of applicant.”

## 2. Abstract

Applications should include a high-quality abstract that summarizes the proposed project in 400 words or less. 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 a brief description of the project’s purpose, the population to be served, and the activities that the applicant will implement to achieve the project’s goals and objectives. The abstract should describe how the applicant will measure progress toward these goals. The abstract should indicate whether the applicant will use any portion of the project budget to conduct research, as described in the Project Evaluations section on page 14. Project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

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

The project abstract template asks applicants to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP’s funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of promising but 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

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative should be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use a standard 12-point font, preferably Times New Roman. Pages should be numbered “1 of 30,” etc. The tables, charts, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced, and will count in the 30-page limit. Material required under the Budget and Budget Narrative and Additional Attachments sections will not count toward the program narrative page count. Applicants may provide bibliographical references as a separate attachment that will not count toward the 30-page program narrative limit. If the program narrative fails to comply with these length-related



restrictions, OJJDP may consider such noncompliance in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) statement of the problem; (2) goals, objectives, and performance measures; (3) program design and implementation; and (4) capabilities/competencies. The applicant should clearly delineate the connections between and among each of these sections. For example, the applicant should derive the goals and objectives directly from the problems to be addressed. Similarly, the project design section should clearly explain how the program's structure and activities will accomplish the goals and objectives identified in the previous section.

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

- a. Statement of the Problem.** Applicants should briefly describe the nature and scope of the problem that the program will address (e.g., gang activity, underage drinking, drug abuse, truancy, youth employment, school performance, etc.). The applicant should use data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document the effects of the problem on the target population and the larger community. Applicants should describe the target population and any previous or current attempts to address the problem.

Applicants should describe any research or evaluation studies that relate to the problem and contribute to the applicant's understanding of its causes and potential solutions. While OJJDP expects applicants to review the research literature for relevant studies, they should also explore whether unpublished local sources of research or evaluation data are available.

Describe the problems with meeting the needs of returning juveniles with co-occurring substance abuse and mental health disorders to the community. Indicate the jurisdiction or tribal community to be served and include information about the secure confinement facilities where programming is proposed to occur.

Provide information on the target population (i.e., size and make-up, etc.), the number of juveniles with co-occurring substance abuse and mental health disorders within the correctional/detention facility(ies) who are returning to the community, and any recidivism and substance abuse data available for the target population. Provide justification and support documentation for selecting the target population.

Summarize the basic components of the current process for identifying juvenile risk and needs, availability of substance abuse and mental health treatment services, reentry planning for these juveniles, linkages to community-based treatment providers, and case management. Provide a baseline recidivism rate for the proposed target population and discuss what level of reduction in recidivism you would consider to be successful. Applicants that do not have a baseline recidivism rate for a historical sample of former juveniles similar to the target population should provide a rate for another population. For instance, use a recidivism rate for juveniles who have been released from a local juvenile facility, if available. Describe the type of recidivism rate targeted, such as arrest, conviction, revocation, and/or incarceration. Also, describe the population (demographics, risk level, offense type), the follow-up period length (post-release), and the dates when the recidivism rate was calculated.

- b. Goals, Objectives, and Performance Measures.** Applicants should describe the goals of the proposed program and identify its objectives. When formulating the program's goals and objectives, applicants should be cognizant of the performance measures that OJJDP will require successful applicants to provide.

**Goals.** Applicants should describe the program's intent to change, reduce, or eliminate the problem noted in the previous section and outline the project's goals.

**Program Objectives.** Applicants should explain how the program will accomplish its goals. Objectives are specific, quantifiable statements of the project's desired results. They should be clearly linked to the problem identified in the preceding section and measurable. (Examples of measurable objectives include the following: for example, to provide school-based and community services for 40 youth returning from commitment, to increase the percentage of youth who successfully complete their current academic grade, or to expand counseling services to cover an additional 50 at-risk youth.)

**Performance Measures.** OJJDP does not require applicants to submit performance measures data with their applications. Performance measures (see Performance Measures, page 10) are included as an alert that OJJDP will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

OJJDP encourages award recipients to use information from existing program records to fulfill performance measures reporting requirements rather than initiating new data collection activities for this purpose.

Describe the applicant's current ability to collect and analyze client-level performance and outcome data. In addition, this description should also include the applicant's 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 the applicant will collect and analyze to determine the effectiveness of the implemented or enhanced treatment programs and describe how the applicant will use randomized trials, where practicable. Describe how the applicant will document, monitor, and evaluate performance and identify the impact of the strategy once implemented. Discuss how the applicant will define and measure variables like stakeholder support and service coordination. Describe how the applicant will leverage evaluation and collaborative partnerships to build long-term support and resources to sustain the project when the federal grant ends. Describe the policies, statutes, and regulations that the applicant will put in place to support and sustain service delivery.

- c. Project Design and Implementation.** Applicants should detail how the project will operate throughout the funding period and describe the strategies that they will use to achieve the goals and objectives identified in the previous section. Applicants should describe how they will complete the deliverables stated in the Goals, Objectives, and Deliverables section on page 5. OJJDP encourages applicants to select evidence-based practices for their programs.

This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project and discuss plans for sustainability beyond the grant period.

**Logic Model.** Applicants should include a logic model that graphically illustrates how the performance measures are related to the project's problems, goals, objectives, and design. Sample logic models are available at [www.ojjdp.gov/grantees/pm/logic\\_models.html](http://www.ojjdp.gov/grantees/pm/logic_models.html). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 21.

**Timeline.** Applicants should submit a realistic timeline or milestone chart that indicates major tasks associated with the goals and objectives of the project, assigns responsibility for each, and plots completion of each task by month or quarter for the duration of the award, using "Year 1," "Month 1," "Quarter 1," etc., not calendar dates (see "Sample Project Timelines" at [www.ojjdp.gov/grantees/timelines.html](http://www.ojjdp.gov/grantees/timelines.html)).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 21. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

Describe the proposed program and the project's purpose, goals, and objectives. Applicants should address the Program Design Elements (page 5). Provide operational guidelines for identifying eligible program participants that should include a plan to screen potential participants, conduct risk and needs assessments, and refer individuals to the program. Describe both the pre- and post-release services that the applicant will provide for every program participant.

Describe the process for linking individuals to treatment and other recovery support services. Applicants should identify the evidence-based treatment and support practices they use or propose and identify and discuss the evidence that shows that the practice(s) is/are effective. Describe any modifications/adaptations to make this practice meet the goals of the project and why the changes will improve the outcomes. Describe the mechanisms that the applicant will put in place to ensure the accountability of the service delivery system.

- d. Capabilities and Competencies.** This section should describe the experience and capability of the applicant organization and any contractors or subgrantees that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing projects of similar design or magnitude. Applicants should highlight their experience/capability/capacity to manage subawards, including details on their system for fiscal accountability. Management and staffing patterns should be clearly connected to the project design described in the previous section. Applicants should describe the roles and responsibilities of project staff and explain the program's organizational structure and operations. Applicants should include a copy of the organizational chart showing how the organization operates, including who manages the finances; how the applicant manages subawards, if there are any; and the management of the project proposed for funding.

**Letters of Support/Memoranda of Understanding.** If submitting a joint application, as described under Eligibility, page 3, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners that include the following:

- expression of support for the program and a statement of willingness to participate and collaborate with it.

- description of the partner's current role and responsibilities in the planning process and expected responsibilities when the program is operational.
- estimate of the percent of time that the partner will devote to the planning and operation of the project.

Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator. Describe the capability of the implementing agency and partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program. Attach position descriptions for key personnel to the application. Identify partnership organizations with community-based substance abuse and mental health treatment programs to ensure coordinated reentry efforts within the juvenile facility/facilities and ongoing treatment and/or aftercare programming upon reentry to the community.

#### 4. Budget Detail Worksheet and Budget Narrative

Applicants should provide a budget that (1) is complete, allowable, and cost-effective in relation to the proposed activities; (2) shows the cost calculations demonstrating how they arrived at the total amount requested; and (3) provides a brief supporting narrative to link costs with project activities. The budget should cover the entire award period.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

- Budget Detail Worksheet.** A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.
- Budget Narrative.** The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

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

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

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

## 6. Tribal Authorizing Resolution (if applicable)

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

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

## 7. Additional Attachments

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their application. While the materials listed below are not assigned specific point values, peer reviewers will, as appropriate, consider these items when rating applications. For example, reviewers will consider résumés and/or letters of support/memoranda of understanding when assessing "capabilities/competencies." Peer reviewers will not consider any additional information that the applicant submits other than that specified below.

- a. Applicant disclosure of pending applications.** Applicants are to disclose whether they have pending applications for federal assistance that include requests for funding to support the same project being proposed under this solicitation and that will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will be subawarding federal funds).

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

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

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

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

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page. (e.g., “[Applicant Name] does not have pending applications submitted within the last 12 months for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”)

- b. **logic model** (see Logic Model, page 19)
- c. **timeline or milestone chart** (see Timeline, page 19)
- d. **résumés** of all key personnel
- e. **job descriptions** outlining roles and responsibilities for all key positions
- f. **letters of support/memoranda of understanding** from partner organizations (see Letters of Support/Memoranda of Understanding, page 19)
- g. **Statement of Assurance Form: Mandatory Certification Requirements and Coordination Requirement** (see page 3).

## 8. Other Standard Forms

Additional forms that OJP may require in connection with an award are available on OJP’s funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of

funds may be contingent upon submission of all necessary forms. Note in particular the following forms:

- a. [Standard Assurances](#).<sup>\*</sup> Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#).<sup>\*</sup> Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.
- c. [Accounting System and Financial Capability Questionnaire](#). Any applicant (other than an individual) that is a non-governmental entity and has not received any award from OJP within the past 3 years, must download, complete, and submit this form.

\* These OJP Standard Assurances and Certifications are forms that applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

## Selection Criteria

The following six selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, Statement of the Problem, is worth 20 percent of the entire score in the application review process.

1. Abstract (5 percent)
2. Statement of the Problem (20 percent)
3. Goals, Objectives, and Performance Measures (10 percent)
4. Project Design and Implementation (35 percent)
5. Capabilities and Competencies (20 percent)
6. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities) Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>3</sup> (10 percent)

See What an Application Is Expected To Include, page 15, for the criteria that the peer reviewers will use to evaluate applications.

## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. OJJDP 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. OJJDP may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the

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<sup>3</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer, in consultation with OJJDP, reviews applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants, examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, the Assistant Attorney General, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding, will make all final award decisions.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements



- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-Profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

## How To Apply

Applicants must register with and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note:** OJJDP encourages all prospective applicants to sign up for Grants.gov e-mail notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for e-mail updates will be notified.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at

866–705–5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM replaces the Central Contractor Registration (CCR) database as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must register in SAM to successfully register in Grants.gov. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- create a SAM account.
- log into SAM and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. Applicants must use their organization's DUNS number to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
- 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. An organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.812, titled "Second Chance Act Prisoner Reentry Initiative" and the funding opportunity number is OJJDP-2013-3637.
- 6. Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
- 7. Follow the directions in Grants.gov to submit an application consistent with this solicitation.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** of 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.

**Note: Grants.gov limits the use of specific characters in names of attachment files. Valid file names may include only the following characters: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, and period. Grants.gov will forward the application to OJP's Grants Management System (GMS).** 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."

**Note: Duplicate Applications.** If an applicant submits multiple versions of an application, OJJDP will review the most recent version submitted.

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

Applicants that experience unforeseen Grants.gov technical issues that prevent them from submitting their application by the deadline must e-mail the Justice Information Center (see Page 1 for contact information) **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: OJJDP does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, OJP will reject the application as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

### **Provide Feedback to OJP on This Solicitation**

To help OJP improve its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Feedback may be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail is for feedback and suggestions only. OJP does **not** send replies from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, e-mail your resume to

[ojppeerreview@lbps.com](mailto:ojppeerreview@lbps.com). The OJP Solicitation Feedback e-mail account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

## Appendix A: Application Checklist

### OJJDP FY 2013 Second Chance Act Reentry Program for Juveniles with Co-Occurring Substance Abuse and Mental Health Disorders

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

#### Eligibility Requirements:

- State or territory
- Unit of local government, including federally recognized Indian tribal government
- The federal amount requested is within the allowable limit(s) of \$600,000.

#### What an Application Is Expected To Include:

- Application for Federal Assistance (SF-424) (see page 15)
- Abstract (see page 16)
  
- Program Narrative (see page 16)
  - Format (double spaced, 12-point standard font, 1" standard margins, narrative is 30 pages or less)
  - Statement of the Problem
  - Goals, Objectives and Performance Measures Requirements
  - Project Design and Implementation
  - Capabilities/Competencies
  
- Budget Detail Worksheet and Budget Narrative (see page 20)
- Indirect Cost Rate Agreement (if applicable) (see page 21)
- Tribal Authorizing Resolution (if applicable) (see page 21)
  
- Additional Attachments (see page 21)
  - disclosure of pending applications
  - logic model
  - timeline or milestone chart
  - résumés of all key personnel
  - job descriptions for all key positions
  - letters of support/memoranda of understanding from partner organizations
  - Statement of Assurance Form: Mandatory Certification Requirements and Coordination Requirement
  
- Other Standard Forms and Components, as applicable, including:
  - Accounting System and Financial Capability Questionnaire (see page 23)
  - DUNS number (see page 25)
  - System for Award Management (SAM) (see page 26)
  - AOR registration and confirmation (see page 26)
  - Disclosure of Lobbying Activities (SF-LLL) (see page 26)

## Appendix B: Statement of Assurance Form

### Mandatory Certification Requirements and Coordination Requirement (Submit with the Application as an Attachment)

As the authorized representative of [*insert name of applicant organization*]  
\_\_\_\_\_, I assure OJJDP the following:

**Mandatory Certification Requirement: Service Provider Licensing/ Accreditation/ Certification Documentation.** I assure OJJDP that 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 within the application materials:

- A letter of commitment that specifies the nature of the participation from every service provider organization listed in the application and what service(s) they will provide.
- Official documentation that all service provider organizations collaborating in the project have provided relevant services for at least 2 years prior to the date of the application in the area(s) in which the reentry program will provide services.
- Official documentation that all collaborating service provider organizations are in compliance with all local (city, county) and state/tribal requirements for licensing, accreditation, or certification or official documentation from the appropriate agency of the applicable state/tribal, county, or other governmental unit that licensing, accreditation, or certification requirements do not exist. **Note:** Official documentation is a copy of each service provider organization's license, accreditation, or certification.
- OJJDP will not accept documentation of accreditation 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 OJJDP that if my organization is not the Single State Agency (SSA) for Substance Abuse Services, and I assure and have demonstrated that the proposal has been developed in coordination with SAA support, except in the case of federally recognized tribal government applicants.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Authorized Representative

\_\_\_\_\_  
Position Title