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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 the Second Chance Act: Implementing Statewide Plans To Improve Outcomes for Youth in the Juvenile Justice System Program. This program furthers the Department's mission by supporting states to implement statewide policy, practice, and resource allocation changes that will reduce recidivism and improve outcomes for youth in contact with the juvenile justice system.

## **OJJDP FY 2016 Second Chance Act: Implementing Statewide Plans To Improve Outcomes for Youth in the Juvenile Justice System**

Eligible applicants are limited to states that have developed a statewide plan to reduce recidivism and improve outcomes for youth in contact with the juvenile justice system. Please note that in order to be eligible for funding under this solicitation, applicants must have a statewide plan already developed and submitted as an attachment to the application. The statewide plan should address the mandatory requirements and the criteria under Section C.

Eligible applicants from states are limited to state juvenile justice agencies, such as a correctional agencies, probation agencies, state courts, state coordinating agencies, or state administering agencies. In instances where juvenile justice supervision is both a state and local responsibility, eligible applicants can partner with one or more local jurisdictions in their application. However, the state agency must be the lead applicant.

For detailed eligibility information, see Section [C. Eligibility Information](#).

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. 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. 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 8, 2016.

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

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

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via 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.

Applicants who experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the OJJDP contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How To Apply](#) section.

For assistance with any other requirements of this solicitation, contact the Response Center by telephone at 800-851-3420 or TTY: 301-240-6310 (Hearing impaired only), by e-mail at [grants@ncjrs.gov](mailto:grants@ncjrs.gov), or by web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday. Answers to frequently asked questions that may assist applicants are posted at [www.ojjdp.gov/grants/solicitations/FY2016/FAQ/SCAStatewideFAQ.pdf](http://www.ojjdp.gov/grants/solicitations/FY2016/FAQ/SCAStatewideFAQ.pdf).

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# Contents

A. Program Description .....	4
Overview .....	4
Program-Specific Information .....	4
Goals, Objectives, and Deliverables .....	5
Evidence-Based Programs or Practices .....	9
B. Federal Award Information .....	9
Type of Award .....	10
Financial Management and System of Internal Controls .....	10
Budget Information .....	10
Cost Sharing or Match Requirement (cash or in-kind) .....	10
Preagreement Cost Approvals .....	11
Limitation on Use of Award Funds for Employee Compensation; Waiver .....	11
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	12
Costs Associated with Language Assistance (if applicable) .....	12
C. Eligibility Information .....	12
Cost Sharing or Match Requirement .....	13
Limit on Number of Application Submissions .....	13
D. Application and Submission Information .....	13
What an Application Should Include .....	13
How To Apply .....	30
E. Application Review Information .....	33
Selection Criteria .....	33
Review Process .....	34
F. Federal Award Administration Information .....	35
Federal Award Notices .....	35
Administrative, National Policy, and Other Legal Requirements .....	35
General Information about Post-Federal Award Reporting Requirements .....	36
G. Federal Awarding Agency Contact(s) .....	36
H. Other Information .....	36
Provide Feedback to OJP .....	36
Application Checklist .....	38
Appendix A: Second Chance Act Grantees: What You Need to Know to Ensure Your Program Is Built on Principles of Effective Practice .....	40

# OJJDP FY 2016 Second Chance Act: Implementing Statewide Plans To Improve Outcomes for Youth in the Juvenile Justice System (CFDA #16.812)

## A. Program Description

### Overview

Section 101 of the Second Chance Act authorizes the Department of Justice to award grants to states to improve reentry outcomes for incarcerated youth. The Second Chance Act Program helps communities develop and implement comprehensive and collaborative strategies that address the challenges that reentry and recidivism reduction pose. Developing a comprehensive approach for reducing recidivism is challenging for even the most sophisticated juvenile justice agencies, requiring access to data, changes to service delivery, and coordination from multiple systems.

This program will provide grants to support the implementation of an existing statewide plan to better align juvenile justice policy, practice, and resource allocation with what research shows works to reduce recidivism and improve outcomes for youth in contact with the juvenile justice system.

This program is authorized pursuant to Section 101 of the Second Chance Act, 42 U.S.C. § 3797w; Pub. L. No. 110-199.

### Program-Specific Information

Over the past decade, the nation has made dramatic progress in reducing juvenile incarceration rates as the number of juveniles in residential placement fell 50% between 1999 and 2013.<sup>1</sup> Although this is a significant accomplishment, there is still significant work to be done to reduce recidivism and improve other outcomes, such as education and behavioral health, for youth in contact with the juvenile justice system.

Significant barriers to improving youth outcomes include: (1) insufficient fidelity to the research when implementing research-based improvement strategies; (2) limited collaboration across government agencies, service systems, and state/local lines; and (3) a lack of data to track and measure progress and hold agencies and providers accountable for results.

To address these challenges, states need a statewide plan to better align their juvenile justice policies, practices, and resource allocation with what works to improve outcomes for youth.

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<sup>1</sup> Office of Juvenile Justice and Delinquency Prevention. *Census of Juveniles in Residential Placement* [machine-readable data files]. Washington, DC: U.S. Census Bureau (producer).

Successful applicants will use OJJDP funding to implement existing statewide plans to reduce recidivism and improve outcomes for youth. These plans must have been formalized through legislation, appropriations, and/or administrative policy and/or have resulted from two or more state agencies collaborating on key policy and practice changes. These plans and all implementation activities should reflect the key principles and practices for improving outcomes for youth outlined in Appendix A, “Second Chance Act Grantees: What You Need to Know to Ensure Your Program Is Built on Principles of Effective Practice.” OJJDP will provide funding and technical assistance to grantees to support and guide adherence to these principles and practices.

## **Target Population**

This solicitation will support the implementation of a statewide plan to improve outcomes for youth in contact with the juvenile justice system. As a result, the target population should be all youth involved in the juvenile justice system with a specific emphasis on youth assessed, per the statewide plan using a validated risk assessment tool, as moderate and high risk for reoffending; under community supervision; and placed in and returning from a period of incarceration in state, local, and privately run facilities.

Award recipients must admit targeted youth to the program prior to their 18<sup>th</sup> birthday. However, they may continue to implement their plan for these individuals beyond their 18<sup>th</sup> birthday. OJJDP does not have a set timeline for terminating these services, but instead, they can continue as long as is deemed necessary per the statewide plan for providing services.

## **Goals, Objectives, and Deliverables**

The goal of this program is for states to implement an existing plan for system improvement to reduce juvenile recidivism rates<sup>2</sup> and improve other outcomes for youth statewide. To support this program, OJJDP will provide grants to state government agencies to use over a 2-year period. Successful applicants must be able to develop and execute a strategy to:

- Implement an existing statewide plan to better align juvenile justice policy, practice, and resource allocation with what the research shows works to reduce recidivism and improve other outcomes for youth in contact with the juvenile justice system.
- Implement policy, practice, and resource allocation changes with fidelity to the research and high quality.
- Track recidivism rates and other youth outcomes to measure implementation progress, share this data with system leaders and policymakers, use data to hold providers and agencies accountable for results, and guide implementation improvements.

## **Mandatory Requirements**

Section 101 of the Second Chance Act outlines the following mandatory requirements that applicants must include in their applications to be eligible to secure Section 101 funding. Applicants under this solicitation must demonstrate and complete all of the following:

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<sup>2</sup> Per 42 USC 3797w(j)(2)(A) reduction in recidivism rates shall be reported in accordance with the measure selected by the BJS Director under 42 USC 17541(d)(3)(B).

1. A reentry strategic plan that describes the jurisdiction's long-term reentry strategy, including measurable annual and 5-year performance outcomes, and that uses, to the maximum extent possible, random assigned and controlled studies to determine the effectiveness of the program, relating to the long-term goals of increasing public safety and reducing recidivism. One goal of the plan shall be a 50 percent reduction in the recidivism rate over a 5-year period. Applicants should share with OJJDP their current reentry strategic plan with the understanding that should they receive a grant, OJJDP will provide intensive technical assistance, and the state will work toward a comprehensive data- and research-driven plan to reduce recidivism. Additionally, OJJDP will provide specific guidance on how to set reasonable, yet achievable recidivism reduction goals during the planning process.
2. A detailed reentry implementation schedule and sustainability plan for the program.
3. Documentation that reflects the establishment of and an ongoing engagement of a reentry task force comprised of relevant state leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders.
  - The task force should examine ways to pool resources and funding streams and share data and best practices in reentry between stakeholder agencies and organizations.
  - The task force and the strategic planning requirement above should provide a key opportunity for local policymakers to work together to identify and address local barriers to effective reentry, including barriers that are policy or procedural in nature. (See mandatory criteria 10 below.)
4. Discussion of the role of local governmental agencies, nonprofit organizations, continuums of care, state or local interagency councils on homelessness, and community stakeholders that will coordinate and collaborate during the planning and implementation of the reentry strategy. The applicant will provide certification of the involvement of such agencies and organizations. These partners and participants in the creation of the reentry strategy should include representatives from the fields of public safety, corrections, housing (including partnerships with public housing authorities), homeless services providers, health, education, substance abuse, children and families, victims' services, employment, and business.
5. Extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing, homeless services, child welfare, education, substance abuse, victims services, state child support, and employment services, and with local law enforcement agencies.
6. An extensive discussion of the role of state juvenile corrections departments, community corrections agencies, and local detention systems in ensuring successful reentry of youth leaving out of home placement into their communities. Applications must include letters of support from corrections officials responsible for facilities or the reentry population to be served through this project (see "What an Application Should Include," page 14, in Section D. under Application and Submission Information).

7. Documentation that reflects explicit support of the chief executive officer of the applicant state, territory, or Indian tribe and how this office will remain informed and connected to the activities of the project.
8. A description of the evidence-based methodology and outcome measures that the state will use to evaluate the program and a discussion of how such measurements will provide a valid assessment of the impact of the program. The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are eight fundamental strategies of evidence-based practices that are widely accepted as efficacious in reducing future criminal behavior. These eight strategies are outlined in Appendix A. Applicants must clearly articulate how these evidence-based strategies are integrated into their program design and how the program will ensure participants take part in evidence-based services and programs that occur both pre- and post-release.
9. A description of how the state could broadly replicate the project if it is demonstrated to be effective.
10. A plan for the analysis of the statutory, regulatory, rules-based, and practice-based hurdles to reintegration of formerly incarcerated youth into the community. (Note: this may be integrated into the strategic planning requirement and guided by the local task force discussed above.) OJJDP encourages applicants to review the database of the American Bar Association (ABA) National Study on the Collateral Consequences of Criminal Convictions, which catalogues statutes and administrative rules that contain a collateral consequence. The database ([www.abacollateralconsequences.org](http://www.abacollateralconsequences.org)) will assist attorneys, policymakers, and the public to more easily identify what consequences follow from particular criminal offenses.
11. A baseline recidivism rate for the proposed target population, including documentation to support the development of the rate. OJJDP will require all grantees to provide a baseline recidivism rate upon award.

## **Deliverables**

Successful applicants are required to:

- **Convene or draw upon an existing statewide task force to oversee the implementation of the statewide plan.** This task force should be comprised of a bipartisan team of lawmakers, judicial leaders, prosecutors, defense counsel and executive branch officials that the governor designates, local government partners as warranted, and other key stakeholders, such as state mental health, child welfare, and educational agencies. The task force will oversee the implementation of the statewide plan and should review progress reports, at least annually, on recidivism rates and other youth outcomes.
- **Identify a lead state agency responsible for implementation activities and designate a point of contact (POC) at the deputy director level (or equivalent) or above.** This POC will be responsible for project activities and deliverables, facilitating task force meetings, data collection and progress reporting, and will serve as the primary liaison with OJJDP and the National Reentry Resource Center.

- **Strengthen an existing or develop a detailed implementation plan.** This implementation plan should identify the strategy, deliverables, action steps, timelines, and responsible parties for implementation of the statewide plan, including key grant activities and related improvement efforts that the grant does not fund.
- **Report on implementation progress, at least annually, including data on recidivism rates and other youth outcomes.** The lead agency will provide the task force with a minimum of annual reports and an in-person presentation that details progress made on the key deliverables of the implementation plan along with recidivism rates and other outcomes for the target population.

**Allowable use of funds.** States or tribes may use funds to implement new policies, programs, and practices identified in the statewide improvement plan that align with what works to reduce recidivism and improve other youth outcomes. Based upon reliable research findings, there are eight fundamental principles and practices that are demonstrated to reduce recidivism and improve positive outcomes for youth in the juvenile justice system. These principles and practices are outlined in Appendix A of this solicitation. Applicants must clearly articulate how their implementation activities will reflect these principles.

**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 for Justice to support the research and evaluation activities called for in the Act. For more information on the implementation of the Second Chance Act initiatives and frequently asked questions, visit the National Reentry Resource Center (NRRC) website. OJJDP will require successful applicants to work with the OJJDP and NRRC, the OJJDP technical assistance provider, to help guide implementation activities and achieve the deliverables outlined in this solicitation. OJJDP must specifically approve the use of all other consultants and technical assistance providers through the use of grant funds.

**Racial and ethnic disparity.** Addressing the disproportionate number of members of minority groups who come into contact with the juvenile justice system is a cross-cutting priority of OJJDP.<sup>3</sup> Applicants should describe their plan for working with the juvenile defense bar and other relevant system actors to address both implicit and inherent bias and racial and ethnic disparities in the juvenile justice system and encouraging the implementation of policies, practices, and strategies to decrease the disparities in access, service use, and outcomes among racial and ethnic minority populations.

**Family Engagement.** OJJDP envisions a transformed juvenile justice system that recognizes and builds upon the strengths, values, and diversity of families and communities to best serve the children and youth who come into contact with the system and to improve both safety and quality of life for all. This system will honor and support families before, during, and after their children have contact with the system. Applicants should describe how the proposed program will include a family engagement component.

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<sup>3</sup> Section 223(a)(22) of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, requires states and territories participating in the Part B of Title II Formula Grants Program to “address juvenile delinquency prevention efforts and system improvement efforts designed to reduce, without establishing or requiring numerical standards or quotas, the disproportionate number of juvenile members of minority groups, who come into contact with the juvenile justice system.”



**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; and
- improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The [OJP CrimeSolutions.gov](http://OJP.CrimeSolutions.gov) website and OJJDP's [Model Program Guide](#) website are two resources that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Additional Resources**

OJJDP encourages applicants to review the recommendations from the [Attorney General's National Task Force on Children Exposed to Violence and the Attorney General's Advisory Committee on American Indian/Alaska Native Children Exposed to Violence and the National Research Council's \[Reforming Juvenile Justice: A Developmental Approach\]\(#\) and \[Implementing Juvenile Justice Reform\]\(#\)](#) and consider incorporating the recommendations into their applications, where applicable.

## **B. Federal Award Information**

OJJDP estimates that it will make up to 3 awards of as much as \$1 million for each award for an estimated total of \$3 million for a 24-month project period, beginning on October 1, 2016.

OJJDP may, in certain cases, provide supplemental funding in future years to awards under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

## **Type of Award<sup>4</sup>**

OJJDP expects to make any award from this solicitation in the form of a grant.

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

If selected for funding, the award recipient must:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that the non-Federal entity 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 non-Federal entity's compliance with statute, 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 non-Federal entity considers sensitive consistent with applicable Federal, state and local laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

## **Budget Information**

### **Cost Sharing or Match Requirement (cash or in-kind)**

As required by the Second Chance Act, a match is required for all applications. Federal funds awarded under this program may not cover more than 50 percent of the total costs of the project being funded. Applicants must identify the source of the 50 percent non-federal portion of the total project costs and how they will use match funds. The recipient of a grant must provide a minimum of 25 percent of the total project cost in cash match, and 25 percent of the total project cost may be matched by making in-kind contributions of goods or services that are directly related to the purpose for which the grant was awarded. Federal funds received and cash match provided by the grantee shall be used to supplement, not supplant, non-federal funds that would otherwise be available for the activities funded under this section.

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<sup>4</sup> 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)).

**The applicant must identify the source of the 25 percent non-federal cash portion of the budget and how both cash and in-kind match funds will be used.**

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

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

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

$$\frac{\$750,000}{50\%} = \$1,500,000 \quad 50\% \times \$1,500,000 = \$750,000$$

**Match Waiver:**

The Attorney General may waive the match requirement upon a determination of fiscal hardship. To be considered for a match waiver, a letter of request signed by the Authorized Representative must be submitted with the application defining the fiscal hardship. Fiscal hardship may be defined in terms related to reductions in overall correctional budgets, furloughing or reductions in force of correctional staff or other similar documented actions which have resulted in severe budget reductions. Detailed information must be provided with match waiver requests.

*A match waiver request must be submitted as a separate attachment to the application and titled as the "Match Waiver Request."*

**Note:** The budget detail should distinguish cash from in-kind matched funds using an asterisk to show what percentage of the budget is cash. Once incorporated into the OJP-approved budget, the match becomes mandatory and subject to audit. Further, if a successful applicant's proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

**Preagreement Cost Approvals**

OJP does not typically approve preagreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, preagreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as preagreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [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, 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% of the maximum annual salary

payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>5</sup> The 2016 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. (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. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

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.

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully, before submitting an application, the [OJP policy and guidance](#) on conference approval, planning, and reporting. 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 such costs for cooperative agreement recipients and of some such 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 meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

States are eligible to apply for funding only if they meet all of the following criteria:

- Established a statewide plan to reduce recidivism and improve outcomes for youth in contact with the juvenile justice system. This plan must have been formalized through legislation, appropriations, and/or administrative policy and/or have resulted from two or more state agencies collaborating on key policy and practice changes.

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<sup>5</sup> This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

This statewide improvement plan is not the Comprehensive Three-Year Plan required for Title II Formula Grant funding, but instead, a plan that the state has developed specifically to improve outcomes for youth.

- Obtained the endorsement of key state leaders for this plan, including the governor, legislators, judicial leaders, and local government agencies, as warranted.
- Aligned the state plan with what research has shown works to reduce recidivism and improve other youth outcomes, from diversion through reentry.
- Developed the capacity to collect data for all major juvenile justice system points at the individual youth or case level and have the ability to interpret that data to evaluate progress and inform decision making.

In order to meet the eligibility criteria of this program, applicants must provide written documentation that shows their statewide plan exists and has been endorsed by state officials<sup>6</sup>.

**Cost Sharing or Match Requirement.**

For additional information on cost sharing and match requirement, see Section [B. Federal Award Information](#).

**Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, OJJDP will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How To Apply](#).

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

**What an Application Should 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 a decision be made 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 applications that are determined to be nonresponsive to the scope of the solicitation, do not request funding within the funding limit, or that 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.

Applicants should review the “Note on File Names and File Types” under [How To Apply](#) to be sure that they submit their applications in the permitted formats.

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<sup>6</sup> Additional eligibility requirements applicable to applicants that have ever received a grant authorized pursuant to 42 USC 3797w can be found at 42 USC 3797w(l).

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP's 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).

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

## **2. Project Abstract**

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

- written for a general public audience;
- submitted as a separate attachment with "Project Abstract" as part of its file name; and
- 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 briefly describe 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 Note on Project Evaluations on page 23. All project abstracts should follow the [detailed template](#).

**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 webpage available to the public. This public posting would allow other possible funders to become aware of such proposals.

The 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 and demonstrate that they meet the eligibility criteria through written documentation showing approval. 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.** To the extent possible, applicants should use data to identify current statewide recidivism rates and positive youth outcomes associated with the juvenile reentry population and the challenges associated with collecting the data. Applicants should briefly describe their current reentry system and process (assessment, pre- and post-release services, monitoring); to what extent this system and process reflects the adoption, integration, and effective implementation of the principles and practices that research demonstrates improve youth outcomes; and the key policy and practice barriers to improved youth outcomes.

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.



- 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.

### **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 at [www.ojjdp-dctat.org/](http://www.ojjdp-dctat.org/). Performance measures for this solicitation are as follows:



<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Description</b>	<b>Data Grantee Provides</b>
<p><i>Implementation Planning:</i> Show capacity to track impact of a juvenile justice reform plan that will provide youth with appropriate evidence-based services— Including addressing individual criminogenic needs based on a reentry process for tracking recidivism rates and other youth outcomes.</p>	<p>Number of deliverables that meet expectations.</p>	<p>This measure is to determine the status of activities with the juvenile justice reform implementation schedule and sustainability plan.</p>	<p>Number of deliverables that meet expectations as outlined in the solicitations.</p> <p>Describe plan to address juvenile justice reform issues.</p> <p>Juvenile justice reform strategic plan status.</p> <p>Data collection plan.</p> <p>Provides information on status of support of key state leaders for the plan.</p> <p>Describe any updates or modifications concerning the reform plan, implementation schedule, and sustainability plan for the program.</p> <p>Describe any updates or modifications to the data collection plan and policy including how data will be collected and what indicators will be used upon implementation.</p> <p>Describe how program managers and service providers will obtain data and program outcomes.</p> <p>Describe the target population, including relevant information on demographics, risk level, and offense types.</p>

<p><i>Implementation:</i> Provide youth with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk/needs assessment that reflects the risk of recidivism for that individual.</p>	Number of youth served by reentry program.	The intent of this indicator is to measure the change in the number of youth who are enrolled in reentry services.	Number of youth (by gender, race, and ethnicity) enrolled in the reentry program during the reporting period.
		The number of youth enrolled represents the number of youth who actually end up in the program.	
	Number of program youth served during the reporting period.	An unduplicated count of the number of youth served 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 the previous reporting period, plus new admissions during the reporting period.	Number of program youth carried over from the previous reporting period.  New admissions (by gender, race, and ethnicity) during the reporting period.
	Percent of youth served with whom an evidence-based best practice model was used.	The number and percent of program 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	Number of program youth served using an evidence-based best practice model or program during the reporting period.  The number of program youth served during the reporting period.

		model program resources, etc.).	
	<p>Number of services provided to youth.</p> <p>Percent of youth assessed as needing services (based on their needs).</p>	<p>This measure is designed to assess both need and program capacity. Report the number of program youth who are assessed as needing various types of services during the reporting period, and also the number of youth who actually receive various services during the reporting period.</p>	<p>Number of services provided to youth.</p> <p>Number of program youth (by gender, race and ethnicity) assessed as needing various types of services during the reporting period.</p> <p>Number of program youth (by gender, race and ethnicity) enrolled in various services during the reporting period.</p>
	<p>Percent of program youth who were adjudicated during the reporting period (short and long term).</p>	<p>The number and percent 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>Number of program youth (by gender, race, and ethnicity) who were committed to a juvenile residential facility as a result of a new adjudication during the reporting period.</p> <p>Number of program youth (by gender, race and ethnicity) sentenced to adult prison as a result of a new adjudication during the reporting period.</p> <p>Number of program youth (by gender, race and ethnicity) given some other sentence as a result of a new adjudication during the reporting period.</p> <p>Number of program youth (by gender, race and ethnicity) tracked for adjudications during this reporting period.</p>
	<p>Percent of program youth who had technical violations during the reporting period (short and long term).</p>	<p>The number and percent 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-</p>	<p>Number of program youth who were committed to a juvenile residential facility as a result of a technical violation during the reporting period.</p> <p>Number of program (by gender, race, and ethnicity) who were sentenced to</p>

		12 months post program completion.	<p>adult prison as a result of a technical violation during the reporting period.</p> <p>Number of program youth (by gender, race and ethnicity) who received some other sentence as a result of a technical violation during the reporting period.</p> <p>Number of program youth (by gender, race and ethnicity) tracked for technical violations during this reporting period.</p>
	Percent of youth completing program requirements (short term).	<p>The number and percent of program youth who have successfully 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> <p>The total number of youth includes those youth who have exited successfully and unsuccessfully.</p>	<p>Number of program youth (by gender, race, and ethnicity) who exited the program having completed all program requirements during the reporting period.</p> <p>Total number of program youth (by gender, race, and ethnicity) who exited the program during the reporting period (either successfully or unsuccessfully).</p>
	The percent of program youth exhibiting desired change in the targeted behavior (short and long term).	<p>The number and percent of youth who have exhibited a desired change in the targeted behavior during the reporting period or 6-12 months post program completion. The behavior targeted will depend on specific program goals and activities and may include antisocial behavior, family</p>	<p>Number of program youth (by gender, race and ethnicity) served during the reporting period with the noted behavioral change.</p> <p>Total number of program youth (by gender, race and ethnicity) receiving services for target behavior during the reporting period.</p>

		relationships, social competence, etc.).	
	Percent of program youth who are victimized (short and long term).	The measure determines the percent of program youth who are harmed or adversely affected by someone else's criminal actions. Victimization can be physical or psychological; it also includes harm or adverse effects to youth's property.	Number of program youth (by gender, race, and ethnicity) tracked during the reporting period for victimization.  The number of program youth (by gender, race and ethnicity) who were victimized.
	Percent of program youth who are re-victimized (short and long term).	The re-victimization measure counts the number of youth who experienced subsequent victimization. Victimization can be physical or psychological; it also includes harm or adverse effects to youth's property.	Number of program youth (by gender, race and ethnicity) tracked during the reporting period for re-victimization.  The number of program youth (by gender, race and ethnicity) who were re-victimized.
<i>System Improvement:</i> Improve youth outcomes through systemwide reforms to juvenile reentry policies and processes.	Number of system-level initiatives implemented.	The number of current system-level initiatives implemented during the reporting period. Preferred data source is program records.	Number of current system-level initiatives.
	Number of other system-level improvement initiatives implemented.	The number of other (non-IT) system-wide initiatives implemented during the reporting period. Preferred data source is program records.	Number of other system-level improvements implemented.
	Percent of program staff or other relevant youth-serving professionals trained.	Number and percent of program staff or other relevant youth-serving professionals trained during the reporting period. The number is the raw number of program staff receiving any formal training relevant to the program or their position as program staff. Include any training from any	Number of program staff or other relevant professionals who participated in training.  Total number of program staff.

		source or medium received during the reporting period as long as receipt of training can be verified. Training does not have to have been completed during the reporting period. To obtain the percentage trained, divide the raw number by the total number of program staff. Preferred data source is program records.	
	Number of agency policies or procedures created, amended, or rescinded.	The number of cross-program or agency policies or procedures created, amended, or rescinded during the reporting period. A policy is a plan or specific course of action that guides the general goals and directives of programs and/or agencies. Include policies that are relevant to the topic area of the program or that affect program operations. Preferred data source is program records.	Number of program/agency policies or procedures created, amended, or rescinded.
	Number of program policies changed or rescinded during the reporting period (short term).	The number of cross-program or agency policies or procedures changed, improved, or rescinded during the reporting period. A policy is a plan or specific course of action that guides the general goals and directives of programs and/or agencies. Include policies that are relevant to the topic area of the program or that affect program	Number of program policies changed during the reporting period.  Number of program policies rescinded during the reporting period.

		operations. Preferred data source is program records.	
	Number of programs and/or agencies that are sharing automated data (short term).	Number and percentage of programs and/or agencies using automated data systems that enable the appropriate sharing of justice information during the reporting period.	Number and percentage of programs and/or agencies that are sharing automated data.
	Number of systems that have established inter-agency planning bodies (short term).	Number of planning bodies or inter-agency coordinating groups established during the reporting period.	Number of planning bodies or inter-agency coordinating groups established during the reporting period.

OJJDP does not require applicants to submit performance measures data with their application. Performance measures 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.

**Note on Project Evaluations**

Applicants that propose to use funds awarded 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.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections 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, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the [OJP Funding Resource Center](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluation) web page ([www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluation](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluation))

[nRequirements.htm](#)). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

- 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. See sample logic models [here](#). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 26.

**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” [here](#)).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 26. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

- 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 an organizational chart showing how the organization operates, including who manages the finances; how the organization 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 1, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners, e.g., governor, key legislator(s), Chief justice, court administrator, and/or other appropriate judicial leaders, local government leaders as appropriate and 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 percentage of time that the partner will devote to the planning and operation of the project.

#### 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.

Applicants should budget \$7,500 to attend OJJDP-sponsored conferences.

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

- Budget Detail Worksheet.** Find a sample Budget Detail Worksheet [here](#). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.
- 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 technology and collaboration with outside organizations could be used 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.

- Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold.** If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase

threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

- d. **Preagreement Cost Approvals.** For information on preagreement costs, see Section [B. Federal Award Information](#).

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

Indirect costs are allowed only if the applicant has a current 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. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). For assistance with identifying your cognizant agency, contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal [here](#).

## 6. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high risk;
- Date the applicant was designated high risk.
- The high risk point of contact name, phone number, and email address, from that federal agency.
- Reasons for the high risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

## 7. Additional Attachments

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their applications. 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 federally funded grants or subgrants (including cooperative agreements) 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. 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 subaward 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 on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) 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. Research and Evaluation Independence and Integrity.** If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and

integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
  - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by OJJDP grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would 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 applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that

may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization 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.

- c. Logic model (see Logic Model, page 24).
- d. Timeline or milestone chart (see Timeline, page 24).
- e. Résumés of all key personnel.
- f. Job descriptions outlining roles and responsibilities for all key positions.
- g. Letters of support/memoranda of understanding from partner organizations (see Letters of Support/Memoranda of Understanding, page 24)
- h. Evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable.
- i. Evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.
- j. Applicants must also address the eligibility requirements by attaching documentation with the application that demonstrates the following:
  - Established a statewide plan to reduce recidivism and improve outcomes for youth in contact with the juvenile justice system. This plan must have been formalized through legislation, appropriations, and/or administrative policy, and/or have resulted from two or more state agencies collaborating on key policy and practice changes.

This statewide improvement plan is not the Comprehensive Three-Year Plan required for Title II Formula Grant funding, but instead, a plan that the state has developed specifically to improve outcomes for youth.

- Obtained the endorsement of key state leaders for this plan, including the governor, legislators, judicial leaders, and local government agencies, as warranted.
- Aligned the state plan with what research has shown works to reduce recidivism and improve other youth outcomes, from diversion through reentry.
- Developed the capacity to collect data for all major juvenile justice system points at the individual youth or case level and have the ability to interpret that data to evaluate progress and inform decision making.

## 8. Financial Management and System of Internal Controls Questionnaire

In accordance with [2 CFR 200.205](#), Federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a Federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

## 9. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## How To Apply

Applicants must register in 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 [here](#). 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.

OJJDP 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.

**Note on File Names and File Types.** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters

shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

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

Grants.gov is designed to forward successfully submitted applications to OJP’s Grants Management System (GMS).

**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:

OJP may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

- 1. Acquire a Data Universal Numbering System (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 validating 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 is 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 be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants cannot successfully submit their applications until Grants.gov receives the SAM registration information. **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.

Access information about SAM registration procedures [here](#).

- 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. Applicant organizations must use their DUNS number to complete this step. For more information about the registration process, go [here](#).
- 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. 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 number for this solicitation is 16.812, titled "*Second Chance Act Reentry Initiative*" and the funding opportunity number is OJJDP-2016-9142.
- 6. 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 and the second will state whether the application has been successfully validated, or 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 well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **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.

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

**Note: Duplicate Applications.** If an applicant submits multiple versions of the same application, OJJDP will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their 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 e-mail the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) **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 OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally 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 as long as 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, including firewalls.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding [webpage](#).**

## **E. Application Review Information**

### **Selection Criteria**

The following five 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 10 percent of the entire score in the application review process.

1. Statement of the Problem. (10 percent)
2. Goals, Objectives, and Performance Measures. (10 percent)
3. Project Design and Implementation. (50 percent)
4. Capabilities and Competencies. (20 percent)
5. 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>7</sup> (10 percent)

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<sup>7</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.

See “What an Application Should Include,” page 13, 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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the General Services Administration’s Excluded Parties List.

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

OJJDP may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection 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. 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, although their views are considered carefully. 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 under prior OJJDP and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.

3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those 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, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior OJJDP and OJP awards, and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP award notification will be sent from GMS. Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves 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 agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ, or other federal regulations that will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>8</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements that may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

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

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative obligations of the recipient or the program.

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

For additional Federal Awarding Agency Contact(s), see the Title page.

For additional contact information for Grants.gov, see the Title page.

### **H. Other Information**

#### **Provide Feedback to OJP**

To assist OJP in improving 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. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail is for feedback and suggestions only. Replies are **not** sent 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 help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

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<sup>8</sup> See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

If you are interested in being a reviewer for other OJP grant applications, please e-mail your résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your résumé. **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.

# Application Checklist

## OJJDP FY 2016 Second Chance Act: Implementing Statewide Plans To Improve Outcomes for Youth in the Juvenile Justice System

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

### 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)
- \_\_\_\_\_ Download Funding Opportunity and Application Package
- \_\_\_\_\_ Sign up for Grants.gov email 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 [here](#). (see page 12)

#### *After application submission, receive Grants.gov email notifications that:*

- \_\_\_\_\_ (1) application has been received,
- \_\_\_\_\_ (2) application has either been validated or rejected (see page 32)

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

- \_\_\_\_\_ contact the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) regarding experiencing technical difficulties (see page 32)

### 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 \$1 million.

### Eligibility Requirement:

- \_\_\_\_\_ State government that has established a statewide plan to reduce recidivism and improve outcomes for youth in contact with the juvenile justice system.

States must fully meet all of the criteria listed in Section C to be eligible to apply and must demonstrate compliance with this criteria in their application.

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 14)
- \_\_\_\_\_ Project Abstract (see page 14)
- \_\_\_\_\_ Program Narrative (see page 15)
- \_\_\_\_\_ Budget Detail Worksheet and Narrative (see page 25)

_____ Indirect Cost Rate Agreement (if applicable)	(see page 26)
_____ Applicant Disclosure of High Risk Status	(see page 26)
_____ Additional Attachments	(see page 26)
_____ Applicant Disclosure of Pending Applications	
Research and Evaluation Independence and Integrity	
_____ logic model	
_____ timeline or milestone chart	
_____ résumés of all key personnel	
_____ job descriptions outlining roles and responsibilities for all key positions	
_____ letters of support/memoranda of understanding from partner agencies/ organizations, including the governor, judicial leader, key legislator(s), and local government leaders	
_____ evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable.	
_____ evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.	
_____ confirmation that shows the existence and approval of the statewide plan.	
_____ Financial Management and System of Internal Controls	(see page 30)
_____ Disclosure of Lobbying Activities (SF-LLL)	(see page 30)
_____ Employee Compensation Waiver request and justification	(see page 11)

## Appendix A: Second Chance Act Grantees: What You Need to Know to Ensure Your Program Is Built on Principles of Effective Practice

The following has been adapted from research-based principles recommended for juveniles [Elizabeth Seigle, Nastassia Walsh, and Josh Weber, *Core Principles for Reducing Recidivism and Improving Other Outcomes for Youth in the Juvenile Justice System* (New York: Council of State Governments Justice Center, 2014)]

The primary objective of the Second Chance Act is to reduce recidivism. A review of the most rigorous juvenile justice research has established eight key principles and practices associated with reduced recidivism rates and improved outcomes for youth in the juvenile justice system.

- 1. Target Higher-Risk Youth.** Prioritize supervision and services for youth who are at higher risk to reoffend. Consistent findings from research show that supervision and services focused on lower-risk youth produce little if any positive effect on recidivism and can even increase the recidivism. Maximum benefit is gained only when resources are directed to higher-risk justice-involved youth.
- 2. Address Youth's Greatest Criminogenic Needs.** Youth's criminogenic needs—dynamic risk factors that are the primary drivers behind youth's delinquent behaviors, such as antisocial tendencies, negative peer groups, dysfunctional families, and substance use—have proven to exert the most significant impact on recidivism. Supervision and services that address individual youth's specific criminogenic needs and that are tailored to youth's strengths and address their barriers to learning and motivation to change are likely to produce the largest recidivism reductions.
- 3. Objectively Assess Risks and Needs.** The use of validated assessment instruments has proven the most reliable, objective way to identify youth's risk of recidivism, criminogenic needs, and responsiveness to treatment. The results from risk and needs assessments, in conjunction with mental health and substance abuse screening and assessments, should be the primary contributing factor in determining how to match youth to the supervision levels and specific services most likely to reduce recidivism.
- 4. Employ Effective Services.** Cognitive behavioral interventions that help youth change the thinking patterns that contribute to delinquency and to develop the skills to make more pro-social decisions have proven to substantially improve youth outcomes. Effective service approaches for youth also seek to strengthen parenting skills and youth-family interactions and to connect youth to other positive adults, peers, and activities in their schools and communities.
- 5. Coordinate Services Across Systems.** The majority of youth in the juvenile justice system have significant mental health, substance use, education, and/or child welfare needs and are already involved in one or more of these service systems. Juvenile justice initiatives can work in partnership with these other systems to assess and comprehensively address youth's criminogenic needs and improve service access, quality, and efficiency.
- 6. Engage Families and Youth.** Families are critical to youth's success. Juvenile justice systems should engage youth's families and other positive adults in case planning,



supervision, and services while youth are in confinement and throughout the reentry process. In addition, youth are more likely to comply with supervision and services if they have opportunities for expression and meaningful participation in shaping case plans, decisions, and services.

- 7. Supervise Youth in a Developmentally Appropriate Manner.** Supervision officers who motivate and support youth to change through cognitive behavioral and motivational approaches can play a key role in addressing their criminogenic needs. Supervision and accountability practices should also emphasize incentives and restitution, employ graduated responses to noncompliance, and ensure swift, certain, and proportional consequences when needed.
- 8. Prioritize Implementation Quality and Evaluation:** Close fidelity to evidence-based programs and practices produces the largest effects on recidivism while poor fidelity can result in limited or even negative effects. A system of implementation standards, the ongoing assessment of program quality including ensuring youth receive the proper “dosage” of services, improvement processes, such as ongoing training and coaching, and data collection and outcome evaluation activities can facilitate high implementation quality and achieve expected results.