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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 Strengthening Relationships Between Young Fathers, Young Mothers, and Their Children initiative. This program furthers the Department's mission by supporting efforts to reduce recidivism, promote public safety, and improve outcomes for young parents returning from detention, out-of-home placement, or incarceration to their families and communities.

## **OJJDP FY 2016 Second Chance Act Strengthening Relationships Between Young Fathers, Young Mothers, and Their Children**

### **Eligibility**

This program will support the successful and safe transition of young fathers and young mothers from detention, out-of-home placement, or incarceration to their families and communities.

This initiative is composed of two categories. Applicants must clearly designate under which category they are applying. Applicants may submit an application under both categories. Each category requires a separate application, and each application must align with the target population of the category under which it is being submitted. OJJDP will not consider applications combining services for mothers and fathers.

#### **Category 1: Young Fathers and Their Children**

Eligible applicants are limited to nonprofit organizations (including faith-based, tribal, and community nonprofit organizations) and federally recognized Indian tribes, as determined by the Secretary of the Interior, to provide comprehensive reentry support services, including mentoring, that will help justice-involved young fathers reintegrate into their communities and that address the purpose and goals listed in this solicitation.

#### **Category 2: Young Mothers and Their Children**

Eligible applicants are limited to nonprofit organizations (including faith-based, tribal, and community nonprofit organizations) and federally recognized Indian tribes, as determined by the Secretary of the Interior, to provide comprehensive reentry support services, including mentoring, that will help justice-involved young mothers reintegrate into their communities and that address the purpose and the goals listed in this solicitation.

Applicants must submit letters of support or memoranda of understanding with juvenile justice or adult correctional agencies that oversee the reentry process for young fathers or mothers (younger than 25 years old). OJJDP strongly encourages applicants to partner with other

community-based agencies that can enhance their project or leverage existing resources and local mental health or substance abuse treatment providers to provide holistic reentry support services, including the mentoring component. However, one eligible entity must be the applicant, and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. OJJDP will consider only one application per lead applicant; however, subrecipients may be part of multiple proposals.

For additional 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 3, 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 Response Center (see contact information 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](#). Response Center hours of operation are 10 a.m. to 6 p.m. ET, Monday through Friday. Answers to frequently asked questions that may assist applicants are posted at <http://www.ojjdp.gov/grants/solicitations/FY2016/FAQ/SCAMothersFathersFAQ.pdf>.

Grants.gov number assigned to this announcement: **OJJDP-2016-9135**

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# OJJDP FY 2016 Second Chance Act Strengthening Relationships Between Young Fathers, Young Mothers, and Their Children (CFDA #16.831)

## A. Program Description

### Overview

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) envisions a nation where our children are healthy, educated, and free from violence. If they come into contact with the juvenile justice system, the contact should be rare, fair, and beneficial to them. To fulfill this vision, the fiscal year (FY) 2016 Second Chance Act Strengthening Relationships Between Young Fathers, Young Mothers, and Their Children initiative will provide funding to support the successful transition for young fathers and mothers as they return to their families and communities from detention, out-of-home placement, or incarceration. This program will fund coordinated and comprehensive strategies that incorporate (1) mentoring and transitional reentry services proven to reduce recidivism, (2) effective parenting skills development and parent/child relationship engagement for young fathers or mothers, and (3) private and community service partnerships that promote public safety and support added positive outcomes for young parents and their children.

This program is authorized pursuant to Section 211 of the Second Chance Act, Pub. L. No. 110-199; 24 USC Section 17531..

### Program-Specific Information

OJJDP is committed to promoting reform through evidence-based practices (see OJJDP's Model Programs Guide) and developmentally appropriate practices in family engagement and juvenile reentry. The growth in parental incarceration over the past two decades has significant implications for children and families. An estimated 1.7 million youth younger than 18 in the United States have at least one parent in prison, and millions more have a parent currently in jail.<sup>1</sup> Incarcerated parents and their children are a heterogeneous group, and associations between parental incarceration and developmental outcomes are complicated. However, research has shown that having an incarcerated parent can present individual and environmental risks for the child and increase the likelihood of negative outcomes.<sup>2</sup> Research suggests that intervening in the lives of incarcerated parents and their children to preserve and strengthen positive family connections can yield positive societal

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<sup>1</sup> Maruschak, L.M., Glaze, L.E., and Mumola, C.J. 2010. Incarcerated parents and their children: Findings from The Bureau of Justice Statistics. In J.M. Eddy and J. Poehlmann (Eds.), *Children of incarcerated parents: handbook for researchers and practitioners* (pp. 33–54). Washington, DC: Urban Institute Press.

<sup>2</sup> Jarjoura, R., DuBois, D., Shlafer, R., and Haight, K. 2014. *Mentoring Children of Incarcerated Parents: A Synthesis of Research and Input from the Listening Session Held by the Office of Juvenile Justice and Delinquency Prevention and the White House Domestic Policy Council and Office of Public Engagement*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention.

benefits in the form of reduced recidivism, less intergenerational criminal justice system involvement, and promotion of healthy child development.<sup>3</sup>

The problem of incarcerated young fathers and mothers has become more acute in American society. Collaborative efforts involving families, faith-based and community organizations, and private and public agencies are needed to address the dynamic environment that young incarcerated fathers and mothers leave behind. These needs, if not addressed while in custody, during the reentry process, and after release, will negatively impact their ability to live productive, prosocial, crime-free lives in the community. Mentoring programs designed to serve the exclusive needs of young fathers and mothers will help ensure they successfully transition from secure confinement to their communities.

This program supports the implementation and delivery of transitional/reentry services that include one-to-one, group, and peer mentoring services to justice-involved youth who are fathers and mothers. Transitional services include a broad range of activities, including providing case management, assessing risk factors and strengths that affect recidivism, substance abuse treatment, and other supporting comprehensive services to promote responsible parenting and family engagement, and implementing strategies that enhance the life skills and future of young fathers and mothers and their families. To aid in the reentry planning and service coordination, OJJDP will require a formal partnership with the juvenile or adult correctional agency/facility from which youth are returning and the agency supervising youth in the community, which may or may not be the same agency. For the purpose of this solicitation, mentoring is a structured relationship between an adult or trained peer and one or more young fathers or mothers. Applicants should demonstrate a strong partnership between the mentoring organization and the department/entity for the state/local/tribal secure confinement facility or facilities holding the identified target population.

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

The goal for Category 1 and Category 2 is to improve outcomes for young fathers and mothers using evidence-based practices to reduce recidivism and support responsible parenting that leads to healthy child development, resiliency, and improved interactions among young fathers and mothers, their children, and family and community members.

Successful applicants will:

- Provide gender-specific mentoring and transitional services for young fathers or mothers during confinement and following release to their community based on assessed risks, strengths, and parenting needs to support their successful reentry.
- Identify any applicable partners that can help the applicant provide reentry transitional support services, specifically to young fathers or mothers reintegrating into their communities from a juvenile or adult correctional facility. Examples of such services may include mentoring, parenting, health and mental health, social work, education, legal, child welfare, housing, and other appropriate services.
- Ensure that support services, such as trauma-informed care, substance abuse treatment, job skill development, counseling, mentoring, and advocacy services that prepare young mothers and fathers to transition back to their communities, are holistic

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<sup>3</sup> Christian, S. 2009. Children of Incarcerated Parents. National Conference of State Legislatures.

and comprehensive and take into consideration the needs of the target population that the applicant will serve. In addition, the continuum of services should provide participating young mothers and fathers the opportunity to adjust and prepare for reentry to the community.

- Make available sessions on child development milestones, avoiding child trauma, retaining custody, and intervening as the parent figure to improve parenting skills and promote a healthy relationship with the child.
- Ensure that services are gender-focused and racially and ethnically informed.

Transitional services should include a broad range of activities, such as case management, that target recidivism to promote responsible parenthood. These activities may be accomplished through a variety of approaches, such as program enhancement, improved data collection processes, and/or new staff training. As part of the transitional services, applicants should focus on strengthening and/or expanding mentoring services to improve parenting and develop life skills for young fathers or mothers. OJJDP expects successful applicants to integrate evidence-based and/or culturally specific mentoring principles into the mentoring services. A list of some evidence-based mentoring practices are in Appendix B on page 40.

Successful applicants will develop a collaborative approach to providing mentoring and transitional services to young fathers or mothers. OJJDP expects grantees to use their award to implement activities in alignment with the individual's reentry strategic plan and that advance the adoption, integration, and effective implementation of the principles and practices identified for reentry programs in Appendix A and mentoring programs in Appendix B of this solicitation.

OJJDP will require grantees to work with OJJDP and an assigned training and technical assistance provider to address deliverables for the planning and implementation phases of the project.

**Planning phase.** Successful applicants will submit a draft and final plan that addresses the implementation phase items identified below. OJJDP and its designated partners will review and comment on the draft, and OJJDP will approve the final implementation plan. During the planning phase, successful applicants will also work with OJJDP and its designated partners to submit baseline performance measures prior to the implementation of the program.

**Implementation phase.** During the implementation phase, award recipients should implement the strategies outlined in their plan. This should include:

- A key component of the reentry services for young fathers or mothers should include mentoring. In many cases, the role of a mentor who works with a high-risk mentee requires a major commitment of time on the part of the mentor. While many volunteer mentors make the time to go above and beyond investing in the lives and addressing the need of their mentees, they often do not have the time to complete intensive training to be optimally effective in their role. Applicants may consider expanding the traditional role of a mentor to a combination of "friend/case manager/coach/advocate." In cases where the role of mentors is expanded, grantees may use funds to compensate these individuals either as part or full-time staff of the project. Mentoring services should support the structured relationship between an adult or trained peer and one or more

young fathers or mothers. While mentoring will not look the same across all programs, there are some underlying principles of quality mentoring that provide the foundation around which effective mentoring systems are built. These principles are highlighted in Appendix B on page 40.

- Providing targeted transitional and reentry services to support responsible parenting by young fathers or mothers that include the following four key strategies. Applicants should outline how they will include each of the strategies and integrate the research-informed practices identified in Appendix A (see page 38) within these strategies:
  - **Providing a comprehensive range of culturally appropriate and gender-specific services for young fathers or mothers.** OJJDP urges applicants to make available a comprehensive range of programs and a process for addressing the needs of young fathers or mothers, based on their risk/strengths assessment. In addition to mentoring activities, grantees may use funding to provide job training, job placement, basic skills remediation, occupational skills training, on-the-job training, educational services, substance abuse treatment services, mental health services, legal services, and housing services to eligible young mothers or fathers. OJJDP expects applicants to coordinate with other programs and entities to provide some of these activities and services if they do not have the capacity to provide the services alone or to leverage existing resources in a community.
  - **Addressing needs that affect recidivism.** Applicants should focus especially on addressing the dynamic risk factors most closely associated with recidivism. Examples include history of antisocial behavior, having delinquent peers, gang involvement, and problems with substance abuse. OJJDP urges applicants to use the results of strengths, needs, and risk assessments to identify the most urgent needs to address.
  - **Providing sustained case planning/management in the community.** Reentry programs for young fathers or mothers should ideally begin when the individual is first confined or incarcerated and continue when he or she is released to the community. Since individuals returning home from confined settings are at greatest risk of rearrest the first few months after release, services should be most intensive at the time of release to the community. OJJDP strongly urges applicants to use consistent pre- and post-release case management and supervision sustained over at least 6 months to respond especially to the transition of young fathers or mothers from incarceration to the community.
  - **Providing adequate staff training.** Reentry programs should provide adequate staff training on the appropriate use of cognitive-behavioral interventions and strategies as part of evidence-based programs and practices.
- Collecting robust performance measures of implementation and impact. OJJDP will expect successful applicants to collect the performance measures identified on page 16. OJJDP will also expect successful applicants and their research partners to coordinate with an assigned training and technical assistance provider and other entities, as OJJDP identifies, to determine appropriate partners, measurement definitions, and protocols for performance measure collection.

Applicants should also address how they will implement a reliable and systematic process to collect performance measures, including whether they will partner with an individual or organization with research expertise. Applicants, when possible, should collect official records to supplement individual reports.

**Target population.** The target population for this initiative is medium-to-high-risk youth. Targeted young fathers or mothers must be confined (held in secure confinement facilities, such as a juvenile detention center, juvenile correctional facility, staff-secure facility, jail, or prison of a local or state juvenile or adult correctional agency) and admitted to the program prior to their 25<sup>th</sup> birthday. However, award recipients may continue to implement a reentry plan for these individuals beyond their 25<sup>th</sup> birthday. OJJDP does not have a set timeline for terminating these services; they can continue as long as is deemed therapeutically necessary on a case-by-case basis with approval from OJJDP.

Applicants may choose to target specifically young fathers or mothers who are:

- Assessed as high risk.
- Returning to a specific community, neighborhood, or zip code.
- Housed in the same facility.

Applicants must provide their reason for selecting this target population and supporting documentation to justify their decision.

**Priority considerations.** OJJDP will give priority consideration to all applicants who address the following. Applicants are not required to address all of the priority considerations.

- Include a plan to implement activities that have been demonstrated to be effective in facilitating the successful reentry of juveniles.
- Provide for an independent evaluation of the project that includes, to the maximum extent feasible, random assignment of youth to program delivery and control groups. For the purposes of this solicitation, this may include the collection of robust performance measures, as identified above.

**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. The proposed program should provide a continuum of engagement opportunities to increase and engage the family by fostering parenting, reconnecting families, and promoting family involvement and engagement activities. Applicants should use existing documents and examples of promising practices to develop these strategies.

**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>4</sup> Applicants should describe their plan for collecting performance measure data by race and ethnicity (see the Performance Measures section on page 16).

Resources for civil legal aid under the Second Chance Act. Civil legal assistance can often play a critical role in addressing barriers to successful reintegration. This guidance clarifies that an allowable use of Second Chance Act funds for reentry services includes referral to and payment of legal services related to the purpose of the grant, such as securing a driver's license, expunging juvenile and criminal records, litigating inappropriate denials of housing or employment and violations of the Fair Credit Reporting Act, creating and/or modifying child support orders, and other family law services that help stabilize individuals and families. This excludes the payment of fines or penalties associated with a driver's license suspension or the payment of child support.

**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 Programs 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.

OJP encourages applicants to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluations. One resource that applicants may use is the e-Consortium for University Centers and Researchers for Partnership with Justice Practitioners. The e-Consortium provides resources to local, state, federal, and other groups who seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial

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<sup>4</sup> Section 223(a)(22) of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, requires states and territories participating in the Title II, Part B 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."

to the criminal justice community. Find the e-Consortium online [here](#). OJJDP will expect successful applicants to coordinate with the Office and its partners regarding common performance measure definitions and collection.

**Collaboration with other federal agencies.** OJJDP and the Bureau of Justice Assistance (BJA) are collaborating closely on the Second Chance Act implementation to support both juvenile and adult reentry efforts. Similarly, BJA and OJJDP are working with the National Institute of Justice to support the research and evaluation activities described in the Second Chance Act. For more information on the implementation of the Second Chance Act initiatives and frequently asked questions, visit the [National Reentry Resource Center](#) website. OJJDP will expect successful applicants to work with the National Reentry Resource Center for limited training and technical assistance and coordination of performance measures.

**Note:** For those interested in submitting applications to adult offender demonstration reentry projects, visit the [BJA website](#).

**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 expects to make as many as eight awards (four awards for Category 1 and four awards for Category 2) of as much as \$350,000 for an estimated total amount of \$2,800,000 for a 36-month project period, beginning on October 1, 2016.

Grantees may take as long as 12 months to complete their project planning. During the planning phase, grantees will have access to as much as \$50,000 for activities related to addressing the planning phase deliverables.

Once grantees have completed the planning phase and OJJDP has approved satisfactory progress toward or completion of the deliverables, they will gain access to the remaining award balance. Grantees may then proceed into the implementation phase and complete project activities.

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>5</sup>**

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

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<sup>5</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)).

## 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 nonfederal 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 nonfederal 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 nonfederal 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

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

### 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 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>6</sup> The 2015 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 nonfederal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, 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**

For additional eligibility information, see the title page.

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<sup>6</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.

**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 and letters of support or memoranda of understanding with juvenile justice or adult correctional agencies that oversee the reentry process for young fathers or mothers (younger than 25 years old).

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.

*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, the activities that the applicant will implement to achieve the project’s goals and objectives, and the category the applicant is applying under. 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 21. 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. The program narrative should be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use a standard 12-point font, preferably Times New Roman. Pages should be numbered “1 of 30,” etc. The tables, charts, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced and will count in the 30-page limit. Material required under the Budget and Budget Narrative and Additional Attachments sections will not count toward the program narrative page count. Applicants may provide bibliographical references as a separate attachment that will not count toward the 30-page program narrative limit. If the program

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

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

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

- a. Statement of the Problem.** Applicants should briefly describe the nature and scope of the problem that the program will address. The applicant should use data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document the effects of the problem on the target population and the larger community. Applicants should describe the target population and any previous or current attempts to address the problem.

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

- 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. The applicant should also include the proposed number of young father's or mothers that will be served during the project period.

**Program Objectives.** Applicants should explain how the program will accomplish its goals. Objectives are specific, quantifiable statements of the project's desired results. They should be clearly linked to the problem identified in the preceding section and measurable. (Examples of measurable objectives include the following: [Insert an example that relates to the solicitation; for example, to enroll 30 young fathers in prerelease services, to increase the percentage of young mothers who successfully transition back to their communities, or to expand treatment services to an additional 50 young mothers.]

Applicants should identify objectives regarding increases in positive parenting behaviors. This includes, but is not limited to:

- parenting skills,
- homework assistance,

- affection/hugging/praising,
- family/child activities, and
- other behaviors that the applicant identifies.

### 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:

Objective	Performance Measure(s)	Description	Data Grantee Provides
Provide mentoring programs for young fathers or mothers.	Percentage of enrolled participants matched with a mentor during the reporting period.	The number and percent of program participants who were matched with a mentor during the reporting period. The number of young fathers or mothers enrolled includes the number of participants carried over from the previous reporting period, plus new admissions who were matched with a mentor during the reporting period. Program records are the preferred data source.	Number of program young fathers and mothers matched with a mentor during the reporting period.  Total number of young mothers or fathers enrolled in the program during the reporting period.  Percentage of program young mothers or fathers matched with a mentor during the reporting period (A/B).
	Number of program participants served during the reporting period.	An unduplicated count of the number of young fathers or mothers served by the program during the reporting period. The number of young fathers or mothers served for a reporting period is the number of program participants carried over from previous reporting period, plus new admissions during the reporting period. Program records are the preferred data source.	Number of participants carried over from the previous reporting period.  New admissions during the reporting period.  Number of participants served by race and ethnicity during the reporting period.
	Percentage of participants completing program requirements.	The number and percent of program participants who have successfully fulfilled all program obligations and requirements. This does not include participants who are	Number of program participants who exited the program having completed program requirements during the reporting period.

		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, such as attendance and participation at a certain number of meetings or events.	Total number of program participants exited the program during the reporting period (either successfully or unsuccessfully).
	Number and percentage of enrolled young fathers or mothers matched with a mentor during the reporting period.	The number and percentage of program young mothers and fathers who were matched with a mentor during the reporting period. The number of young fathers and mothers enrolled includes the number of participants carried over from the previous reporting period, plus new admissions who were matched with a mentor during the reporting period. Program records are the preferred data source.	Number of program participants matched with a mentor during the reporting period.  Total number of participants enrolled in the program during the reporting period.  Percentage of program participants matched with a mentor during the reporting period.
	Percentage of young fathers or mothers in matches meeting mentoring program requirements.	The number of young fathers and mothers in matches with mentors that meet the mentoring program requirements during the reporting period. Enter the intended minimum length of the match (the "A" value) and the intended minimum hours per month for mentee/mentor meetings (the "E" value) according to program requirements. Program records are the preferred data source.	Intended minimum length of the match in months.  Number of young fathers and mothers whose match met the intended minimum match length during the reporting period.  Number of young fathers and mothers whose match exceeded the intended minimum match length during the reporting period.  Number of participants who had matches that closed early during the reporting period.  Intended minimum hours per month that mentors and mentees were expected to meet (match meetings). Number of participants whose mentor/mentee match meetings met for the minimum number of hours during the reporting period.
Provide targeted transitional and reentry services to	Percentage of participants served with whom an evidence-based	The number and percent of participants served with whom an evidence-based program or practice was used. These include programs and	Number of participants served using an evidence-based program or practice during the reporting period.

support young fathers and mothers and responsible parenting.	program or practice was used.	practices 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, etc.).	The number of participants served during the reporting period.
	Number of services provided to participants by type.	This measure is designed to assess program capacity. Report the number of participants who actually receive various services provided to participants by type during the reporting period. Services include substance use counseling, mental health services, and housing services. Other services may include educational services, social skills building, cultural skills building, or any other services other than substance use counseling, mental health, or housing services. Program records are the preferred data source.	Number of services provided to young fathers and mothers by type during the reporting period.
	Percentage of participants assessed as needing services specific to their needs.	This measure is designed to assess both need and program capacity. Report the number of young fathers and mothers who are assessed as needing various types of services during the reporting period and also the number of participants who actually receive services during the reporting period. Other services may include educational services, social skills building, cultural skills building, or any other services other than substance use counseling, mental health, or housing services. Program records are the preferred data source.	<p>Number of participants who received services during the reporting period.</p> <p>Number of participants assessed as needing substance use counseling services during the reporting period.</p> <p>Number of participants assessed as needing mental health services during the reporting period.</p> <p>Number of participants assessed as needing housing services during the reporting period.</p> <p>Number of participants assessed as needing other services during the reporting period.</p>
	Percentage of program	The number and percent of participating program youth	Number of program participants who were committed to a

	<p>participants who were adjudicated (i.e., adjudicated in juvenile court or convicted in criminal court) during the reporting period (short and long term).</p>	<p>who were adjudicated for a new delinquent or criminal offense during the reporting period. This does NOT include technical violations and is appropriate for any youth-serving program.</p> <p>A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages.</p> <p>Official records (police, juvenile and criminal court) are the preferred data source.</p>	<p>juvenile residential facility as a result of a new adjudication during the reporting period.</p> <p>Number of participants sentenced to adult jail or prison as a result of a new adjudication during the reporting period.</p> <p>Number of participants given some other sentence as a result of a new adjudication during the reporting period.</p> <p>Number of program participants tracked for adjudications during this reporting period.</p>
	<p>Percentage of program youth who had technical violations during the reporting period (short and long term).</p>	<p>The number and percent of program participants who had a violation of the terms of their supervision (commonly referred to as a technical violation) during the reporting period.</p> <p>A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages.</p> <p>Program records are the preferred data source.</p>	<p>Number of program participants who were committed to a juvenile residential facility as a result of a technical violation during the reporting period.</p> <p>Number of participants who were sentenced to adult jail or prison as a result of a technical violation during the reporting period.</p> <p>Number of participants who received some other sentence as a result of a technical violation during the reporting period.</p> <p>Number of program participants tracked for technical violations during this reporting period.</p>
	<p>Percentage of program participants who are victimized (short and long term).</p>	<p>The measure determines the number of program participants 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 participants' property. The number of participants tracked should reflect the number of program participants that are followed or monitored for victimization. Ideally, this number should be all participants served by the</p>	<p>Number of program youth tracked during the reporting period for victimization.</p> <p>Of the participants tracked, the number of program participants who were victimized.</p>

		program during the reporting period.	
	Percentage of program participants who earned their GED, completed high school, or finished occupational skill training.	The number and percent of program participants who earned their GED, completed high school, or finished occupational skill training during the reporting period.  Self-report or staff ratings are the most likely data sources.	Number of program participants served during the reporting period who completed their GED, high school diploma, or occupational skills training.  Total number of youth receiving services for target behavior during the reporting period.
	Percentage of program participants who found employment.	Number of program participants who completed employment training or became employed during the reporting period.	Number of program participants served during the reporting period who completed employment training or became employed during the reporting period.  Total number of participants receiving services for target behavior during the reporting period.
	Percentage of program participants who exhibited a change in targeted behaviors.	The number and percentage of program participants who have exhibited a desired change in target behavior during the reporting period.	Number of program participants served during the reporting period who showed improvement in target behavior during the reporting period.  Total number of participants receiving services for target behavior during the reporting period.
	Percentage of program participants who exhibited a change in positive parenting behaviors during the reporting period (short and long term).	Number of program participants who exhibited a positive change in parenting behaviors. This includes changes in: <ul style="list-style-type: none"> <li>• homework assistance</li> <li>• words of encouragement/support</li> <li>• limit setting</li> <li>• affection/hugging/praise</li> <li>• family/child activities</li> <li>• other</li> </ul> Use of post test is preferred.	Number of program participants who exhibited a change in positive parenting behaviors.  Total number of program participants receiving services for target behavior during the reporting period.
	Frequency with which program participants exhibited a change in	The number of times in which program participants engaged positive parenting behaviors during the reporting period. This includes:	Number of times in which program participants engaged positive parenting behaviors during the reporting period.

	positive parenting behaviors during the reporting period (short and term).	<ul style="list-style-type: none"> <li>• homework assistance</li> <li>• words of encouragement/support</li> <li>• limit setting</li> <li>• affection/hugging/praise</li> <li>• family/child activities</li> <li>• other</li> </ul> <p>Self-report or staff ratings are the most likely data sources.</p>	
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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](#) webpage. Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

- 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 25.

**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 25. 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.** Applicants must submit signed and dated letters of support or memoranda of understanding with juvenile justice or adult correctional agencies that oversee the reentry process for young fathers or mothers (younger than 25 years old). Applicants should provide signed and dated letters of support or memoranda of understanding for all key partners. The letters of support or memoranda of understanding should 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 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.

**e. Sustainability Plan**

Since this is a competitive, discretionary program, there is no guarantee of continuation funding. Applicants need to describe how they would sustain project activities if federal funding through OJJDP were no longer available.

**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.

**All applicants are required to allocate \$7,000 to support travel costs associated with technical assistance and capacity-building activities that OJJDP-designated technical assistance providers sponsor or OJJDP approves.**

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

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

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.

- c. Noncompetitive Procurement Contracts In Excess of Simplified Acquisition Threshold.** If an applicant proposes to make one or more noncompetitive procurements of products or services, where the noncompetitive 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. Tribal Authorizing Resolution (if applicable)

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

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

## 7. 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 [OJPCComplianceReporting@usdoj.gov](mailto:OJPCComplianceReporting@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.

## 8. 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 subrecipients) 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 subrecipients 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 subrecipients) 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 subrecipients 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 subrecipients 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 22).
- d. Timeline or milestone chart (see Timeline, page 22).

- 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 with juvenile justice or adult correctional agencies that oversee the reentry process for young fathers or mothers and any other partner organizations (see Letters of Support/Memoranda of Understanding, page 22).
- 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.

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

In accordance with [2 C.F.R. 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](#).

## 10. 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 16.831 titled "Children of Incarcerated Parents," and the funding opportunity number is OJJDP-2016-9135.
- 6. Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

**Category 1: Young Fathers and Their Children.** Opportunity number OJJDP-2016-9136.

**Category 2: Young Mothers and Their Children.** Opportunity number OJJDP-2016-9137.

- 7. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application 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. Then 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.
- 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 20 percent of the entire score in the application review process.

1. Statement of the Problem (20 percent)
2. Goals, Objectives, and Performance Measures (10 percent)
3. Project Design and Implementation (45 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> (5 percent)

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

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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.

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.

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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)).

## 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.

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 Strengthening Relationships Between Young Fathers, Young Mothers, and Their Children

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 29)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 29)

##### *To Register with Grants.gov:*

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

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

##### *To Find Funding Opportunity:*

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

\_\_\_\_\_ Select the correct Competition ID (see page 30)

\_\_\_\_\_ Download Funding Opportunity and Application Package

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 28)

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

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

\_\_\_\_\_ (1) application has been received,

\_\_\_\_\_ (2) application has either been validated or rejected (see page 30)

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 31)

#### 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 \$350,000.

#### Eligibility Requirement:

\_\_\_\_\_ Nonprofit organization, including faith-based, tribal, or community nonprofit organization.

\_\_\_\_\_ Federally recognized Indian tribe that can show that they have a partnership—or are coordinating with juvenile justice or adult correctional agencies that oversee the reentry process for young fathers or young mothers younger than 25.

#### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 13)

\_\_\_\_\_ Project Abstract (see page 14)

\_\_\_\_\_ Program Narrative (see page 14)

\_\_\_\_\_ Budget Detail Worksheet and Budget Narrative (see page 23)

\_\_\_\_\_ Employee Compensation Waiver request and justification (see page 12)

- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available [here](#).(see page 12)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 28)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 24)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 24)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 24)
- \_\_\_\_\_ Additional Attachments (see page 25)
  - \_\_\_\_\_ 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 organizations
  - \_\_\_\_\_ 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.
- \_\_\_\_\_ Financial Management and System of Internal Controls (if applicable) (see page 28)

## Appendix A

### Adapted for 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)].

- 1. Target Higher Risk Individuals.** Prioritize supervision and services for justice-involved youth/young adults who are at higher risk to reoffend. Consistent findings from research show that supervision and services focused on lower risk individuals produce little if any positive effect on recidivism and can even increase recidivism. Maximum benefit is gained only when resources are directed to higher risk individuals.
- 2. Address Individuals' Greatest Criminogenic Needs.** Youth and young adults' criminogenic needs—dynamic risk factors that are the primary drivers behind offending 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/young adult's specific criminogenic needs and are tailored to the youth's/young adult'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 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/young adults to the supervision levels and specific services most likely to reduce recidivism.
- 4. Employ Effective Services.** Cognitive behavioral interventions that help youth/young adults change the thinking patterns that contribute to delinquency and to develop the skills to make more prosocial decisions have proven to substantially improve youth outcomes. Effective service approaches for youth/young adults 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 and young adults in the juvenile and criminal justice systems have significant mental health, substance use, education, and/or child welfare needs and are already involved in one or more of these service systems. Reentry initiatives can work in partnership with these other systems to assess and comprehensively address criminogenic needs and improve service access, quality, and efficiency.
- 6. Engage Families and Youth/Young Fathers/Young Mothers.** Families are critical to youth's success. 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/Young Fathers/Young Mothers 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 individuals 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.

## Appendix B

### Evidence-Based Mentoring Practices

Under this solicitation, OJJDP supports the provision of mentoring services to justice-involved youth. Applicants should address how their mentoring program has the following practices in place that are likely to enhance the quality of the mentoring relationship:

**Match mentors and mentees based on interests and skills.** Under this enhancement, applicants will assess and redesign their matching process to improve the matching based on youth's needs and interests and a mentor's experiences, skills, and interests (as opposed to being based on demographic features). Research has shown that taking into account a youth's interests when matching him/her with a mentor is associated with the overall success of the mentoring program.<sup>9</sup>

**Provide ongoing training.** Research indicates that ongoing training (beyond providing a single, initial orientation or training) and support for mentors is a moderator of greater program effectiveness.<sup>10</sup> Under this enhancement, applicants will improve training and support for the mentor to enhance skills, knowledge, and abilities in serving as a mentor to and in building relationships with youth. It may also include training staff to be more effective trainers of mentors.

**Provide additional mentor support.** Providing structured support to mentors has been identified as a key program characteristic associated with improved effectiveness and longer lasting mentoring matches.<sup>11</sup> Under this enhancement, applicants will outline how they will improve the ongoing support that program coordinators, match specialists, etc., offer mentors. This includes, but is not limited to, increasing the frequency of and improving the program communication with mentors or providing additional support regarding activities, issues, questions, or plans.

**Incorporate advocacy/teaching roles for mentors.** Research has shown that advocacy/teaching roles for mentors have been associated with program effectiveness.<sup>12</sup> Under this enhancement, advocacy or teaching roles or functions are defined as those in which the mentor offers active guidance to the youth and seeks to facilitate the youth's relationships with peers and/or other supportive adults and to support engagement with appropriate activities and resources. This should not be confused with an overly directive or authoritarian approach, which has evidence of potential harmful outcomes in youth mentoring.<sup>13</sup> It is also not a therapeutic, counseling, informational/instructional, or explicit skill-building approach (i.e., such as job skills).

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<sup>9</sup> DuBois, D.L., Portillo, N., Rhodes, J.E., Silverthorn, N., and Valentine, J.C. 2011. "How Effective Are Mentoring Programs for Youth? A Systematic Assessment of the Evidence." *Psychological Science in the Public Interest* 12(2)57–91. [www.rhodeslab.org/files/DuBoisetalMeta.pdf](http://www.rhodeslab.org/files/DuBoisetalMeta.pdf)

<sup>10</sup> DuBois, D.L., Holloway, B.E., Valentine, J.C., and Cooper, H. 2002. Effectiveness of Mentoring Programs for Youth: A Meta-Analytic Review. *American Journal of Community Psychology* 30(2)157-197.

<sup>11</sup> Ibid

<sup>12</sup> DuBois, D.L., Portillo, N., Rhodes, J.E., Silverthorn, N., and Valentine, J.C. 2011. "How Effective Are Mentoring Programs for Youth? A Systematic Assessment of the Evidence."

<sup>13</sup> Keller, T.E. 2005. "The stages and development of mentoring relationships." In D.L. DuBois and M.J. Karcher (Eds.), *Handbook of youth mentoring* (pp. 82–99). Thousand Oaks, CA: SAGE.

**Engage parents and family.** Research indicates that mechanisms that support and involve parents in mentoring programs increase the chances for positive outcomes.<sup>14</sup> Under this enhancement, family and parental involvement includes, but is not limited to, creating specific activities in which mentors, youth participants, and parents participate together, including informal recreational activities that the mentoring organization hosts, or additional outreach to parents. Parents include both official and unofficial caretakers.

**Use a youth-centered developmental approach.** Under this enhancement, programs will incorporate a youth-centered approach that allows the mentor and mentee to establish and achieve a mutually agreed upon set of goals. Research indicates that this approach, focused on providing structured support to the developmental needs of the youth, can increase the effectiveness of the mentoring program.<sup>15</sup>

**Assess and serve mentee risk.** Research has identified that the risk profile of the target population appears to be associated with variations in the effectiveness of mentoring programs.<sup>16</sup> Under this enhancement, programs will institute an assessment that considers both individual and environmental risk, and adjust the mentoring services accordingly.

**Improve closure.** There are indications that while longer mentor-mentee match duration positively influences the effectiveness of mentoring programs<sup>17</sup>, the key feature may actually be that the mentoring match lasted the full expected duration, regardless of the time period, and how the closure occurs.<sup>18</sup> Under this enhancement, programs will review and revise procedures for and guidance to mentors and mentees in setting expectations, preventing premature termination of the mentoring relationship, and working to effectively bring the mentoring relationship to a close at the expected time.

**Provide structured activities.** Structured activities are the result of planning, curriculum development, and program design that the mentor and mentees can engage in together. Research has indicated that providing this type of structured support to mentors and mentees is associated with improved outcomes.<sup>19</sup> Under this enhancement, examples of structured activities can include, but are not limited to, community involvement/engagement projects, job skills, and career path-related activities, recreational and educational games, and cultural-specific programs.

**Establish external partnerships.** Research has indicated that collaboration with other organizations that provide services or resources to support mentees and their families has been

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<sup>14</sup> Dubois, D.L., Holloway, B.E., Valentine, J.C., and Cooper, H. 2002. Effectiveness of Mentoring Programs for Youth: A Meta-Analytic Review. *American Journal of Community Psychology* 30(2)157-197.

<sup>15</sup> Rhodes, J.E., and DuBois, D.L. 2006. "Understanding and Facilitating the Youth Mentoring Movement. Society for Research in Child Development." *Social Policy Report*. Vol 20 (3) Retrieved from: [http://www.srcd.org/index.php?option=com\\_docman&task=doc\\_download&gid=79](http://www.srcd.org/index.php?option=com_docman&task=doc_download&gid=79). Citing: Balcazar, Davies, Viggers, and Tranter. In press; Balcazar, Keys, & Garate, 1995; Davidson & Redner, 1988; Hamilton & Hamilton, 2005; Larose, Chaloux, Monaghan, & Tarabulsky, 2006; and Langhout, Rhodes, & Osborne, 2004.

<sup>16</sup> Herrera, C., DuBois, D., and Grossman, J.B. 2013. The Role of Risk: Mentoring Experiences and Outcomes for Youth with Varying Risk Profiles. New York, NY: A Public/Private Ventures project distributed by MDRC.

<sup>17</sup> Grossman, J.B., and Rhodes, J.E. 2002. "The Test of Time: Predictors and Effects of Duration in Youth Mentoring Relationships." *American Journal of Community Psychology* 30(2)199-219.

<sup>18</sup> Zilberstein, K. and Spencer, R. "Breaking bad: an attachment perspective on youth mentoring relationship closures." *Child & Family Social Work*. Retrieved from: <http://onlinelibrary.wiley.com/doi/10.1111/cfs.12197/abstract>

<sup>19</sup> Dubois, D.L., Holloway, B.E., Valentine, J.C., and Cooper, H. 2002. Effectiveness of Mentoring Programs for Youth: A Meta-Analytic Review. *American Journal of Community Psychology* 30(2)157-197.

associated with better outcomes for the youth.<sup>20</sup> Under this enhancement, applicants will identify and enter into additional partnerships to best serve the needs of the mentored youth and families.

**Structure the mentoring relationship to support bonding or emotional connection between the mentee and mentor.** Research has demonstrated that having a strong emotional connection or bond between the mentee and mentor has been associated with better relationships and outcomes.<sup>21</sup> This bond can be supported via various ways, such as providing activities or resources for mentors and mentees that can help facilitate conversations.

**Encourage the mentor to think of him/herself as a role model.** Research has highlighted that mentors who demonstrate healthy behaviors (such as those around eating, exercising, relationships, and academics) have been associated with better outcomes for youth.<sup>22</sup> Under this enhancement, the mentor will receive clear expectations and guidance around serving as a role model.

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<sup>20</sup> Jarjoura, G.R., DuBois, D.L., Schlafer R.J., and Haight, K.A. 2013 "Mentoring Children of Incarcerated Parents, Research and Listening Session Report." Washington, DC.

<sup>21</sup> *Ibid.*

<sup>22</sup> *Ibid.*