

A JOINT PROGRAM ANNOUNCEMENT BY



U.S. DEPARTMENT
OF JUSTICE



U.S. DEPARTMENT
OF HEALTH &
HUMAN SERVICES



U.S. DEPARTMENT
OF LABOR

The Young Offender Initiative

REENTRY GRANT PROGRAM

U.S. Department of Justice
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Washington, DC 20531

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Application Checklist

This checklist is provided as a guide for making sure your submission is complete. Please organize your application following the order of items on the checklist. Failure to submit any of the checklist items by the October 1, 2001 deadline may disqualify your application from consideration for funding.

- G** **Standard Form (SF) 424**, *Application for Federal Assistance*. A copy is included in the Solicitation's Appendix. The Catalog of Federal Domestic Assistance (CFDA) number is 16.202.
- G** **Project narratives** may not exceed 50 double-spaced single-sided pages, using 12-point standard type and one-inch margins. (The page limit excludes budget material, the project abstract and timeline, supporting documentation, and the signature page.)
- G** **Budget material**. Submit a *Budget Detail Worksheet* and *Budget Narrative*. A sample *Worksheet* is included in the Solicitation's Appendix.
- G** **Project abstracts** may not exceed one page, using 12-point type and one-inch margins.
- G** **Timeline**
- G** **Assurances** must be signed by an authorizing official of the applicant organization.
- G** **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements** must be signed by an authorizing official of the applicant organization.
- G** **Letter of nonsupplanting** addressed to Acting Assistant Attorney General Mary Lou Leary.
- G** **Proof of 501(c)(3) status of nonprofit entities** (if applicable).
- G** **Licenses, accreditation, and certifications** (if applicable).
- G** **Documentation from substance abuse and mental health agencies of being in operation at least 2 years.**
- G** **OJP Accounting System and Financial Capability Questionnaire** (if applicable).
- G** **Optional Supporting Documentation**
 - G** Memoranda of understanding
 - G** Letters of commitment and support
- G** **Signature Page**

Send an original application and three copies to the Corrections Program Office, Office of Justice Programs, U.S. Department of Justice, 810 7th Street, NW, Washington, DC 20531-0001, attention: *Young Offender Initiative: Reentry Grant Program*. Applications hand-carried or sent by Federal Express or other private carrier must be received by 5:30 p.m. EST, October 1, 2001, at the Office of Justice Programs Mailroom, Lower Level, 810 7th Street, NW, Washington, DC 20001 (202-

307-5881).

Overview

The U.S. Departments of Labor, Justice, and Health and Human Services are pleased to offer this joint solicitation for the *Young Offender Initiative: Reentry Grant Program*. This Program is unique because it represents the first time in which these three federal departments have come together to share funding and decisionmaking around common goals. It reflects the realization, reached early in the planning and development of this joint venture, that any solution to the recalcitrant social problem of reintegrating ex-offenders into the community requires the collaborative contributions of agencies charged with ensuring public safety, public health, and employment opportunity.

The Department of Labor through its Employment and Training Administration, the Department of Justice through its Office of Justice Programs, Corrections Program Office, and the Department of Health and Human Services through its Center for Substance Abuse Treatment and Center for Mental Health Services have forged such a collaboration, which we hope will serve as a model for state and local governments as they work to resolve the pressing problem of returning ex-offenders to society. Additional offices involved in this effort include the Department of Justice Executive Office for Weed and Seed, National Institute of Justice, and Office of Juvenile Justice and Delinquency Prevention.

The *Reentry Grant Program* will provide funding to design, implement, and evaluate reentry programs for offenders ages 14 to 35 that combine criminal justice supervision with job training, mental health care, and substance abuse services.

The goal of the Program is to protect public safety by successfully reintegrating young offenders into the community. By combining supervision and services, the *Reentry Grant Program* will help offenders to achieve the following:

- Become productive, responsible, and law-abiding citizens.
- Obtain and retain long-term employment.
- Maintain stable residences.
- Successfully address substance abuse issues and mental health needs.

Achieving this goal means being able to meet the public-safety needs of our communities, as well as the reentry needs of returning offenders. To promote public safety and effective reentry, communities must focus simultaneously on offender supervision, self-sufficiency, mental health, and related issues.

Addressing the safety needs of our communities requires creating public-private partnerships to tap the diverse expertise and resources of key stakeholders. Reentry programs are highly collaborative efforts that require broad-based community support for success. Support may include the leveraging of nonfederal funds and resources to build permanent partnerships for the continuation of services.

To encourage applicants to propose innovative reentry approaches, the Program allows them as much flexibility as possible in structuring their programs. Information about what must be included in an application is provided in the Program Narrative section of this Solicitation. However, applicants should note that as reentry programs are implemented, grantees will be expected to document their activities, evaluate their progress, and identify best practices for disseminating to other communities. Therefore applicants must propose program designs that are data driven and outcome oriented and have measurable goals and objectives.

Decisions about awards will be based on points assigned to applications during a peer review process. The Program Narrative section of the Solicitation provides the points for each section.

Approximately \$79 million is available for the *Reentry Grant Program* (subject to Congressional appropriations) to support as many as 25 grants for up to \$3.1 million each for a 24-month period, with an additional 12-month period of award contingent on funding availability, grantee performance, and need for the program.

The deadline for applying is October 1, 2001. Applicants must meet all of the following criteria:

- Is a state, local, or tribal agency or unit of government; a public or private nonprofit entity designated by the IRS as a 501(c)(3) organization; or a local Workforce Investment Board (WIB) that has formed a partnership with state and local agencies.

Young Offender Reentry: Demonstration Grant Program

This solicitation is one of two released as part of the Young Offender Initiative. A second solicitation, *Young Offender Initiative: Demonstration Grant Program*, is available to communities seeking funding for reentry programs for offenders ages 14 to 24 who are already in the criminal justice system, are gang members, or are at risk of gang or criminal involvement. The \$11.5 million Demonstration Grant Program targets an age-related subset of the Young Offender Initiative's target population and retains the goal of providing reentering offenders with job training and employment opportunities, education, substance abuse treatment and rehabilitation, mental health care and aftercare, housing assistance, family support services, and criminal justice supervision. Potential applicants may apply to both programs but are eligible to receive only one award for programs targeting the same or similar populations. For more information about the *Young Offender Initiative: Demonstration Grant Program* or for a copy of the solicitation, see the Department of Labor's web site at wdsc.doleta.gov/sga/.

- Has demonstrated the community's broad-

based support for the project by establishing partnerships with state and local criminal justice, mental health, substance abuse, and employment-related agencies serving the communities in which the target population of offenders will reside.

- Has described in the application the nature of the partnership and role of each partner in the application and included signatures of all of the partners to indicate their commitment to participate fully in all aspects of the project.
- Can identify and reach offenders from among the target population of adults who have been confined for a minimum of 12 consecutive months and are 35 years old or younger when entering the program and youth who have been confined for at least 6 consecutive months and are at least 14 years old when they enter the program.

Challenges to Reentry

The challenges to meeting the employment, education, and mental health care needs of ex-offenders is the focus of this section and is followed by a review of reentry strategies and programs that hold some promise for success. Sources of further information, in particular about the complex correlation linking crime to poverty, substance abuse, undereducation, and joblessness, are provided in the Appendix.

During the 1990s, the rate of incarceration of offenders in state and federal prisons and local jails rose sharply throughout the country, climbing from 292 inmates for every 100,000 residents in December 1990 to 481 inmates for every 100,000 residents in June 2000. In absolute numbers these rates represent an increase from 1.1 million men and women held in 1990 to 1.9 million in June 2000. By far the most dramatic growth was in the

number of women inmates, which increased 110 percent over the 10 years to 92,688 in midyear 2000 and which now constitutes 6.7 percent of the total inmate population.

The long-term consequences of such unprecedented growth have implications for thousands of communities across the country, since most offenders complete their sentences and are released from prison, currently at the rate of 600,000 a year. Moreover, although in the last decade more public funding became available for prison construction and operation to keep pace with the growing number of inmates, fewer dollars were directed to rehabilitative services for prisoners, such as job-skills training, mental health treatment, and substance abuse counseling. As a result, inmates leaving prison will be increasingly less likely to have first addressed their work, education, housing, or health care needs.

Many offenders leaving prison will return to communities where resources may not be organized in ways best suited to successful reintegration. Studies of offenders making the transition to communities have found that the existence of multiple and organized services, combined with criminal justice supervision, can reduce the recidivism rate, which at its current level means nearly two-thirds of ex-offenders fail to successfully reenter society. According to the Bureau of Justice Statistics, 62 percent of ex-offenders are rearrested within 3 years of their release and 41 percent return to prison.

The barriers to successful reentry are multiple and include reductions in personnel to supervise parolees; less funding for transitional support programs, including education programs and job-skills training; and high rates of substance abuse and undiagnosed and untreated mental illnesses.

The Link Between Substance Abuse and Crime

The relationship between substance abuse and crime has been clearly established by studies conducted over the course of more than three decades. More recently, in 1999, the Department of Justice published a study of drug use among arrestees detained for all crimes in 35 cities and found 68 percent tested positive for one or more illegal drugs, arrestees ages 21 and older were more likely to test positive for most drugs, and arrestees ages 31 to 35 were the most likely to test positive for all drugs. Despite such evidence linking substance abuse and crime most prisons do not provide adequate treatment for inmates. According to a recent study by the Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (SAMSHA), 45 percent of state prisons and 68 percent of jails do not have treatment programs. In many cases where treatment is provided, it is minimal. And although research shows that treatment in segregated settings is most effective, fewer than 22 percent of all prisons that do have services use this approach.

The Stigma of Mental Illness and a Criminal Record

There is always a dynamic tension between the community's need for safety and the ex-offender's need to return to society. Although protecting public safety and social order are paramount, significant investment also must be made in the successful reentry of the offender. In this sense, "good reentry is good public safety."

People who suffer with mental illness are greatly stigmatized, which hinders both their treatment and social adjustment. Likewise, there is a recognized stigma for individuals who have encountered the criminal justice system through arrest, detention, and incarceration. When someone has both a criminal record and mental illness, this stigma grows exponentially and becomes a way of excluding the offender from the social group.

Without opportunities to be socially reintegrated and accepted, ex-offenders with mental illness will continue to be stigmatized, in some cases for life. In response to the feelings of shame and rejection associated with being stigmatized, the offender may become angry and defiant and end up again in the prison system. If reentry programs are to succeed they must address the stigma ex-offenders experience, especially offenders who suffer from mental illness.

Mental Illness Among Adult Offenders

Nearly 1 in 5 inmates in U.S. prisons reports having a mental illness, according to the National Institute of Justice, and an estimated 60 to 70 percent of them suffer from co-occurring mental illness and substance abuse disorders.

Untreated substance abuse and mental illness can make it almost impossible for an ex-offender to establish a full and productive life in the community. Nonetheless, as a result of the social stigma associated with mental illness, many offenders will not seek treatment; and those who do often find it is not available.

For a significant number of offenders, their conditions are so disabling they must rely on Social Security Disability and Supplemental Security benefits as their main sources of income. Many others exist with no income at all. Studies of individuals who suffer from mental illness have consistently found an 85 percent unemployment rate and, in most communities, more than 30 percent of homeless people have a mental illness.

Mental Illness Among Youth Offenders

In the Surgeon General's 2000 *National Action Agenda for Children's Mental Health*, he suggests that the country is experiencing a public crisis in

mental health for infants, children, and youth. Recent estimates place the rate of serious mental illness among youth at between 9 and 13 percent. If not identified and treated early youth with mental health problems are at greatly increased risk of ending up in the criminal justice system. Studies estimate that 80 percent of young offenders in the juvenile justice system have a diagnosable mental health disorder and many also suffer with a co-occurring substance abuse disorder.

Education and Employment Among Offenders

Ex-offenders offer a pool of potential workers for the millions of high technology, health care, and other jobs that go unfilled because businesses cannot find enough qualified workers. But because of their lack of marketable skills and education, ex-offenders remain an untapped resource and instead tend to be underemployed or jobless. Although employment data on ex-offenders are limited, a study of adult offenders entering Job Training Partnership Act (JTPA) programs in 1997 found the employment rate was high at 71 percent but more than half of these workers were earning less than \$7.50 per hour.

Underemployment or joblessness can trigger a downward spiral for the ex-offender, cycling him or her back into the prison system. In its 1999 report on drug use among arrestees, the Justice Department noted that unemployed arrestees were much more likely than employed arrestees to test positive for a range of drugs. The only exceptions were marijuana and amphetamine uses, for which

no significant difference was found between the two groups.

In addition, many offenders return to communities struggling economically. And communities with the highest poverty levels also have the highest rates of school drop out, joblessness, and crime.

Large, inner-city public schools typically have drop-out rates of 50 percent compared to rates of 10 percent or lower in middle-class suburban schools. Sixty percent of state prison inmates are high-school dropouts, posing further barriers to reentry.

Promising Practices in Reentry

Many coordinated multisystem programs have been implemented to achieve the results sought by this solicitation. Some of the more promising programs and approaches are reviewed in this section. The discussion focuses on reentry practices that combine intensive supervision with transitional community services, including drug testing, substance abuse treatment, mental health care, and job-readiness training and placement, which are far more likely to reduce recidivism and increase employment and abstinence from drugs than is intensive supervision alone.

Supervision and Substance Abuse Treatment Initiatives

Several studies point to the positive impact of programs that combine substance abuse treatment and postrelease supervision. In particular prison-based treatment and follow-up residential treatment (or residential transitional facilities in the community) that are followed by outpatient treatment, aftercare, and effective supervision can reduce recidivism substantially.

Recent studies of programs for offenders in California, Delaware, and Texas underscore the effectiveness of this approach. A study of the Therapeutic Community in California's Amity Prison found that 3 years after release from prison, 27 percent of offenders who received in-prison and after-prison treatment had recidivated, but 75 percent of offenders in the comparison group were returned to prison. Another study looked at offenders who received therapeutic community treatment in the Kyle Prison in Texas, then spent 3

months in a community-based residential aftercare program, which was followed by 12 months of outpatient counseling. The recidivism rate for offenders who completed the in-prison program and community treatment was significantly lower (20 percent) than the rate of recidivism among the untreated comparison group (42 percent).

A Delaware study of ex-offenders found that 3 years after release from prison, 31 percent of offenders who had community-based treatment and aftercare had recidivated compared with 71 percent of those in the comparison group.

Mental Health Treatment for Adults

The *Surgeon General's Report on Mental Health* (1999) discusses advances in several types of treatment interventions for adults. For example, antidepressants and antipsychotic medications can reduce psychiatric symptoms dramatically and, with proper management, the most debilitating side effects of treatment with medication can be reduced or eliminated. In addition, several types of interpersonal therapies, notably cognitive-behavioral therapy and group-treatment modalities, have proven effective and often are used in combination with medication.

Other approaches are working well in providing the social and personal supports individuals need to function productively. Supportive employment interventions and education help people with mental illness obtain and hold jobs. Housing services help them live safely in independent housing and avoid the problems often found in group living arrangements. When combined with medications and treatment, these supports increase the likelihood that an individual can remain a functioning member of the community.

Effective treatments must be tailored to individual needs. For example, offenders with histories of physical or sexual abuse will need treatment that

includes trauma intervention. Female offenders will have different treatment needs than males. The different developmental needs of youth and adults call for different kinds of services.

The emergence of a model for treating people with co-occurring mental illness and substance abuse is of special relevance to offender reentry programs. It has been well-established in the literature and in practice that integrated services offer far better outcomes than parallel or serial services delivered by separate mental health and substance abuse systems and treatment teams.

Most of the advances in mental health treatment discussed in the Surgeon General's 1999 report involve interventions that can be delivered in community settings, which is preferred.

Mental Health Treatment for Youth

Increased awareness of the extent of mental illness among children and youth and new research findings have led to the development of many promising policies and practices, such as the following:

- Development of MAYSI, a screening tool designed for identifying mental health and substance abuse disorders among youth in contact with the justice system.
- Treatment interventions and approaches, such as the Multi-Systemic Therapy and Functional Family Therapy, which support the belief that these youth can be treated and managed successfully in community-based settings.
- Development of the systems of care model, which provides a community framework for treating children and youth with serious emotional disorders. Wrap-Around Milwaukee is an example of a model that incorporates individualized, community-based treatment, family services, and

supports for youth involved with the juvenile justice system.

Less emphasis has been placed on developing reentry or aftercare initiatives for young offenders with mental health disorders. Compared with information about reentry adult offenders, little is known in general about reentry issues affecting youth and even less research and knowledge exist about effective principles and practice for young reentry offenders with mental health disorders.

When focused on young offenders in general, and not specifically on offenders with mental health disorders, experts on reentry and aftercare have found that successful reentry strategies for high-risk youth leaving secure confinement must include coordinated and comprehensive planning, information exchange, continuity and consistency in service provision and referral, and ongoing monitoring. Brokering services with community resources and links to social networks and supports are critical.

One of the few studies to examine reentry strategies for youth with mental health disorders echoes what experts and the literature suggest about effective reentry approaches for offenders in general—offenders provided with a structured postrelease treatment plan do better in the community and recidivate less than those not given a reentry plan.

Focus on Workforce Investment

The Workforce Investment Act (WIA) of 1998 establishes comprehensive reform of federal job training programs, with amendments affecting service delivery under the Wagner-Peyser Act, the Adult Education and Literacy Act, and the Rehabilitation Act. WIA, which supersedes the Job Training and Placement Act (JTPA), provides a framework for a national workforce development system to meet the needs of both businesses and job seekers who want to further their careers.

Central to implementation of WIA is America's Workforce Network (AWN), a nationwide system of workforce development organizations that provides information and services to help youth and adults manage their careers and employers find skilled workers. Services include skills training and job placement for adults, dislocated workers, and youth; employee locator and certification; income maintenance; and employer incentive programs. AWN resources are available to offenders even before they reenter the community. Partners in AWN include all levels of government, business, labor, and local communities. Linking these partners gives job seekers and employers easier access to a range of services.

One-Stop Centers

Under WIA, local areas are required to establish one-stop delivery systems to help youth and adults negotiate their way into the world of work. One-Stop Centers provide young people and adults with access to information, resources, core services, and intensive training for developing age- and situation-appropriate career strategies. Community organizations refer youth to One-Stop Centers, the Youth Opportunity Grant (YOG) Program, as well as other service providers. Youth offenders who will be assisted by reentry programs funded through this solicitation can use their local One-Stop Centers to access AWN services.

Adult Services

Adult offenders may obtain both core and intensive services, depending on their need. Core services would include assessments of individual skills, abilities, aptitudes, and need; assistance with unemployment compensation; access to Wagner-Peyser Act-funded employment services, such as the state's public labor exchange and labor market information; career counseling; job search and placement assistance; and information on training, education, and related support, for example, child care and transportation. Eligible adults (ages 18

and older) may obtain more intensive services and training, including Individual Training Accounts, through approved local providers.

Youth Services

WIA emphasizes serving young people ages 14 to 21, with a more systematic, comprehensive range of coordinated programs and strategies that are available year round. Because WIA requires local areas to spend at least 30 percent of their youth funds on out-of-school youth, court-involved and reentry youth may constitute a significant population who can benefit from WIA services. WIA also requires local areas to conduct at least a year of follow-up after a youth completes the program and secures a job or returns to school.

Through One-Stop Centers, young offenders will have access to an array of support services that includes occupational training, internships, summer employment, job placements, counseling, mentoring, tutoring, vocational and academic education, as well as leadership development. Depending on their needs, youth also may be referred to other Department of Labor-funded initiatives, such as Job Corps, YOG programs, and continuing local school-to-work partnerships.

WIA emphasizes a comprehensive and integrated approach to helping young people prepare for the workplace by requiring all of its youth programs to take a "youth-development" focus. Several model employment programs for youth offenders, including programs recognized by the Promising and Effective Practices Network (PEPNet), are supported at the local level with WIA funds and incorporate mentoring, community and service learning, leadership training, and similar strategies.

Youth Councils

WIA establishes state and local Workforce Investment Boards (WIBs) to focus on strategic planning, policy development, and oversight of the

workforce system. Youth Councils are subgroups of local WIBs and are required to develop sections of the local plan relating to youth, to recommend providers of youth services, and to coordinate local youth programs and initiatives. WIA and the Youth Councils allow local areas to see how services for in-school and out-of-school youth are blended and deployed. The Councils provide the framework that local areas can use to realign, enhance, and improve youth services to ensure they are closely coordinated, better used, and more effective.

Youth Opportunity Grants

In 2000, the Department of Labor awarded Youth Opportunity Grants (YOGs) to 36 communities. The YOG Program is part of a discretionary effort that provides comprehensive services to primarily out-of-school youth ages 14 to 21 in high poverty areas. Funds are used to address school drop-out rates, joblessness, skills and youth development, and similar other issues. An initial investment of \$250 million authorized under WIA represents the Department of Labor's efforts to improve youth programs in underserved Empowerment Zone/Enterprise Communities nationwide. Sites develop partnerships with the juvenile-court and corrections systems to identify young ex-offenders who may return to YOG communities and could benefit from the program.

Federal Bonding Program

Through its innovative Federal Bonding Program the Labor Department helps offenders overcome barriers to joining the workforce by providing insurance policies to businesses to protect them in case of loss of money or property as a result of employee dishonesty.

Current Federal Reentry Efforts

Several other national initiatives have focused on supervision of and services for both adults and youths in the community, and their designs can also

inform the design and development of reentry programs. These include the Center for Substance Abuse Treatment's Criminal and Juvenile Justice Treatment Networks, the Drug Courts Program, and Treatment Alternatives for Safer Communities (TASC), a model that combines accountability with clinical case management and has demonstrated success for 20 years.

In a joint federal effort, the Departments of Labor and Justice formed an interagency team to oversee the rapidly growing number of Youth Offender Demonstration projects. The projects include community-wide and small community capacity-building demonstrations, as well as school-to-work models.

The Department of Justice is sponsoring programs particularly relevant to this joint federal initiative, the Breaking the Cycle program for adolescents and adults and an initiative to create Reentry Partnerships and Reentry Courts in seventeen jurisdictions. The Reentry Partnerships involve representatives from institutional and community corrections agencies, community policing departments, and community-based organizations responsible for services that would impact an ex-offender's return to the community (coordinated surveillance, drug testing and treatment, job training and placement, health and mental health services, education, family services, and transitional housing). Reentry Courts use their authority to apply graduated sanctions and incentives to promote positive behavior and marshal the resources needed to support prisoners' successful reintegration. Internet addresses to information about the programs described here are listed in the Appendix.

Eligibility Requirements

Applicants must have established and described in their application a partnership that includes all of the following eight entities: the state and local corrections or juvenile justice agencies, the state

and local mental health and substance abuse agencies, and the state and local Workforce Investment Boards (WIB). This section lists who specifically from each agency must be involved. In addition applicants are encouraged to include other public sector and community- or faith-based organizations as project partners. Multiple applications from states are encouraged.

The partnership must select the lead agency to serve as the applicant and the fiscal agent or grantee. If the lead agency designates another to serve as fiscal agent, the lead will remain as grantee with ultimate responsibility for the grant.

The lead agency and/or fiscal agent must be a state, local, or tribal agency or unit of government; public or private nonprofit entity with 501(c)(3) status as designated by the IRS (e.g., community- or faith-based organization); or local WIB that has formed a partnership with state and local agencies.

Key Partners

In addition to a description of their partnership applicants must submit a signature page (found in the Appendix) with their application signed by all eight partners. The signed page should be attached as the last page to the application.

The following are required partners from the state:

- Commissioner of corrections and/or head of the juvenile justice agency
- Chair of the state WIB
- Director of state substance abuse agency
- Director of state mental health agency

The required local partners are

- Official of the chief law enforcement agency
- Chair of the WIB

- Head of the governmental substance abuse agency
- Head of the governmental mental health agency

The application should describe each partner's role and responsibilities and indicate that the partners agree *at a minimum* to do the following:

- Appoint someone with decisionmaking authority to serve on the Reentry Steering Committee (RSC) (see Multisystem Partnerships for information on the RSC).
- Participate fully in the project planning and implementation period.
- Commit the necessary resources and support to carry out the project.
- Consistent with laws and regulations governing participant protection provide client and systems information necessary to conduct program evaluations.
- Agree to share resources and information necessary for the successful reentry of ex-offenders.
- Work to continue the program after federal funding ends.

Additional Partners

Other stakeholders will play significant roles in the proposed reentry program and may include the chief elected officials in the geographic areas being served; community corrections supervisor (e.g., chief of local community corrections or the judicial agency with supervisory authority over returning young offenders) or supervisor of youth offenders; prison administrators; district attorney or prosecutor; public defender; or victims'

advocate. Applicants may demonstrate the level of the stakeholder’s commitment to the project in several ways, for example, through memoranda of understanding or letters of commitment or support.

All direct service providers, including the applicant, must be in compliance with state and local licensing, accreditation, and certification requirements. Copies of the applicant’s license, accreditation, and certification documentation must be included in the application, if applicable. Substance abuse or mental health service agencies must submit documentation that they have been providing services for at least 2 years.

Guidelines for Developing Applications

Principles of Reentry

The federal partners funding this initiative believe that reentry programs should reflect certain principles and expect applicants’ program plans to incorporate the following principles of reentry:

- The community’s interest and public safety are the primary program goals.
- Program success is measured by the successful reintegration of young offenders into their communities.
- Promoting healthy development and responsibility in young persons helps secure public safety.
- Effective cross-agency partnerships are essential for successful reentry and sharing resources and authority.
- Reentry is a community goal and reentry programs should use community strengths and resources.

- Individualized reentry plans are a prerequisite for successful programs.
- Reentry efforts begin with prerelease assessment and planning and end with employment, permanent housing, absence of rearrest over the long term, and success in addressing substance abuse issues and mental health needs. Reentry programs reflect a seamless process of reintegration from institution to community.
- A continuum of supervision and services must be provided beginning during incarceration and continuing in the community following release.
- Case management is a key ingredient that serves coordination by linking and brokering functions.

Required Elements of Reentry Programs

The goal of the *Reentry Grant Program* is to enhance community safety through the successful reintegration of young offenders ages 14 to 35 into the community by helping them become productive, responsible, and law abiding citizens; maintain long-term employment and a stable residence; and successfully address their substance abuse issues and mental health needs.

The primary operational goal of the program is to protect public safety and support the successful return of offenders to the community by making sure they have timely access to a complete continuum of supervision, programs, and services. It is expected that the grantee will provide this continuum through funds awarded under this grant program and by other community resources, including existing programs and services, and the funding of any new programs and services needed.

Twelve required elements of reentry programs must be incorporated into the design and

development of any strategies or programs supported by *Reentry Program* grants. The federal partners believe that how adult and youth ex-offenders are reintegrated into the community is primarily a state and community decision and state-level and community stakeholders must provide the final design for the approach.

Applicants will have considerable flexibility in incorporating the program elements. If state or local laws or conditions require substantial deviation from a required element, applicants may propose that deviation. However, applicants must provide adequate justification for any deviation from the required program elements and demonstrate that it is consistent with the overall purpose of this solicitation. The twelve required elements, which must be addressed in the program narrative section of the application, are as follows:

1. Planning Phase
2. Multisystem Partnerships
3. Staff for Multisystem Management and Case Management
4. Identification of Target Population
5. Assessment
6. Offender Reentry Plan
7. Team Case Management Beginning in the Institution
8. Continuum of Supervision and Services
9. Victim Involvement
10. Family Involvement
11. Integrated Information Management
12. Participation in Evaluation

1. *Planning Phase*

Because of the complexity of this project, a planning phase of approximately three to six months is required. During this phase grantees will develop

- The Reentry Steering Committee (RSC) (See Multisystem Partnerships.)
- A Program Operation Plan approved by the government project officer and state-level project stakeholders: the Workforce Investment Board (WIB) chair, the corrections commissioner or juvenile justice agency head, the substance abuse agency director, and the mental health agency director.
- All procedures, forms, and instruments for program operation with the written approval of all procedures, forms, and instruments from all necessary agencies.

2. *Multisystem Partnerships*

Reentry Steering Committee

The Reentry Steering Committee (RSC) will be composed of representatives from the partner organizations that will be instrumental to the project's implementation. The representatives must have decisionmaking authority for the organizations they represent. The RSC will advise the project on all aspects of implementation and operation. The lead agency and its staff will report regularly to the RSC. Collaboration will be key. A successful reentry program must have the complete support of all participating stakeholders from the staff level to top managers of each organization. The RSC should include appropriate representatives from the following:

- Applicant agency
- WIBs and WIA Youth Councils
- Law enforcement agencies
- Elected officials in service areas

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- Parole and probation agencies
 - Judiciary
 - Prosecutor or district attorney’s office
 - Primary incarceration centers
 - Defense bar
 - Substance abuse agency
 - Mental health agency
 - Public health agency
 - Housing agency
 - Major service providers
 - Rehabilitated ex-offender not currently under supervision
 - Victim advocacy organization
 - Community- and faith-based organizations

If the proposed RSC does not include all of the above representatives, applicant should provide a justification. RSC membership also may include representatives from state-level stakeholders and agencies, foundations, key private partners such as employers and unions, child welfare agencies and child-support enforcement agencies, and disability-serving agencies.

3. *Staff for Multisystem Management and Case Management*

Applicants should design their programs to ensure there are sufficient staff for system development and management and case management for individuals.

Multisystem Management

The design, implementation, and operation of multisystem programs require significant amounts of time. Furthermore, developing and maintaining working relationships among several agencies and systems with different priorities and cultures are difficult feats, especially if key management staff are viewed as working for one agency or system rather than the project team.

The management plan must demonstrate as much

as possible how key project managers will work for the entire initiative. They should ensure sufficient management staffing to accomplish the time-consuming and vital activities of developing and maintaining effective partnerships while attending to the daily operations of a complex, multisystem initiative.

Case Managers

When designing the Reentry Case Management Team, applicants should determine what case management services already exist and how they should be changed or augmented to meet the needs of the program. Applicants are expected to increase staffing levels to provide the intensity and quality of case management needed for young offenders in the program. Applicants should determine whether they will use an existing organizational structure to provide the case management services or develop a separate case management unit reporting to the project director.

Applicants are expected to expand capacity by employing sufficient new staff to handle system development, quality case management, and local sustainability without supplanting existing resources. Applicants are encouraged to use ex-offenders as staff and those with a history of substance abuse or mental illness. Having some staff with these backgrounds helps the therapeutic process and builds the community’s capacity to continue services after the grant ends.

4. *Identification of Target Population*

Applicants must identify and describe the target offender population whom the program will serve. Selection should be based on the needs of the community, analysis of offender risks and assets, the logic of the program design, and where resources will have the most significant impact on public safety. Selection criteria also may include gender and geographic location. Programs may be implemented statewide or at the community level.

The target population must be within the overall age range of 14 to 35 when entering the program. Targeted offenders must be returning from secure confinement to the community. For state inmates, the period of secure confinement must be at least 12 consecutive months. For young persons in the juvenile system, the period of secure confinement must be at least 6 consecutive months. Although applicants have wide latitude in selecting their target population, one of the priorities of this grant program is to provide services to young offenders who face multiple challenges to reentering their communities.

Applicants must demonstrate that the population they propose to target poses a risk to community safety and faces barriers to achieving the following:

- Becoming productive, responsible, and law-abiding citizens.
- Obtaining and retaining long-term employment.
- Maintaining stable residences.
- Successfully addressing substance abuse issues and mental health needs.

Applicants must submit a plan for how they will comprehensively serve the targeted offenders. Any offender who fits the criteria for the target population but is not admitted to the program must be referred to other services.

Applicants must submit an analysis of how many young offenders would be eligible for the program and how many would be served. Barriers to serving young offenders should be identified and appropriate solutions suggested.

The analysis must include the number of eligible persons leaving each institution every year, where

they go (by ZIP code or other similar data), and how many the applicant expects to serve. Applicants should base their analyses on historical and current quantifiable data, such as demographics, crime patterns and mapping, intake mapping, release mapping, release mechanisms, prior remedial efforts and failure rates, the number and types of offenders, and other measurable data relative to the community or population to be served. Applicants must establish measurable goals for the program, community, and offenders.

Applicants are required to establish pre- and postintervention measurements that include crime and recidivism reduction, offender training and employment, reductions in the illicit use of drugs and alcohol, and improved mental health services.

Applicants must detail the characteristics of the population to be served and demonstrate how the interventions proposed will respond to their needs. Research demonstrating that the interventions are appropriate and likely to be successful should be cited. Great importance should be placed on providing supervision and services to the target population efficiently and cost-effectively.

5. *Assessment*

An assessment of the offender's needs for housing and employment-related services, substance abuse treatment, and mental health care must be conducted well before his or her release from prison. An individualized risk assessment also must be completed to categorize an offender's likelihood of recidivism and level of risk to the community and to identify the appropriate level of community surveillance and support required.

Comprehensive assessment is needed to ensure offenders are placed at appropriate levels of supervision and receive appropriate services. Reassessments should be conducted regularly to measure progress and determine whether services are working or the offender's needs have changed.

6. *Offender Reentry Plan*

Reentry planning ideally should begin as soon after confinement as practical to ensure that offenders receive the programs and services for a smooth transition. Case managers in correctional or juvenile detention facilities must work with community-based service providers and the offender to develop a reentry plan that ensures critical support services are provided during and after confinement. In addition to ensuring that core self-sufficiency issues such as employment, housing, and health-related issues are addressed, case managers should work with offenders to discuss issues regarding family, parenting, and other fundamental life maintenance issues.

All offenders targeted to participate in the program must have an Offender Reentry Plan developed before their release date. The plan should be based on a comprehensive assessment conducted initially in the institution, developed jointly by the offender and the Reentry Case Management Team, and coordinated by the Team leader. The Team should meet with the young offender in person at least once.

After the inmate's release from confinement, the management team is responsible for regularly updating the reentry plan. The offender should be actively involved in all aspects of the plan and share accountability for its success with the Team. Team professionals are responsible for providing appropriate supervision and services in a timely fashion and the young offender is responsible for complying with all terms of the plan. The plan will remain in effect for as long as the offender participates in the program. A Reentry Plan could include the following elements:

- Substance abuse treatment
- Drug testing

- Education
- Improving job skills
- Employment or other means of support
- Restorative justice plan, for example, performing community service and responding to victims' concerns when appropriate.
- Aftercare programs, including peer support groups following initial treatment
- Avoidance of criminal behavior and behavior triggers
- Compliance with all terms of probation or parole
- Consequences of noncompliance with terms of the plan
- Involvement of family and other natural support systems, including reunification plans when appropriate

Mandatory v. Voluntary Participation

Applicants may serve all ex-offenders, regardless of whether they are under supervised release. For those under formal supervision, such as parole or probation, however, participation in the program should be a mandatory condition of release. Reentry offenders who will not be under formal supervision, should have a signed Offender Reentry Plan to participate in the program. The plan should state clearly that failure to participate in all elements of the program may result in termination from the program.

Offenders who are eligible for services through a program may vary in their legal status in ways

which will influence their participation and success. For example, offenders required to participate as a condition of their release may face legal sanctions, including reincarceration, if they break program rules or disrupt its operation. A detailed evaluation of the degree and nature of the supervision the proposed target population will be receiving and the legal sanctions which may be available to require participation should be presented as part of the applicant's proposal. In addition, applicants should describe their plans for reaching, recruiting, and retaining targeted offenders who are not under supervision.

7. *Team Case Management Beginning in the Institution*

Team management will begin when the offender's Reentry Plan is developed and continue until the offender leaves the program. Team membership may change as the focus of reentry moves from the institution to the community and as different needs are identified.

Team case management is essential for ensuring continuity in the provision of appropriate services and supervision particularly as changes in the offender's needs and behavior move him or her along the continuum of services.

One member of the team will serve as the "case lead" for each offender and will be responsible for coordinating the offender's reentry plan and ensuring the offender's compliance with case management goals and objectives. The case lead will arrange for regular meetings of the team to staff each case and emergency team meetings to respond to sudden changes in offenders' needs or their behaviors. Professionals who would make appropriate members of a case management team include

- Institutional and community case manager

- Institutional and community social worker
- Institutional and community substance abuse and mental health treatment providers
- School or other educational institution representative
- WIA service providers, One-Stop Center partner
- Institutional correctional prerelease manager and community parole or probation officer
- Judge's designee for Reentry Courts.

8. *Continuum of Supervision and Services*

When coordinated properly through case management, supervision and services will become synergistic, increasing the chances of positive outcomes for the offenders. Effective coordination means that services and supervision are available without interruption to offenders when they are needed and in the quantities and types necessary. For example, at least one year of followup is needed to ensure success and should be planned well in advance. Coordinated case management would make this possible.

The following are examples of supervision practices and services the applicant may use.

Supervision: Surveillance, Monitoring, Sanctions, Incentives

- Enhanced community supervision partnerships in which police, probation or parole officers, and other case managers working a targeted neighborhood have access to information about the offender's

reentry status, including the case management plan and related information on his or her community adjustment. Supervision is intensified or reduced based on the offender's behavior.

- Judicial or administrative authority to impose safety-specific conditions of release, such as curfews, restraining orders, "live at" orders, civil protection orders, and drug testing.
- Liaison between law enforcement and the community to report illegal behavior.
- Focus on behavior modification and economic stability rather than solely on compliance. This requires a long-range view of success and the judicious use of graduated sanctions and incentives. Appropriate low-level sanctions that can be swiftly and predictably applied should be developed along with incentives that will acknowledge successes throughout the reentry process.
- Intermediate responses to technical violations of supervision and minor offenses to help reduce the use of detention as a sanction.
- Community safety units in which police and corrections agencies collaborate to locate and apprehend persons who have absconded from probation or parole supervision.

Skills Development and Job Placement Services

- A WIA objective assessment will include a review of the academic and occupational skill levels, as well as the service needs of each youth or adult. An individual service strategy will be completed for each

offender. This assessment leads to links with education, training, and employers.

- Workforce Investment Services in the institution include service delivery or reentry orientation (e.g., job readiness assessments and other employment services).
- Assessment of offenders' skills, abilities and interests, and job readiness.
- Individualized training.
- Development of an education and employment plan.

Substance Abuse Services

- Appropriate treatment calls for regular assessments and reassessments, with changing treatment modalities and clinical interventions as needed.
- Treatment modalities should include outpatient, intensive outpatient, day treatment, and residential treatment.
- Effective treatment requires a wide range of clinical interventions within treatment modalities.
- Substance abuse education for young offenders who are not abusers of or dependent on alcohol or drugs.
- Participation in support groups, such as Alcoholics Anonymous, Narcotics Anonymous, Women for Sobriety, and Secular Organization for Sobriety.
- Because substance dependence is a relapsing disease, protocols should be developed to retain participants in the program when participants test positive

for drug or alcohol use.

- Integrated treatment with mental health for those with co-occurring disorders.

Mental Health Services for Adults

As is true for anyone with a serious mental illness for offenders the fundamentals of effective service delivery are integrated community-based services, continuity of service providers and treatment, and culturally sensitive and high-quality empowering services. Models of treatment that are most effective include the following components:

- Regular screening and assessment with appropriate referrals and followup.
- Case management through approaches such as Assertive Community Treatment and psychosocial rehabilitation services.
- Crisis intervention, often carried out by mobile crisis teams trained in mental health.
- Short-term inpatient treatment and community alternatives for crisis care.
- Appropriate medication and medication management.
- Consumer-operated and peer-support groups.
- Integrated treatment with substance abuse for those with co-occurring disorders.
- Supported employment and housing.

Because the organization of services for adults with severe mental disorders is the linchpin of effective treatment, it is having a holistic delivery system that will determine the success of the treatment.

Mental Health Services for Youth

Standard mental health treatment for youth with serious emotional disturbances would include

- Regular screening and assessment
- Appropriate medication and medication management
- "Wraparound" services
- Family support
- Respite
- Short-term residential treatment

Support Services and Resources

Reentry offenders need a broad base of support services that must include assistance with locating employment and affordable housing along with the following:

- Family preservation and reunification, services, including family and child support and restoration of custody
- Child and dependent care
- Transportation services
- Medical care and welfare
- Schools, including alternative and postsecondary

9. *Victim Involvement*

The rights and privacy of victims must be respected and programs must be sensitive to the needs of victims. Appropriate victim and community notification should occur when

offenders return to the community.

10. Family Involvement

Family relationships can determine whether an offender's reentry will succeed or fail. Programs should involve family members whenever it is practical and appropriate. One option to address victims rights is to include a restorative justice component to the program.

11. Integrated Information Management

A management information system should be developed to facilitate the identification, referral, assessment, supervision, treatment, and tracking of released offenders. This system should build upon existing systems whenever possible and be *automated when feasible*. Information collected should include institution plans and services received, tracking information, sanctions and incentives used, and progress. The management information system must be able to collect all data needed for the national evaluations and federal reporting requirements.

Applicants must describe how they will develop and implement accurate and reliable data collection systems that they will find useful in informing program decisions and improving the effectiveness of their services.

12. Participation in Evaluation

Successful applicants will be required to participate in a national evaluation. Participation will include collection of data consistent with a core minimum data set and protocol established for all sites, a cross-site evaluation of the overall accomplishments of the program, and additional evaluation focusing on selected sites. Additional evaluations involving selected sites will occur on a voluntary basis and be announced in a separate solicitation.

A minimum core data set will be developed with the input of site representatives shortly after grant awards are made. The core data set will likely contain 10 to 20 data elements that address the following key program outcomes:

- Rearrest/recidivism
- School entry and retention
- Housing stability
- Entry/retention in needed mental health and substance abuse treatment
- Alcohol and illicit drug use
- Employment and earnings
- Client demographics

In addition to being part of a national evaluation, applicants are expected to develop goals and objectives for their programs and to regularly monitor and evaluate progress achieving them. Program monitoring and evaluation provide a critical feedback mechanism for assessing the effectiveness and efficiency of the program and making corrections and improvements on an on-going basis.

What to Include in the Application

Project Narrative

Applicants should describe their proposal in detail in their project narrative. Project narratives may not exceed 50 double-spaced single-sided pages using 12- point typeface and one-inch margins. A peer review committee will evaluate applications, assigning each a point value based on how well the application addresses each of the following sections. For example, a perfect score for Section A will result in a rating of 10 points. Applicants should refer to the Required Elements of Reentry Programs and address them in their project

narratives.

**A. *Identifying Target Populations*
(Reentry Element 4) (10 points)**

Describe the target population and the risks they pose to specific communities to which they return. Since the project should be data-driven, include data to support the rationale for the selection of the target population. Document the risks to the community.

Describe the offender population selected in terms of supervision, substance abuse treatment, mental health, and employment needs.

Describe where there are gaps in needed services. For the chosen population, compare the need for supervision and services with the availability of services.

**B. *Project Design and Description*
(40 points)**

Discuss and justify the project approach for the planning phase (3 to 6 months) (Element 1).

Describe the components of the Young Offender Reentry Plan and planning process (Element 6).

Describe and justify the project approach for the operational phase.

Describe how you will conduct comprehensive needs assessments of the target population, including the need for mental health, substance abuse, risk level, and employment-related services (Element 5).

Describe how applicant will ensure continuity of services between the institution and the community (Element 7).

Describe the proposed continuum of supervision and services for the target population (Element 8).

Discuss the number of persons expected to be served during the period of the grant. State the number of persons expected to receive each of the various services proposed in the application.

Describe if and how family members will be involved in the reentry process (Element 10).

For all services to be provided, document that they are best practices based on research and the relevant field's literature on previous successful outcomes experienced by the applicant or on identifiable models or programs.

**C. *Partnerships and Project Sustainability*
(20 points)**

Describe the level of commitment and partnership the key stakeholders have in working closely together on this project and give examples of how this commitment will be made operational. Be explicit about the nature of public-private partnerships. Refer to the memoranda of understanding, letters of commitment or support, or other documentation from key partners and other stakeholders that demonstrate the development of partnerships in your project and include these with your application.

Describe how victims' rights will be addressed by the partnership (Element 9).

Although grantees will not be required to match the federal funds, the funding partners are very much interested in and committed to project sustainability. Applicants are encouraged but not required to leverage and align with other funds or resources to build permanent partnerships for the continuation of services. If leveraged funds or resources are brought to this project, discuss the nature of these leveraged resources (e.g., federal, nonfederal, cash or in-kind, state and county, foundation, capital equipment). Any voluntary cost sharing/leveraging of funds will become part of the grant, and such funds must support the

goals of the project. Please note that the total of these funds should be included in the budget worksheet and described in the budget narrative.

Describe how this program will continue after federal funding ends. Provide a plan to secure resources or obtain support to continue services after the grant project period has ended, including resources and support from private sources.

D. Management, Organizational, and Information Management Capability (20 points)

Present a realistic management plan for the project that describes the organizations that will be involved, their roles in the project, and their relevant experience. Justify why the lead agency (applicant) has that responsibility.

Describe who will be on the Reentry Steering Committee (RSC), who will chair it, and what decision-making authority the RSC members will have. Describe how RSC decisions will be accepted and implemented by the participating agencies and how the lead agency and the RSC will ensure stakeholders will meet the commitments made by them in this application and letters of support (Element 2).

Discuss how the applicant will be accountable to the RSC for project planning and implementation.

Provide a staffing plan, including the level of effort and qualifications of the project director and other key personnel. Provide an organizational chart exhibiting the staff positions related to the project and their relationships to one another. Identify and include staff positions that are provided for the project through other funding. Include specific numbers of staff by position title that will be used, identifying both existing staff and new hires.

Describe how key project managers will engage in multisystem management and case management

(Element 3).

Show evidence of the appropriateness of the proposed staff based on the language, age, gender, sexual orientation, disability, and ethnic, racial, and cultural factors of the target population. Detail a staff training plan for all persons who will be providing services.

Discuss the capability and experience of the applicant organization with similar projects and populations.

Provide a separate timeline for the project and attach this behind the project abstract. The timeline should indicate the planning and implementation of the project.

Describe the resources available (e.g., facilities, equipment) and provide evidence that services will be provided in locations and facilities that are adequate and accessible and that the environment is conducive to the target population.

E. Program Outcomes, Performance Measures, and Continuous Quality Improvement (Elements 11 and 12) (10 points)

Describe expected outcomes for the offenders as the result of being served by the project. For each outcome, provide number of persons expected to be served and discuss what performance measures and indicators will be used to determine whether these outcomes are being achieved. Define what will be considered the successful attainment of each outcome in terms of these performance measures and indicators.

Describe the expected impact of your intervention on public safety by reintegrating young offenders. Address the impact in light of the project's stated goals (see Overview). Describe how information and data will be organized, collected, and shared with the independent evaluators for the national

evaluation.

Explain in detail how project activities will be regularly compared to expected project outcomes and then modified as needed to improve the probability of achieving project outcomes.

Budget Narrative and Budget Worksheet

Funding Restrictions

Generally, all funds provided under this program may be used for the purposes of this solicitation. The funding agencies intend to be as flexible as law allows in the use of their respective funds. However, there are specific statutory limitations to the use of funds received. These include the following:

- *Department of Labor:* Grant funds under Section 171 of WIA shall be used to address employment and training needs. Projects shall include the provision of direct services to individuals to enhance employment opportunities and an evaluation component and may include other related employment and training activities set forth in Subsection (b). Specifically, grant funds may not be used for construction.
- *Department of Justice:* Grant funds shall be used for law enforcement participation and coordination of offender reentry programs. Funds may not be used for substance abuse or mental health treatment or job training.
- *Department of Health and Human Services (CSAT and CMHS):* Funds may not be used to provide substance abuse or mental health services in prisons, jails, or juvenile detention centers; or to fund involuntary civil commitment for mental health treatment or compelled

administration of medication; or for construction. This restriction does not apply to conditions of probation or parole.

Funding Criteria

Applications will be reviewed for technical merit in accordance with review procedures established for this Program. Eligible applications that meet all submission requirements will be evaluated and rated by an Interagency Peer Review Panel representing each federal funding agency using criteria included in this solicitation.

Decisions to fund a grant are based on the quality and soundness of the application, availability of funds, and evidence of nonsupplanting of funds. Funding decisions also will be made to achieve diversity in the distribution of awards by geographic areas (that is, rural, suburban, or urban), program sizes, and characteristics of the target populations, for example, gender, age, race, ethnicity, disability, and education level. A minimum of two awards may be granted to Tribal governments.

Preparing Your Budget Narrative and Budget Worksheet

The application must include a detailed budget and budget narrative for the project (see the Appendix for a sample budget). The budget must be complete, reasonable and cost-effective in relation to the proposed project and must clearly describe the proposed amount and uses of grant funds over the grant period and how the amounts of the specific budget items were determined. The budget should provide the basis for the computation of all project-related costs and cover the cost of all components of the project. There must be a clear link between the proposed activities and the proposed budget items. Applicants should carefully consider the resources needed for the project and present a realistic budget that accurately reflects project costs.

Because this is a multiagency-funded project with restrictions on allowable activities for each funding source, please refer to the section titled Funding Restrictions when preparing your budget and accounting for federal funds. The sample budget in the Appendix reflects allowable costs for each funding source.

Project Abstract

The application must include an abstract not to exceed one page summarizing the project and addressing in particular the target population; project design and description; project partnership and sustainability; the project's management, organizational, and information-management capability; project outcomes and performance measures; and continuous quality improvements that will be undertaken.

Project Timeline

Applicants must submit a separate timeline that indicates all phases of the project.

Administrative Requirements

Application for Federal Assistance Standard Form (SF) 424

The *Application for Federal Assistance* form (SF-424) is a cover sheet that must be submitted with all applications. A copy is in the Appendix. The Catalog of Federal Domestic Assistance (CFDA) number is 16.202 and the title is *Young Offender Initiative: Reentry Grant Program*. List the federal cognizant audit agency and fiscal year of the applicant organization in block 11.

Assurances

A signed *Assurances* form must be submitted with the application. A copy of the form is included in the Appendix. The *Assurances* form contains a list

of assurances that the applicant must comply with in order to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

The *Certifications* form must be signed by and submitted with the application. A copy of the form is included in the Appendix. In signing and submitting the *Certification Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements* form, the applicant agrees to comply with the following:

Lobbying: The applicant and its subgrantees, contractors, and subcontractors will not use federal funds for lobbying and will disclose any lobbying activities.

Debarment: The applicant and its principals have not been debarred or suspended from federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

Drug-Free Workplace: The applicant will or will continue to provide a drug-free workplace.

Signing and submitting the *Certifications* form commits the applicant to compliance with certification requirements under 28 CFR Part 69,

New Restrictions on Lobbying, and 28 CFR 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact on which the Justice Department will rely in making awards.

Civil Rights Compliance

Applicants must submit the name and contact information for the person responsible for ensuring compliance with all civil rights related matters. Please use the form contained in the Appendix.

All recipients of federal grant funds must comply with nondiscrimination requirements contained in federal laws. Should a court or administrative agency make a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office for Civil Rights, OJP. Applicants should consult the *Assurances* understand the applicable legal and administrative requirements.

Human Subject Research and Confidentiality Compliance

For information about research conducted with federal funds, applicants for discretionary funds should refer to 28 CFR Part 22 and Part 46 regarding confidentiality of personally identifiable information and human subject research, respectively. Applicants should review their activities in light of the terms and definitions contained in these parts.

National Environmental Policy Act Compliance

All federal grant recipients are required to assist the sponsoring federal agency with complying with the National Environmental Policy Act (NEPA) and

other related federal environmental impact analysis requirements. Applicants are required to inform OJP if the applicant must perform an environmental impact analysis under a state or local requirement for any of its proposed activities or if a federal agency is conducting an environment impact analysis. If the applicant anticipates any related new construction, renovation, or remodeling of a property that (1) is used as part of the Reentry Program for which the applicant is requesting funds, (2) is listed on or eligible for listing on the National Register of Historic Places, (3) is located within a 100-year flood plain, or (4) would undergo a change in its basic prior use or a significant change in size, then the applicant should contact the Corrections Program Office.

Letter of Nonsupplanting

Applications must include a letter from the applicant certifying that the federal funds will be used to supplement and not replace (supplant) nonfederal funds should a grant award be made. The letter should be addressed to Ms. Mary Lou Leary, Acting Assistant Attorney General, Office of Justice Programs, U.S. Department of Justice, 810 Seventh Street, NW, Washington, DC 20531.

Federal funds must be used to supplement existing funds for program activities and may not replace

(supplant) nonfederal funds that have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this Program, suspension or debarment from federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

Purchase of American-Made Equipment and Products

To the greatest extent practical, all equipment and products purchased with grant funds should be American made.

Single Point of Contact Review

Executive Order 12372 requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the state Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the state. Applicants must contact the state SPOC to determine if the program has been selected for state review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in block 16 on the *Application for Federal Assistance*, SF-424.

IRS Designation of Nonprofit Status and Other Required Documentation

Applicants must submit evidence of nonprofit 501(c)(3) designation by the IRS, license (if applicable), documentation of accreditation or certification (if applicable), and for substance abuse and mental health treatment providers proof that they have been operating for at least 2 years.

OJP Form 7120, Accounting System and Financial Capability Questionnaire

Nonprofit applicants that have not received funds previously from the Office of Justice Programs must complete OJP Form 7120, *Accounting System and Financial Capability Questionnaire*. A copy can be found in the Appendix.

Supporting Documentation

Applicants may submit supporting documentation, such as memoranda of understanding, letters of commitment, or letters of support to demonstrate the level of the stakeholders' commitment to the project.

Signature Page

The signature page found in the Solicitation's Appendix should be signed by all of the required key partners, with the lead agency first, and submitted as the last page of the application.

Where to Submit Applications

An original and three copies of your application should be submitted by regular mail or by overnight mail to the Corrections Program Office, Office of Justice Programs, 810 7th Street, NW, Washington, DC 20531-0001. Attention: *Young Offender Initiative: Reentry Grant Program*.

Applications hand-carried or sent by *Federal Express* or other private carriers must be delivered by 5:30 p.m. EST, October 1, 2001, to the Office of Justice Programs Mailroom, 810 7th Street, NW, Washington, DC 20001 202-307-5881.

NOTE: Faxed and e-mailed applications will not be accepted. Applications must be received by October 1, 2001. Late submissions will not be accepted.

Whom to Contact for Assistance

All questions including technical ones about criminal justice, substance abuse, mental health, and employment or workforce issues should be submitted by fax or e-mail to Ask Reentry at 202-307-2019 (fax) or jonesn@ojp.usdoj.gov (e-mail). Answers will be posted on the Office of Justice Programs web site: www.ojp.usdoj.gov. Applicants are encouraged to visit the web sites of all three funding agencies:

<http://www.samhsa.gov>

<http://www.doleta.gov>
<http://www.ojp.usdoj.gov>

Postaward Requirements

Reporting Requirements

Successful applicants will be required to submit the following reports in formats to be provided:

Financial Status Report: Financial Status Reports are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. Future awards and fund drawdowns will be withheld if the financial status reports are delinquent.

Single Audit Report: Recipients who expend \$300,000 or more of federal funds during their fiscal year must submit an organizationwide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report is due to the Federal Audit Clearinghouse no later than 9 months after the close of the recipient's fiscal year.

Semiannual Narrative Progress Report: The semiannual progress reports must describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. In addition, a final report summarizing progress meeting project goals and objectives, significant results, and any products developed is due 120 days after the project end date. Report formats are included in the award package. Future awards and fund drawdowns may be withheld if reports are delinquent.

Quarterly performance reports providing quantitative information about progress in meeting specified performance objectives.

Technical Assistance and Best Practices

The federal partners will select a technical assistance provider to help the funding agencies and the grantees define the core data elements. The technical assistance provider will guide grantees in collecting and analyzing the data and monitoring its quality. Under contract with the funding agencies the provider also will organize and facilitate technical assistance meetings and provide other support as needed.

Grantees will be required to attend two technical assistance meetings in the first year of the grant and two meetings in each of the remaining years. A minimum of ten persons are expected to attend, including the program director. These meetings are expected to be held in the Washington, DC, will average 2 ½ days in duration, and should be included in the application budget.

Grantees also will be expected to monitor developments in research on offender reentry models and interventions and incorporate the findings in their projects when appropriate.

Suspension or Termination of Funding

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of federal law.

- Failure to make satisfactory progress toward the goals and strategies set forth in the application.
 - Failure to adhere to the agreement's requirements, standard conditions, and special conditions of a grant award.
 - Proposing or implementing substantial plan changes that if originally submitted they would have made the application not qualified for funding.
- Filing a false certification in this application or other report or document.
 - Other good cause shown.
- Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations described in 29 CFR Part 18.

Appendix

- # List of Resources
- # Civil Rights Information
- # Signature Page
- # Budget Detail Worksheet
- # Sample Budget Detail Worksheet
- # *Application for Federal Assistance*
- # *Assurances Form*
- # *Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements*
- # *Disclosure of Lobbying Activities Form*
- # *Accounting System and Financial Capability Questionnaire* (for nonprofit organizations that have not previously received federal funds from the Office of Justice Programs).

List of Resources

U.S. Department of Justice Office of Justice Programs

For information on crime control and prevention, adult and juvenile justice systems, criminal-justice research, statistics and programs:

Reentry Programs

www.ojp.usdoj.gov/reentry

Bureau of Justice Assistance

www.ojp.usdoj.gov/bja

Bureau of Justice Statistics

www.ojp.usdoj.gov/bjs

Corrections Program Office

www.ojp.usdoj.gov/cpo

www.csom.org

National Criminal Justice

Reference Center

www.ncjrs.org

National Institute of Justice

www.ojp.usdoj.gov/nij

Office of Juvenile Justice

and Delinquency Prevention

www.ojp.usdoj.gov/ojjdp

The Urban Institute

www.urbaninstitute.org

U.S. Department of Labor Employment and Training Administration

For information on youth and adult workforce programs, apprenticeship, the Workforce Investment Act (WIA), and the One-Stop Career System:

Employment and Training Administration

www.doleta.gov

www.doleta.gov/etainfo.asp

Office of Workforce Security Research

workforcesecurity.doleta.gov

Office of Policy and Research

wdr.doleta.gov/opr/FULLTEXT/default.asp

Office of Youth Services

www.doleta.gov/youth_services

Office of Adult Services

www.doleta.gov/programs/adtrain.asp

Federal Bonding Program (Assists youth and adult offenders. Provides insurance policies to businesses for protection from loss of money or property due to employee dishonesty.)

www.wtw.doleta.gov/documents/fedbonding.asp

Employer Services

www.doleta.gov/employ.asp

Work Opportunity Tax Credit

www.workforcesecurity.doleta.gov/

employ/wotc.asp

Information on WIA implementation, One Stop Delivery System, and resources for public- and private-sector partnerships and programs.

www.usworkforce.org

America's Job Bank (On-line "job market" with more than 1.5 million job listings from all 50 state and 500,000 resumes. Access is free.)

www.ajb.org

America's Career InfoNet (Information and resources to help jobs seekers make "smart" career decisions. Access to national, state, and metro labor-market data not available elsewhere: employment trends, wages and more.)

www.acinet.org

America's Learning eXchange (Offers training and education resources for career advancement and a more productive workforce. Access to more than 300,000 courses and 6,000 training providers. Database searches are free.)

www.alx.org

America's Service Locator (Helps job seekers locate public service offices with information on finding a job, planning a career, locating training, dealing with job loss, and recruiting employees. Provides directions to the nearest location of services being sought.)

www.servicelocator.org

O*NET Interest and Work Importance Tools, a powerful, up-to-date occupational database with descriptions and skills sets for specific occupations, helps workers evaluate skills needed in their current occupations, how to transfer skills to other occupations, and what new skills will make the transition to a new occupation.

www.onetcenter.org

School to Work Program
Office of Job Corps
American Youth Policy Forum

www.stw.ed.gov
www.jobcorps.org/main.htm
www.aypf.org

National Youth Employment Coalition and Promising and Effective Practices Network

www.nyec.org

National Information Center for Children and Youth with Disabilities

www.nichey.org

Job Accommodation Network (An international toll-free consulting service providing information about job accommodations and the employability of people with disabilities.)

www.jan.wvu.edu

National Association of Workforce Boards
Corporation for National Service
Public/Private Ventures
National Association of State Workforce Agencies

www.nawb.org

www.cns.org

www.ppv.org

www.icesa.org

**U.S. Department of Health and Human Services
Substance Abuse and Mental Health Services
Administration**

For information about prevention, treatment, and rehabilitative services to reduce illness, death, disability, and cost of substance abuse and mental illness.

www.samhsa.gov

Center for Substance Abuse Treatment
Publications, e.g., Criminal and Juvenile
Justice Treatment Networks and Treatment
Alternatives for Safer Communities.

www.treatment.org/topics/justice.html

For information on screening, treatment, service integration, policy and planning:

Bazelon Center for Mental Health Law
The National Alliance for the Mentally Ill
National Association of State
Mental Health Program Directors

www.bazelon.org

www.nami.org

www.nasmhpd.org

The National GAINS Center for People with Co-Occurring Disorders in the Criminal Justice System

www.prainc.com/gains

(Detach and Submit with Application)

CIVIL RIGHTS INFORMATION

List below the name, title, address, and telephone number of the civil rights contact person who has lead responsibility for ensuring that all applicable civil rights requirements are met and who will act as liaison in civil rights matters with the Office for Civil Rights of the Office of Justice Programs, U.S. Department of Justice.

Name

Title

Address

City, State, and Zip Code

Telephone Number

Signatures of Partners

We, the undersigned, with authority to commit the support and resources of the organizations we represent, agree to participate as full partners in the *Young Offender Initiative: Reentry Grant* Project and to engage in all aspects of the design, implementation, and evaluation of the project.

Name _____ Date _____

Title and Organization (Lead) _____

Name _____ Date _____

Title and Organization _____

Name _____ Date _____

Title and Organization _____

Name _____ Date _____

Title and Organization _____

Name Date

Title and Organization

Budget Detail Worksheet

The following budget reflects a 24 month budget period.

Purpose: The Budget Detail Worksheet may be used as a guide for preparing your budget and budget narrative. You may submit the budget and budget narrative using this form or a format of your choice (e.g., plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show annual salary rate and percentage of time dedicated to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
----------------------	--------------------	-------------

TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or established formula.

Fringe benefits are for personnel listed in budget category (A) and for only the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
---------------	-------------	------

TOTAL _____
Total Personnel & Fringe Benefits _____

C. Travel - Itemize the travel expenses of project personnel according to the purpose for the travel (e.g., staff to training, field interviews, advisory group meeting). Show the basis of computation (e.g., six people to three-day training at \$ airfare, \$ lodging, \$ subsistence). For training projects, the travel and meals costs for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the travel destination, if known. Indicate whether the travel costs are based on federal regulations or the applicant's travel policies.

Travel Purpose	Location	Item	Computation	Cost
----------------	----------	------	-------------	------

TOTAL _____

D. Equipment - List nonexpendable items to be purchased. (Note: Use Applicant organization's

capitalization policy for classification of equipment.) List expendable items in the Supplies category. Analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
-------------	--------------------	-------------

TOTAL _____

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand-held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Items	Computation	Cost
--------------	--------------------	-------------

TOTAL _____

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
---------	---------------------	------

TOTAL _____

G. Consultants/Contracts - Indicate whether applicant's formal, written procurement policy or the Federal Acquisition Regulations are followed.

Consultant Fees - For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Consultant	Service Provided	Computation	Cost
------------	------------------	-------------	------

SUBTOTAL _____

Consultant Expenses - List all expenses to be paid from the grant to the individual consultant in addition to their fees (e.g., travel, meals, lodging).

Item	Location	Computation	Cost
-------------	-----------------	--------------------	-------------

SUBTOTAL _____

Contracts - Describe the product or services to be procured by contract and estimate the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
-------------	-------------

SUBTOTAL _____

TOTAL _____

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many

months to rent.

Description	Computation	Cost
--------------------	--------------------	-------------

TOTAL _____

I. Indirect Costs - Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval (fully executed, negotiated agreement) must be attached to your budget. If you do not have an approved rate, one can be requested by contacting the your organization's cognizant federal agency, which will review all documentation and approve a rate for your organization or, if the your organization's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
--------------------	--------------------	-------------

TOTAL _____

BUDGET SUMMARY

Budget Category	Training	Treatment	Mental Health	Criminal Justice	Total
A. Personnel					
B. Fringe Benefits					
C. Travel					
D. Equipment					
E. Supplies					
F. Construction					
G. Consultants/Contracts					
H. Other					
Total Direct Costs					
I. Indirect Costs					
Total Project Costs					
Federal Request					
Estimated Nonfederal Contribution					

OMB Approval No. 1121-0188
Expires 5-98 (Rev. 12/97)

Budget Detail Worksheet

The following budget reflects a 24 month budget period.

Purpose: The Budget Detail Worksheet may be used as a guide for preparing your budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each employee by name and title, if available. Show annual salary rates and percentage of time dedicated to the project. Compensation paid for project staff must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
Project Director	\$70,000 x 100%	\$70,000
	\$71,400 x 100%	\$71,400*
Case Management Team Leader	\$55,000 x 100%	\$55,000
	\$56,100 x 100%	\$56,100*
5 Case Managers	\$35,000 x 100% x 5	\$175,000
	\$35,700 x 100% x 5	\$178,500*
2 Probation Officers	\$37,000 x 75% x 2	\$74,000
	\$37,740 x 75% x 2	\$75,480*

The project director will develop, plan, and oversee all aspects of the program. The Reentry Case Management Team Leader will coordinate the development of the reentry plan. The case managers will be responsible for the providing the necessary services to the offenders in the program. The probation officers will provide supervision once the offender is released.

*A 2% cost of living adjustment is scheduled for all full-time personnel for the second year of the grant.

TOTAL \$755,480

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
Fringe Benefits	\$755,480 x 24.65%	\$186,226

Fringe benefits are calculated at 24.65% of salaries and include employer's FICA, retirement, workman's compensation, unemployment compensation and health insurance.

TOTAL \$186,226
Total Personnel & Fringe Benefits \$941,706

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
4 TA Meetings	Wash, DC	Airfare	10 people x \$500 x 4	\$20,000
		Hotel	10 people x \$119/night x 4 nights x 4	\$19,040
		Meals	10 people x \$46/day x 5 days x 4	\$ 9,200
Local Travel	Varies	Mileage	2000 miles x .3	\$ 690

Ten people will travel twice a year to technical assistance meetings in Washington, D.C. Local travel is for members of the Reentry Steering Committee. Travel estimates are based upon applicant's formal written travel policy.

TOTAL \$48,930

D. Equipment - List nonexpendable items to be purchased. (Note: Use applicant organization's capitalization policy for classification of equipment.) List expendable items in the "Supplies" category. Analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
7 - Desktop Computers w/CD ROM	\$2,500 x 7	\$17,500
Management Information System		\$10,000

The computers will be used by the project director, reentry case management team leader, and the case workers to assess, supervise and track the offenders. The Management Information System will be developed to collect the necessary data for reporting requirements and national evaluation.

TOTAL \$27,500

E. Supplies - List items by type (office supplies, postage, training materials, books, hand-held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
Office Supplies	\$150/mo. x 24 mo.	\$3,600
Postage	\$75/mo. x 24 mo.	\$1,800

Office supplies and postage are needed for the general operations of the program.

TOTAL \$5,400

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		TOTAL _____

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
John Doe, M.D. Psychologist	assessments; crisis intervention; and treatment	1,040 hours x \$55/hr.x 2 year	\$114,400

Dr. Doe will provide mental assessments of offenders; crisis intervention; and treatment, including medication, if necessary.

Subtotal \$114,400

Consultant Expenses - List all expenses to be paid from the grant to the individual consultant in addition to their fees (e.g., travel, meals, lodging).

Item	Location	Computation	Cost
			Subtotal _____

Contracts - Describe the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item		Cost
Workforce Investment Board (WIB)	Assessments	\$100,000
TBD - High School Equivalent Training	25 offenders x \$1500/class	\$37,500
TBD - Parenting Classes	20 offenders x \$500/class	\$10,000
TBD - Specialized Training	100 offenders x \$2,500	\$250,000
Employment Agency	Job Placement	\$250,000
TBD - Substance Abuse Treatment Center:		
Outpatient Services	50 offenders x \$2,500	\$125,000
Day Treatment	25 offenders x 30 days x \$75/day	\$56,250

Residential Treatment	20 offenders x 90 days x \$150/day	\$270,000
Substance Abuse Education	25 offenders x \$40/class	\$1,000

WIB will assess academic levels and job readiness of offenders. Specialized training costs will allow offenders to obtain job skills (e.g., auto mechanic, computer specialist). The employment agency will help trained offenders find employment. The Substance Abuse Treatment Center will provide assessments and reassessments of offenders, treatment, clinical interventions, AA and NA meetings; and substance abuse education for young offenders.

Subtotal \$1,099,750
TOTAL \$1,214,150

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
Rent	700 sq. ft. x \$15/sq. ft. \$875/mo. x 24 mo.	\$21,000
Telephone	\$150/mo. x 24 mo.	\$3,600
Printing/Reproduction	\$225/mo. x 24 mo.	\$5,400
Steering Committee Meetings	8 meetings x \$300/meeting	\$2,400
Housing	50 offenders x 6 mo. x \$350/mo.	\$105,000
Transportation	50 offenders x 6 mo. x \$25/mo.	\$7,500
Child Care	50 offenders x 6 mo.	

Medical Services	x \$75/mo. 50 offenders x 6 mo.	\$22,500
	x \$50/mo.	\$15,000

The rent will pay for the space for the reentry case management team leader and the case managers. The Steering Committee meeting costs are for the room rental and necessary printed materials. The housing costs are to provide offenders with a place to live while participating in the Reentry Program. The transportation costs are to assist offenders with attending daily training, substance abuse support meetings and medical appointments. The child care costs will provide the necessary day care services for offenders with children. The medical cost will cover costs incurred by the offender for routine health services. Please Note: The housing, transportation, child care and medical services costs are estimates based on the assumption that not all offenders participating in the program will need these services.

TOTAL \$182,400

I. Indirect Costs - Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. If the applicant does not have an approved rate, the applicant should request one from its cognizant federal agency, which will review all documentation and approve a rate; or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
10% of personnel and fringe benefits	\$941,706 x 10%	\$94,170

The indirect cost rate was approved by the Department of Transportation, the applicant's cognizant federal agency, on January 1, 2001. (A copy of the fully executed, negotiated agreement is attached.)

TOTAL \$94,170

BUDGET SUMMARY

Budget Category	Training	Treatment	Mental Health	Criminal Justice	Total
A. Personnel	\$464,600	\$0	\$0	\$290,880	\$755,480
B. Fringe Benefits	\$114,524	\$0	\$0	\$ 71,702	\$186,226
C. Travel	\$ 6,202	\$0	\$0	\$ 42,728	\$ 48,930
D. Equipment	\$ 6,875	\$0	\$0	\$ 20,625	\$ 27,500
E. Supplies	\$ 1,350	\$0	\$0	\$ 4,050	\$ 5,400
F. Construction	\$ 0	\$0	\$0	\$ 0	\$ 0
G. Consultants/Contracts	\$647,500	\$ 452,250	\$114,400	\$ 0	\$1,214,150
H. Other	\$ 45,600	\$0	\$0	\$136,800	\$182,400
Total Direct Costs	\$1,286,651	\$452,250	\$114,400	\$566,785	\$2,420,086
I. Indirect Costs	\$23,543	\$0	\$0	\$70,627	\$94,170
Total Project Costs	\$1,310,194	\$452,250	\$114,400	\$637,412	\$2,514,256
Federal Request	\$1,207,300	\$435,150	\$110,000	\$580,087	\$2,332,537
Estimated Nonfederal Contribution	\$102,894	\$17,100	\$4,400	\$56,325	\$181,719

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED Applicant Identifier
		3. DATE RECEIVED BY STATE State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; display: inline-block; width: 100px; height: 20px; margin-bottom: 5px;"></div> - <div style="border: 1px solid black; display: inline-block; width: 100px; height: 20px; margin-bottom: 5px;"></div>	7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>
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8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____	A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____
9. NAME OF FEDERAL AGENCY:	

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
TITLE:	

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):	
--	--

13. PROPOSED PROJECT: Start Date Ending Date	14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project
---	--

15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?																					
<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="width:15%;">a. Federal</td><td style="width:15%;">\$</td><td style="width:15%;">.00</td></tr> <tr><td>b. Applicant</td><td>\$</td><td>.00</td></tr> <tr><td>c. State</td><td>\$</td><td>.00</td></tr> <tr><td>d. Local</td><td>\$</td><td>.00</td></tr> <tr><td>e. Other</td><td>\$</td><td>.00</td></tr> <tr><td>f. Program Income</td><td>\$</td><td>.00</td></tr> <tr><td>g. TOTAL</td><td>\$</td><td>.00</td></tr> </table>	a. Federal	\$.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$.00																				
b. Applicant	\$.00																				
c. State	\$.00																				
d. Local	\$.00																				
e. Other	\$.00																				
f. Program Income	\$.00																				
g. TOTAL	\$.00																				
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																						

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	

Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies. This form contains 18 different items, which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	Type of Submission: If this proposal is not for construction or building purposes, check “Non-Construction”.
2	Date Submitted: Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any. If your jurisdiction does not assign an identifier number, leave this space blank.
3	Date Received by State: Leave blank. This block is completed by the State single point of contact, if applicable.
4	Date Received by Federal Agency: This item will be completed by OJP.
5	Applicant Information: The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact, and include their telephone number.
6	Employer Identification Number: Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	Type of Applicant: Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	Type of Application: Check either “new” or “continuation”. Check new if this will be your first award for this purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, that was begun under a prior award.
9	Name of Federal Agency: Type in the name of the awarding agency, such as “Bureau of Justice Assistance”.
10	Catalog of Federal Domestic Assistance Number: This would be contained in the program announcement. An example would be 16,____.
11	Descriptive Title of Applicants Project: Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U. S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex: 10/1/95 - 9/30/96.
12	Areas Affected by Project: Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	Proposed Project Dates: Fill in the proposed begin and end dates of the project.
14	Congressional Districts: Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
15	Estimated Funding: In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will available to the project and the source of those funds on lines “b-f,” as appropriate.
16	State Executive Order 12372: Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application.
17	Delinquent Federal Debt: This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	Authorized Representative: Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as “original” to help identify the original.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS

ACCOUNTING SYSTEM AND FINANCIAL CAPABILITY QUESTIONNAIRE

SECTION A: PURPOSE

The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria as outlined in the OJP Financial Guide.

- (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant.
- (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
- (3) The accounting system should provide accurate and current financial reporting information.
- (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

SECTION B: GENERAL

1. If your firm publishes a general information pamphlet setting forth the history, purpose and organizational structure of your business, please provide this office with a copy; otherwise, complete the following items:

a. When was the organization founded/incorporated (<i>month, day, year</i>)	b. Principle officers	Titles
c. Employer Identification Number:	_____	_____
d. Number of Employees Full Time: Part Time:	_____	_____

2. Is the firm affiliated with any other firm: Yes No
If "yes", provide details:

3. Total Sales/Revenues in most recent accounting period. (*12 months*)
\$

SECTION C: ACCOUNTING SYSTEM

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes No

a. If yes, provide name, and address of Agency performing review:	b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.
Note: If review occurred within the past three years, omit questions 2-9 of this Section and Section D.	

2. Which of the following best describes the accounting system: Manual Automated Combination

3. Does the organization use a double-entry system in accounting for funds? Yes No Not Sure

4. Does the accounting system identify the receipt and expenditures of program funds separately for each contract/grant? Yes No Not Sure

5. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget? Yes No Not Sure

6. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective? Yes No Not Sure

7. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses? Yes No Not Sure

8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

a. Total funds available for a grant?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure

9. Is the firm generally familiar with the existing regulation and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with Federal contracts/grants? Yes No Not Sure

	SECTION D: FUND CONTROL	
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- | | | | |
|--|------------------------------|-----------------------------|-----------------------------------|
| 1. If Federal grant/contract funds are commingled with organization funds, can the Federal grant funds and related costs and expenses be readily identified? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not Sure |
| 2. Are the officials of the firm bonded? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not Sure |

	SECTION E: FINANCIAL STATEMENTS	
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- | | | |
|---|-----------------------------------|--------------------------------|
| 1. Did an independent certified public accountant (CPA) ever examine the financial statements? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. If an independent CPA review was performed please provide this office with a copy of their latest report and any management letters issued. | <input type="checkbox"/> Enclosed | <input type="checkbox"/> N / A |
| 3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below: | | |
| | | |
| 4. If an independent CPA has never examined your financial statements, please develop and provide this office with a copy of the following financial statements: | | |
| <ul style="list-style-type: none"> a. A detailed "Balance Sheet" for the most current and previous year: and b. A detailed "Income Statement" for the most current and previous year. | | |

	SECTION F: ADDITIONAL INFORMATION	
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- | | |
|---|--|
| 1. Use this space for any additional information (<i>indicate section and item numbers if a continuation</i>) | |
| | |

	SECTION G: APPLICANT CERTIFICATION	
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I certify that the above information is complete and correct to the best of my knowledge.		
1. Signature	b. Firm Name, Address, and Telephone Number	
a. Title	c. Application Identifier Number	

PUBLIC REPORTING BURDEN FOR THIS COLLECTION OF INFORMATION IS ESTIMATED TO AVERAGE 4 HOURS (OR MINUTES) PER RESPONSE, INCLUDING THE TIME FOR REVIEWING INSTRUCTIONS, SEARCHING EXISTING DATA SOURCES, GATHERING AND MAINTAINING THE DATA NEEDED, AND COMPLETING AND REVIEWING THE COLLECTION OF INFORMATION. SEND COMMENTS REGARDING THIS BURDEN ESTIMATE OR ANY OTHER ASPECTS OF THIS COLLECTION OF INFORMATION, INCLUDING SUGGESTIONS FOR REDUCING THIS BURDEN, TO OFFICE OF JUSTICE PROGRAMS, OFFICE OF THE COMPTROLLER, 810 - 7TH STREET, NW, WASHINGTON, DC 20531; AND TO THE PUBLIC USE REPORTS PROJECT, 1121-7120, OFFICE OF INFORMATION AND REGULATORY AFFAIRS, OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

U.S. Department of Justice
Office of Justice Programs
Corrections Program Office

Washington, DC 20531

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