**U.S. Department of Justice**
Office of Justice Programs
*Bureau of Justice Assistance*

OMB No. 1121-0329

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA) is pleased to announce that it is seeking applications for funding under the Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders. This program furthers the Department's mission by providing resources to state, local, and tribal governments to establish or enhance the provision of treatment to adult offenders reentering the community.

# Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders FY 2011 Competitive Grant Announcement

## Eligibility

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

**Mandatory Certification Requirements**: All applicants must certify that any treatment program being proposed has been developed in coordination with the Single State Authority for Substance Abuse and the State Mental Health Authority, is clinically-appropriate, and will provide comprehensive treatment.

**Coordination Requirement:** BJA also administers the Residential Substance Abuse Treatment (RSAT) for State Prisoners Program, the Justice and Mental Health Collaboration Program, the Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects, and the Second Chance Act Family-Based Offender Substance Abuse Treatment Program. If the applicant jurisdiction is, or becomes, a recipient of funds under any of these other programs for the purposes of provision of treatment and/or reentry services for incarcerated offenders, the applicant should clearly address how these initiatives will be strategically coordinated so as to maximize efficiency, effectiveness and sustainability and avoid duplication.

## Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 12.) All applications are due by 11:59 p.m. eastern time on June 23, 2011. (See "Deadlines: Registration and Application," page 4.)

## Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800–518–4726 or via e-mail to support@grants.gov.

**Note:** The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

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

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# Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders (CFDA #16.812)

## Overview

The Second Chance Act of 2007 (Pub. L. 110-199) provides a comprehensive response to the increasing number of incarcerated adults and juveniles who are released from prison, jail, and juvenile residential facilities and returning to communities. There are currently over 2.3 million individuals serving time in our federal and state prisons, and millions of people cycling through local jails every year. Ninety-five percent of all offenders incarcerated today will eventually be released and will return to communities. The Second Chance Act helps to ensure that the transition individuals make from prison, jail, or juvenile residential facilities to the community is successful and promotes public safety.

Section 201 of the Second Chance Act authorizes federal awards to states, units of local government, and Indian tribes to improve the provision of treatment to adult offenders in prisons and jails during the period of incarceration and through the completion of parole or other court supervision after release into the community. The Bureau of Justice Statistics (BJS) reported over 50 percent of jail and prison inmates were abusing or dependent on drugs in the year before their admission to prison. BJS also has reported that 16 percent of jail and prison inmates were identified as having a mental illness. Other studies have shown that prevalence rates of co-occurring substance abuse and mental health disorders in inmate populations are striking. With regard to the prevalence of substance use disorders among those with severe mental disorders, research indicates that jail detainees have a 72 percent rate of co-occurring substance use.

Note: For those interested in submitting applications for specific juvenile-related reentry projects, visit the Office of Juvenile Justice and Delinquency Prevention web site at www.ojjdp.gov.

## Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on June 23, 2011. Please see the “How to Apply” section, page 12 for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on June 23, 2011, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see “Contact Information” on the title page for more information about BJA’s Justice Information Center).

## Eligibility

Please refer to the title page for eligibility under this program.

## Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders—Specific Information

BJA recognizes that a significant number of individuals who are incarcerated and returning to the community have chronic substance abuse and mental health disorders and are in need of treatment in order to successfully complete their supervision, reduce recidivism, and promote public safety. The coordination of drug abuse and mental health treatment with correctional planning can encourage participation in treatment and can help treatment providers incorporate correctional requirements as treatment goals.

Research from the National Institute on Drug Abuse indicates that those who complete prison-based treatment and continue with treatment in the community have the best outcomes. In addition, evidence indicates that medications are an important part of treatment for many drug abusing offenders and should be made available as part of substance abuse treatment when appropriate. Outcomes for drug abusing offenders can be improved by monitoring drug use and by encouraging continued participation in treatment. Ongoing coordination between treatment providers and community corrections is important in addressing the complex needs of these re-entering individuals.

### Goals and Objectives

The goal of Section 201 of the Second Chance Act is to provide support to eligible applicants for the development and implementation of comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism. The objectives of this program are to provide offenders with co-occurring substance abuse and mental health disorders with appropriate evidence-based services—including addressing individual criminogenic needs—based on a reentry plan that relies on a risk and needs assessment that reflects the risk of recidivism for that offender. Funds may be used for treating co-occurring substance abuse and mental health disorders in prison programs and jails, providing recovery support services, reentry planning and programming, and post-release treatment and aftercare programming in the community through the completion of parole or court supervision.

BJA also administers the Residential Substance Abuse Treatment (RSAT) for State Prisoners Program, the Justice and Mental Health Collaboration Program, the Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects, and the Second Chance Act Family-Based Offender Substance Abuse Treatment Program. If the applicant jurisdiction is, or becomes, a recipient of funds under any of these other programs for the purposes of provision of treatment and/or reentry services for incarcerated offenders, the applicant should clearly address how these initiatives will be strategically coordinated so as to maximize efficiency, effectiveness and sustainability and avoid duplication. More information on each of these programs can be found at www.bja.gov.

### Approved Uses of Award Funds

Fundamental principles of evidence-based correctional practice. The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental principles of evidence-based correctional practice that are widely accepted as

strategies to reduce future criminal behavior. Applicants are required to clearly articulate how the following six principles are integrated into their program design:

1. Objectively Assess Criminogenic Risks and Needs
2. Enhance Intrinsic Motivation
3. Target Higher-Risk Offenders
4. Address Offenders' Greatest Criminogenic Needs
5. Use Cognitive-Behavioral Interventions
6. Determine Dosage and Intensity of Services

Appendix 1 provides additional information about these six principles and what applicants should consider to ensure proposed programs are built on principles of effective practice.

Program design elements. Applicants should also address the following program design elements in the proposal:

1. **Use of Actuarial-Based Assessment Instruments for Treatment and Reentry Planning:** Applicants are strongly urged to use screening instruments and assessment processes that are reliable, validated, and normed for their specific target population in order to increase the chances that individuals will be matched with the appropriate type of treatment and reentry services.

2. **Targeting of Criminogenic Needs that Affect Recidivism:** While offenders reentering the community have a variety of treatment and behavioral needs, which are themselves risk factors for future offending, criminogenic needs are the dynamic risk factors most closely associated with offending behavior. Criminogenic risk and needs factors include history of anti-social behavior; anti-social personality pattern; anti-social cognition; anti-social associates; family and/or marital status; school and/or work; leisure and/or recreation; and substance abuse. Applicants are strongly urged to provide cognitive-based treatment interventions that target criminal thinking, especially for higher-risk offenders.

3. **Provision of Evidence-Based Substance Abuse and Mental Health Treatment Services:** Applicants are strongly urged to provide substance abuse and mental health treatment practices and services that have a demonstrated evidence base and that are appropriate for the target population.[1] Applicants should identify the evidence-based practice being proposed for implementation, identify and discuss the evidence that shows

[1] Applicants can also find information on evidence-based practices in the Substance Abuse and Mental Health Services Administration's (SAMHSA) *Guide to Evidence-Based Practices* available at www.samhsa.gov/ebpwebguide. The *Guide* provides a short description and a link to dozens of web sites with relevant evidence-based practices information – either specific interventions or comprehensive reviews of research findings. Please note that SAMHSA's *Guide to Evidence-Based Practices* also references the National Registry of Evidence-Based Programs and Practices (NREPP), a searchable database of interventions for the prevention and treatment of mental and substance use disorders. NREPP is intended to serve as a decision support tool, not as an authoritative list of effective interventions. *Being included in NREPP, or in any other resource listed in the Guide, does not mean an intervention is "recommended" or that it has been demonstrated to achieve positive results in all circumstances.* Applicants must document that the selected practice is appropriate for the specific target population and purposes of your project.

that the practice is effective; and discuss the population(s) for which this practice has been shown to be effective and show that it is appropriate for the proposed target population.

Applicants are strongly urged to provide integrated treatment of co-occurring disorders, including a consistent message to program participants about substance use and mental health treatment, and integrated clinical treatment provided by treatment specialists with knowledge of both substance use disorders and serious mental illnesses and an understanding of the complexity of interactions between disorders. Applicants are encouraged to design treatment programs that provide individualized programming that addresses participants' psychosocial problems and skills deficiencies, created through comprehensive assessment and consultation with the treatment participant and provider. **Applicants must indicate how treatment will begin prior to release and be continued after participating offenders are released into the community.**

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

Prison-based programs must provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit in a facility exclusively for use by participants—from the general correctional population. Offenders included in prison-based programs must be within 6–12 months before scheduled release to the community. Applicants must indicate how dual diagnosis treatment will be continued after participating offenders are release into the community.

4. **Pharmacological Drug Treatment Services:** Applicants are encouraged to utilize pharmacological drug treatment services as part of any drug treatment program offered to offenders in prison or jail.

5. **Transition Planning Procedures:** Developing and implementing transition planning procedures to ensure linkages to services and benefits is a critical part of the reentry process. Applicants should consider institutionalizing appropriate information sharing with relevant community corrections and behavioral health partner agencies, assessing insurance and benefit status (including Medicaid, SSI, SSDI, veterans benefits, and other government entitlement programs) and eligibility, and assisting inmates in the insurance/benefits application process.

6. **Support of a Comprehensive Range of Recovery Support Services:** Applicants are encouraged to make available a comprehensive range of programs, including services that employ the cognitive, behavioral, and social learning techniques of modeling, role playing, reinforcement, resource provision, and cognitive restructuring; educational, literacy, vocational, and job placement services, including supported employment; ongoing evidenced-based substance abuse (including alcohol abuse); and mental health disorder treatment; housing, physical health care services; veteran-specific services as applicable; programs that encourage safe, healthy, and responsible family and parent-child relationships and enhance family reunification, as appropriate; and, mentoring.

7. **Provision of Sustained Aftercare, Case Planning/Management in the Community:** Applicants are strongly urged to use consistent pre- and post-release case management

and supervision that is sustained over a period of at least 6 months from the time of release, or through the completion of parole or court supervision, whichever is shorter, and is especially responsive to the offender's transition from incarceration to the community. Aftercare services must involve coordination between the correctional treatment program, community supervision program, and other social service and rehabilitation programs, such as education and job training, parole supervision, halfway houses, self-help, and peer group programs. Post-release treatment and aftercare must be coordinated, including information sharing, and in-reach allowed for community-based treatment providers.

8. **Provision of Community Supervision Services which Follow Evidence-Based Practices:**
   Funds may be used to provide evidence-based community supervision services including the development and supervision of individualized case plans which stem from risk and needs assessments; the use of graduated responses including the employment of structured, swift, and incremental responses to violations; structuring supervision caseloads which reflect the level of risk and needs for the target population; and staff development including training in effective offender management techniques.

Applicants are encouraged to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluations. One resource that applicants may be interested in using is the e-Consortium for University Centers and Researchers for Partnership with Justice Practitioners. The purpose of this e-Consortium is to provide a resource to local, state, federal, and other groups who seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial to the criminal justice community. The e-Consortium can be found online at www.gmuconsortium.org/.

## Priority Considerations

Priority consideration will be given to applicants that consider the following in the development of their program:

- Target medium- to high-risk offenders, as identified through use of a validated risk and needs assessment instrument, who have been dually diagnosed with serious mental health disorders and substance abuse addictions.
- Target female offenders.
- Focus their program on geographic areas with high rates of offenders returning from prisons or jails.
- Jurisdictions implementing specialized probation services for the target population, as described in The Consensus Project's *Improving Responses to People with Mental Illnesses: The Essential Elements of Specialized Probation Initiatives*.
- Jurisdictions proposing to partner with a research organization to conduct a rigorous local evaluation of their strategies (including community corrections supervision approaches) will also receive priority consideration.

## Definitions

- **Recidivism:** The Second Chance Act requires that recidivism be a measure of success in funded programs. For purposes of this solicitation, recidivism is defined as "a return to

prison and/or jail with either a new conviction or as the result of a violation of the terms of supervision within 12 months of initial release."

- **Prison-Based Programs:** Prison-Based programs are in prison or "behind the walls" programs that must provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit in a facility exclusively for use by participants—from the general correctional population. Offenders included in prison-based programs must be within 6–12 months before scheduled release to the community.
- **Co-occurring Disorders (COD):** Co-occurring disorders (COD) refers to co-occurring substance-related and mental disorders. Clients said to have COD have one or more substance-related disorders as well as one or more mental disorders. At the *individual level*, COD exist "when at least one disorder of each type can be established independent of the other and is not simply a cluster of symptoms resulting from [a single] disorder."
- **Evidence-Based Programs or Practices (EBP):** OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence (generally obtained through one or more outcome evaluations). Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based.

## Amount and Length of Awards

Awards will be for a period of 24 months. Contingent upon the availability of funds and the number of adult offenders projected to be served, awards of up to $600,000 each are expected to be made.

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

## Budget Information

**Limitation on Use of Award Funds for Employee Compensation; Waiver:** With respect to any award of more than $250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General (AAG) for OJP. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application,

the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include: the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

**Match Requirement:** There is no match requirement for this solicitation**.**

## Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. **Performance measures for this program are being finalized. Below, BJA has listed the program objectives and sample performance measures. BJA will determine whether additional or different measures will be required prior to awarding grants.**

| Program Goal | Performance Measures | Data Grantee Provides |
|---|---|---|
| Increase public safety and reduce recidivism through activities targeted to address criminal behavior impacted by co-occurring substance abuse and mental health disorders. | Percent decrease in recidivism rates. | • Number of participants added to the program during the current reporting period.<br>• Number of participants in the program at the beginning of the reporting period.<br>• Number of participants in the program at the end of the reporting period<br>• Number of participants released from jail or prison during the current reporting period.<br>• Number of participants released from jail or prison since the beginning of the program (auto-calculated by PMT).<br>• Number of participants sentenced to prison with a new conviction this reporting period.<br>• Number of participants sentenced to prison with a new conviction since the beginning of the program (auto-calculated by PMT). |
| | Percent reduction in the crime rate. | • Number of crimes reported during this quarter.<br>• Population for the area that the TP is returning to (i.e., statewide, county, city, neighborhood).*<br>*Requested to produce a crime rate. |
| | Percent increase in program participants who are employed. | • Number of participants who found employment during this reporting period.<br>• Number of participants employed at the beginning of the reporting period..<br>• Number of participants employed at the end of the reporting period..<br>• Number of participants provided with employment services |
| | Percent increase in number of participants enrolled in educational programs. | • Number of participants who enrolled in an educational program during this reporting period.<br>• Number of participants enrolled in an |

| | | |
|---|---|---|
| | | educational program at the beginning of the reporting period.<br>• Number of participants enrolled in an educational program at the end of the reporting period. |
| | Percent reduction in the number of participants who violated conditions of supervised release. | • Number of participants who violated the conditions of their supervised release during this reporting period.<br>• Number of participants who have violated the conditions of their supervised release since the beginning of this program (auto-calculated by PMT). |
| | Percent increase in the number of participants who fulfilled their child support obligations. | • Number of participants who were required to pay child support this reporting period.<br>• Number of participants who paid their child support this reporting period. |
| | Percent increase in the number of participants who obtained housing. | • Number of participants who obtained housing this reporting period.<br>• Number of participants who have found housing since the beginning of this program (auto-calculated by PMT).<br>• Number of participants who were provided with housing services during this reporting period. |
| | Percent increase in the number of participants assessed as needing substance abuse health services who participated in those services. | • Number of participants who were assessed as needing substance abuse services during this reporting period.<br>• Number of participants who have been assessed as needing substance abuse services since the beginning of this program (auto-calculated by PMT).<br>• Number of participants who enrolled in a substance abuse program during this reporting period.<br>• Number of participants enrolled in a substance abuse program since the beginning of this program (auto-calculated by PMT). |
| | Percent increase in the number of participants assessed as needing mental health services who participated in those services. | • Number of participants who were assessed as needing mental health services during this reporting period.<br>• Number of participants who have been assessed as needing mental health services since the beginning of this program (auto-calculated by PMT).<br>• Number of participants who enrolled in a mental health program during this reporting period.<br>• Number of participants enrolled in a mental health program since the beginning of this program (auto-calculated by PMT). |
| | Percent of participants who completed the residential program and have passed drug testing. | • Total number of offenders that tested positive for drug use during this reporting period.)<br>Total number of offenders that were drug tested during this reporting period.) |
| | Percent reduction in alcohol abuse and consumption. | • Total number of offenders who tested positive for alcohol during the reporting period.<br>• Total number of offenders who were tested for alcohol during this reporting period. |

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section "What an Application Should Include" (below) for additional information.

**Note on Project Evaluations:** Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute "research" for purposes of applicable DOJ human subjects protection. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements likely do not constitute "research." Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge" (28 C.F.R. § 46.102(d)). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the "Research and the Protection of Human Subjects" section of the OJP Other Requirements for OJP Applications" web page (www.ojp.usdoj.gov/funding/other_requirements.htm). Applicants whose proposals may involve a research or statistical component also should review the "Confidentiality" section on that web page.

## Notice of New Post-Award Reporting Requirements

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

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

## How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a "one-stop storefront" that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800–518–4726**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time

process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for Grants.gov registration**.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866–705–5711 or by applying online at www.dnb.com. A DUNS number is usually received within 1-2 business days.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password**. Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.

5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.812, titled "Second Chance Act Prisoner Reentry Initiative," and the funding opportunity number is BJA-2011-3035.

6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will

state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments**. The disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

### Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJA staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page, www.ojp.usdoj.gov/funding/solicitations.htm.

## What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative and a budget detail worksheet including a budget narrative, will neither proceed to peer review nor receive further consideration.

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

1. **Information to complete the Application for Federal Assistance (SF-424)**
   The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting the "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable).

2. **Abstract**
   The abstract should be single-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and should not exceed one page. The abstract should include the following clearly-labeled information:
   - Name of Applicant, Title of Project, and Amount of Funding Requested.
   - Whether the agency/correctional facility is a state, local, or tribal entity.
   - Brief description of the target population.
   - Projected number of adult offenders to be served and the jurisdiction's population.
   - A brief description of the program design.
   - Whether the application addresses any of the Priority Considerations described on pages 8-9.

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

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

   The following sections should be included as part of the program narrative:
   a. Statement of the Problem
   b. Program Design and Implementation
   c. Capabilities, Competencies, and Coordination
   d. Impact/Outcomes, Evaluations, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures
      Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJA as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.
   e. Plan for Measuring Program Success to Inform Plan for Sustainment

   Further information is available under the Selection Criteria section, located on 18.

4. **Budget Detail Worksheet and Budget Narrative**

   a. **Budget Detail Worksheet**
      A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different

format, the budget categories listed in the sample budget worksheet should be included. For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

Applicants must provide a proposed budget that is complete, allowable, and tied to the proposed activities.

Additional budget requirements:

- Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings, for three days each, in Washington D.C.
- Applicants may propose to use funding to conduct a local evaluation of the strategies being implemented.

**b. Budget Narrative**

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

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm.

**6. Tribal Authorizing Resolution (if applicable)**

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

**7. Additional Attachments: Project Timeline, Position Descriptions, Letters of Support/ Memoranda of Understanding, and Other Supporting Materials**

a. **Project Timeline** with each project goal, related objective, activity, expected completion date, responsible person, or organization.

b. **Position Descriptions** for key positions.
c. **Letters of Support/Memoranda of Understanding** from all key partners, detailing the commitment to work with the applicant to promote the mission of the project.
d. **Letter of Commitment from State Authorities:** Applicants must include Letters of Commitment which certifies that any treatment program proposed in the application has been developed in coordination with the Single State Authority for Substance Abuse and the State Mental Health Authority.
e. **Service Provider Commitment/Licensing/Accreditation/Certification Documentation** (See also Appendix 2)
   - Applicants must include a Letter of Commitment that specifies the nature of the participation and what service(s) will be provided from every service provider organization that has agreed to participate in the project;
   - Applicants must provide official documentation that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local (city, county), and tribal requirements, as appropriate. (Official documentation is a copy of each service provider organization's license, accreditation, and certification. Documentation of accreditation will not be accepted in lieu of an organization's license. A statement by, or letter from, the applicant organization or from a provider organization attesting to compliance with licensing, accreditation, and certification or that no licensing, accreditation, and certification requirements exist does not constitute adequate documentation.) If there are no applicable licensing, accreditation, and/or certification requirements, the applicant should include official documentation from the appropriate agency of the applicable state/tribal, county, or other governmental unit that licensing, accreditation, and/or certification requirements do not exist. Official documentation may be in the form of a letter from the agency within the jurisdiction which monitors substance abuse/mental health service providers confirming that no certification requirements exist.

**8. Other Standard Forms**

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.usdoj.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms:

a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds).

b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded).

c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded).

d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds).

## Selection Criteria

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, "Statement of the Problem," is worth 15 percent of the entire score in the application review process.

**1. Statement of the Problem (15 percent out of 100)**

- Describe the problems with meeting the needs of returning adult offenders with co-occurring substance abuse and mental health disorders to the community.
- Indicate the jurisdiction or tribal community to be served including information about the correctional facilities where programming is proposed to occur.
- Provide information on the target population, the number of offenders with co-occurring substance abuse and mental health disorders within the correctional/detention facility(ies) who are returning to the community, and any recidivism and substance abuse data available for the target population.
- Summarize the basic components of the current process for identifying offender risk/needs, availability of substance abuse and mental health treatment services, reentry planning for these offenders, linkages to community-based treatment providers, and case management.

**2. Program Design and Implementation (35 percent out of 100)**

Describe the proposed program and the project's purpose, goals, and objectives. Applicants should address: 1) the Approved Use of Award Funds, sections on fundamental principles of evidence-based correctional practice, and program design elements (pages 5-8, Appendix 1); and 2) Priority Considerations (pages 8-9).

- Provide an analysis of the target population, including the projected number of individuals to be served and operational guidelines for identifying eligible program participants which should include a plan to screen potential participants, conduct needs and strengths-based assessments, and the process for how individuals will be referred to the program.
- Describe the process for how individuals will be linked to treatment and other recovery support services. Applicants should identify the evidence-based treatment and support practices being used or proposed and identify and discuss the evidence that shows that the practice(s) is/are effective. Describe any modifications/adaptations you will need to make to this practice to meet the goals of your project and why the changes will improve the outcomes.[2]
- Describe the mechanisms that will be put in place to ensure the accountability of the service delivery system on an ongoing basis.

**3. Capabilities, Competencies, and Coordination (25 percent out of 100)**

- Describe the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.

[2] BJA recognizes that some evidence-based practices may not exist for all populations and/or service settings. Applicants proposing to serve a population with an intervention that has not been formally evaluated with that population are required to provide other forms of evidence that the practice(s) they propose is appropriate for the target population such as unpublished studies, preliminary evaluation results, clinical guidelines, findings from focus groups with community members, etc.

- Identify the organization(s) proposed to provide substance abuse and other treatment services both within the correction facility and upon offender reentry to the community.
- Demonstrate the capability of the implementing agency and collaborative partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program.
- Demonstrate partnerships with community-based substance abuse and mental health treatment programs to ensure coordinated reentry efforts and ongoing treatment and/or aftercare programming.
- Indicate whether the applicant jurisdiction is a current recipient of funds from other BJA-administered programs including: the Residential Substance Abuse Treatment (RSAT) for State Prisoners Program, the Justice and Mental Health Collaboration Program, the Second Chance Act Adult Offender Reentry Program for Planning and Demonstration Projects, and the Second Chance Act Family-Based Offender Substance Abuse Treatment Program. Clearly address how these initiatives will be coordinated if the applicant jurisdiction is, or becomes, a recipient of funds under any of these other programs for the purposes of provision of treatment and/or reentry services for incarcerated offenders, the applicant.

**4. Impact/Outcomes, Evaluation, and Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures (15 percent out of 100)**

- Describe the current ability to collect and analyze client-level performance and outcome data.
- Outline how and what data and information will be collected and analyzed to determine the effectiveness of the treatment programs implemented or enhanced and describe how randomized trials will be used where practicable.
- Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.
- Discuss how variables like stakeholder support and service coordination will be defined and measured.
- Describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources to sustain the project when the federal grant ends.
- Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery.

**5. Budget (10 percent of 100)**

Provide a proposed budget for the entire project period that is complete, allowable, and tied to the proposed activities. See the additional budget and budget narrative requirements on page 15.

## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. BJA reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current DOJ

employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

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

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General (AAG), who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## Additional Requirements

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

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

- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of $5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

# Application Checklist

## FY 2011 Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders

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

**Eligibility Requirements:**

_____ Applicant agency meets eligibility requirements (see title page)
_____ The proposed budget is within the allowable limits (up to $600,000, for a period of 24 months)
_____ Federally-recognized Indian tribe (if applicable)

**What an Application Should Include:**

_____ SF 424 Form (see page 15)
_____ Abstract (see page 15)
_____ Program Narrative* (see page 15)
____ Budget Detail Worksheet* (see page 15)
_____ Budget Narrative* (see page 15)
_____ Indirect Cost Rate Agreement (if applicable) (see page 16)
_____ Tribal Authorizing Resolution (if applicable) (see page 16)
_____ Additional Attachments (see page 16)
- _____ Project Timeline
- _____ Position Descriptions
- _____ Letters of Support/Memoranda of Understanding
- _____ Service Provider Commitment/Licensing/Accreditation/Certification Documentation

_____ Other Standard Forms as applicable (see page 17), including:
- _____ Disclosure of Lobbying Activities (if applicable)
- _____ Accounting System and Financial Capability Questionnaire (if applicable)

*****These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.

# Appendix 1

## Fundamental Principles of Evidence-Based Correctional Practice

The primary objective of the Second Chance Act is to reduce recidivism. Based upon reliable research findings, there are six fundamental principles of evidence-based correctional practice that are widely accepted as strategies to reduce future criminal behavior.

1) **Objectively Assess Criminogenic Risks and Needs**: Maintain a comprehensive system to establish risk screening and needs assessment. The actuarial assessment of offenders—in a reliable and valid manner—is essential for the effective supervision and treatment of people returning from prisons, jails, and juvenile facilities (Andrews and Bonta, 1998). The levels of supervision and services for individual offenders must be matched to individual risk and need.

2) **Enhance Intrinsic Motivation**: Staff must be able to relate to offenders in interpersonally sensitive and constructive ways in order to enhance intrinsic motivation in offenders. Research findings suggest that motivational interviewing or other cognitive-behavioral communication techniques can effectively enhance the offender's desire to initiate and maintain behavior changes (Miller and Rollnick, 2002; Miller and Mount, 2001).

3) **Target Higher-Risk Offenders**: Prioritize primary supervision and treatment resources for offenders who are at higher risk to re-offend. Consistent findings from a wide variety of recidivism studies show that supervision and treatment resources focused on lower-risk offenders produce little if any positive effect on the rates of subsequent criminal behavior (McGuire, 2001, 2002) and can at times increase the risk level of low-risk offenders. Maximum benefit is gained only when intervention resources are directed to moderate- and high-risk offenders.

4) **Address Offenders' Greatest Criminogenic Needs**. The greatest emphasis must be placed on addressing those needs which are most closely associated with criminal behavior. When the factors that lead the offender to commit crimes are effectively addressed, that person is less likely to commit crime (Elliot, 2001).

5) **Use Cognitive-Behavioral Interventions**: These strategies are focused on changing the offender's thinking patterns in order to change future behavior. The most effective interventions provide opportunities for participants to practice new behavior patterns and skills with feedback from program staff.

6) **Determine Dosage and Intensity of Services**: Higher-risk offenders require significantly more structure and services than lower-risk offenders. High-risk offenders should receive a minimum of 300 hours of cognitive-based interventions, moderate-risk offenders should receive a minimum of 200 hours, and low-risk offenders should receive a minimum of 100 hours of cognitive-based interventions. Additionally, during the initial 3–9 months post-release, 40–70 percent of high-risk offenders' free time needs to be occupied with delineated routine and appropriate services (Bourgon and Armstrong, 2006; Latessa, 2004; Gendreau and Goggin, 1995).

## Important Things to Understand From the Research:

- Correctional staff needs to work with offenders to ensure they have the tools needed for success in the community.

- Correctional and community staff must understand the importance of working with ***moderate- and high-risk*** offenders rather than low-risk offenders in order to demonstrate that their program can decrease recidivism.

- The most effective organizational-change strategies involve supervision and coaching of staff to reinforce the expected way of doing business—training alone is not sufficient.

## Questions to Ask As You Launch Your Program:

- Who are you targeting for your program?

- Do the risk and needs of your target population match the services and supports you've funded through your Second Chance grant?

- When and how are the risks and needs of your target population assessed?

- Following the risk/need assessment, are the services, supervision, and interventions recommendations developed with the offender?

- Are these interventions based upon a systematic assessment of individual levels of risk and criminogenic needs?

- How are services coordinated for your target population as they move from the institutional phase, to the reentry phase, to the community phase?

- How is programming that is begun in prison linked to the programming that the offender receives in the community?

- How are supervision and treatment resources prioritized for moderate and high risk offenders?

- Are your interventions cognitive-behavioral based?

- What data is collected on individuals?

- Do you collect case-level data on which of your program participants have (1) housing, (2) employment, (3) substance abuse treatment (if necessary), (4) mental health treatment (if necessary), and (5) social support?

## References:

Andrews, D.A., and J. Bonta (1998). *The Psychology of Criminal Conduct.* Cincinnati: Anderson Publishing Co.

Bourgon, G., and B. Armstrong (2006). Transferring the Principles of Effective Treatment into a "Real World" Setting. *Criminal Justice, 32*(1), 3-25.

Elliott, D. (2001). Youth violence: A report of the Surgeon General.

Gendreau, P. and C. Goggin (1995). Principles of effective correctional programming with offenders. Center for Criminal Justice Studies and Department of Psychology, University of New Brunswick, New Brunswick.

Latessa, E.J. (2004). The challenge of change: Correctional programs and evidence based practices. *Criminology & Public Policy*, 3(4), 547-560.

McGuire, J. (2002). Evidence-based programming today. Paper presented International Community Corrections Association Conference, Boston, MA, November 2002.

McGuire, J. (2001). What works in correctional intervention? Evidence and practical implications. Pp. 25-43 in *Offender rehabilitation in practice: Implementing and evaluating effective programs.,* edited by D.F. Gary Bernfeld, Alan Leschied. New York, NY: John Wiley & Sons, LTD.

Miller, W. and S. Rollnick (2002). *Motivational Interviewing: Preparing people for change.* New York, NY: Guilford Press.

Miller, W. and K.A. Mount (2001). "A small study of training in Motivational Interviewing: Does one workshop change clinician and client behavior?" Albuquerque, NM.

# Appendix 2
## Statement of Assurance
## Service Provider Licensing/Accreditation/Certification Documentation

***(Submit with the Application as an Attachment)***

As the authorized representative of [*insert name of applicant organization*] _____, I assure BJA that all collaborating service provider organizations listed in this application meet applicable licensing, accreditation, and certification requirements.

- A letter of commitment that specifies the nature of the participation and what service(s) will be provided from every service provider organization listed in the application that has agreed to participate in the project.

- Official documentation that all service provider organizations collaborating in the project have been providing relevant services for a minimum of 2 years prior to the date of the application in the area(s) in which services are to be provided. Official documents must definitively establish that the organization has provided relevant services for the last 2 years.

- Official documentation that all collaborating service provider organizations are in compliance with all local (city, county) and state/tribal requirements for licensing, accreditation, and certification or official documentation from the appropriate agency of the applicable state/tribal, county, or other governmental unit that licensing, accreditation, and certification requirements do not exist.

  **Note**: Official documentation is a copy of each service provider organization's license, accreditation, and certification.

- Documentation of accreditation will not be accepted in lieu of an organization's license. A statement by, or letter from, the applicant organization or from a provider organization attesting to compliance with licensing, accreditation and certification or that no licensing, accreditation, certification requirements exist, does not constitute adequate documentation.

_____ _____

Signature of Authorized Representative Date