FY 2011 Second Chance Act Programs:

- Second Chance Act Reentry Program for Adult Offenders with Co-Occurring Substance Abuse and Mental Health Disorders (Section 201)

- Second Chance Act Family-Based Offender Substance Abuse Treatment Program (Section 113)
Speakers

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Presentation Outline

• Overview of the Second Chance Act

• Section 201: Adults with Co-occurring Substance Abuse and Mental Health Disorders

• Section 201: Questions and Answer Session

• Section 113: Family-Based Substance Use Disorder Treatment Program

• Section 113: Questions and Answer Session
The Second Chance Act

• Public Law 110-199 signed into law on April 8, 2008

• Authorizes $165 million for prisoner reentry programs in fiscal years 2009 and 2010

• Purpose: to help states and communities reduce recidivism
Second Chance Act – Funding Status

• In fiscal year (FY) 2009, $25 million was appropriated for Second Chance Act grant programs.

• In FY 2010, $100 million was appropriated for Second Chance Act grant programs, including the Family-Based and Co-Occurring Programs.

• In FY 2011, $83 million was appropriated for Second Chance Act grant programs.

• For additional current solicitation information visit: http://nationalreentryresourcecenter.org/about/second-chance-act or http://www.ojp.usdoj.gov/BJA/grant/SecondChance.html
Second Chance Act

Section 201: Targeting Treatment to Incarcerated and Reentering Adults with Co-occurring Substance Abuse and Mental Health Disorders
Section 201: Targeting Adults with Co-occurring Substance Abuse and Mental Health Disorders

- The solicitation was released on May 12, 2011.

- **Applications are due by 11:59 pm EDT on June 23, 2011.** Staff assistance through the BJA Justice Information Center will only be available until 8:00 pm eastern time.

- Solicitation is available at

Section 201: Targeting Individuals with Co-occurring Substance Use and Mental Health Disorders

- Section 201 of the Second Chance Act authorizes awards to States, units of local government, and Indian tribes to improve the provision of substance use and mental health disorder treatment to individuals:
  - In prisons and jails during the period of incarceration and
  - Through the completion of parole or other court supervision after release into the community.
  - BJA is seeking applications from eligible applicants to implement or expand offender treatment programs for re-entering offenders with co-occurring substance abuse and mental health disorders.

- Eligibility - Who Can Apply?
  - Eligible applicants are limited to states, units of local government, and federally-recognized Indian tribes (as determined by the Secretary of the Interior).
  - Entities that do not meet this eligibility requirement (i.e. non-profit organizations, etc.) are not eligible to apply for this solicitation. However, eligible applicants must demonstrate partnerships with community-based substance abuse and mental health treatment programs to ensure coordinated reentry efforts and ongoing treatment and/or aftercare programming.
Section 201: Approved Uses

• Treatment of co-occurring substance use and mental health disorders in prisons and jails
  o The term 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.
  o 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.

• 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
Section 201: Approved Uses

Applicants must demonstrate how the following six fundamental principles of evidence-based correctional practice are integrated into their program design:

- Objectively assess criminogenic risks and needs
- Enhance intrinsic motivation
- Target higher-risk offenders
- Address offenders’ greatest criminogenic needs
- Use cognitive-behavioral interventions
- Determine dosage and intensity of services
Section 201: Program Design Elements

Applicants should address the following design elements in the proposal:

• Use of actuarial-based assessment instruments for treatment and reentry planning
  o Use screening and assessment instruments to match individuals with the appropriate level and type of treatment and reentry services

• Target criminogenic needs that affect recidivism
  o Criminogenic needs include a 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

• Provision of evidence-based substance abuse and mental health treatment
  o Provide substance abuse and mental health treatment practices and services that have a demonstrated evidence base and are appropriate for the target population, as determined by the risk/needs assessment.
  o Provide integrated clinical treatment for co-occurring disorders provided by treatment specialists with knowledge of the interactions between substance abuse and mental health disorders.
  o Indicate how treatment will begin prior to release and be continued into the community after release.
  o Require urinalysis and/or other reliable forms of drug and alcohol testing for program participants
  o Prison-based programs must provide residential treatment facilities set apart from the general correctional population. Offenders included in prison-based programs must be within 6-12 months of scheduled release.
Section 201: Program Design Elements cont’d

• Pharmacological drug treatment services

• Transition planning procedures
  o Develop reentry procedures to ensure linkages to services, and ensure appropriate information sharing with community agencies and partners. Assess insurance and benefit status and assist inmates with the application process.

• Support of a comprehensive range of recovery support services
  o These may include, but are not limited to, ongoing mental health and substance abuse disorder treatment, housing, physical health care services, cognitive restructuring, job placement services, and family reunification, among many others.

• Provision of sustained aftercare, case planning/management in the community
  o Use consistent pre- and post-release case management and supervision, sustained at least 6 months post-release. Post-release treatment and aftercare must be coordinated, including coordination with community partners to allow in-reach for community-based treatment providers.

• Provision of community supervision services which follow evidence-based practices
  o This may include, but is not limited to, individualized case planning based off of risk and needs assessment, graduated responses to violations, incentives and staff training in effective offender management techniques.
Section 201: Priority Considerations

Applicants will be given priority consideration for including the following elements in their programs:

- Identify and target medium- to high-risk offenders with serious mental health disorders and substance abuse addictions through validated risk and needs assessment instruments
- Target female offenders
- Focus on geographic areas with high rates of returning offenders
- Jurisdictions implementing specialized probation services, as described in the Consensus Project’s Improving Responses to People with Mental Illnesses: The Essential Elements of Specialized Probation Initiatives.
- Partnering with a research organization to conduct rigorous local evaluation of their strategies
Section 201: Mandatory Treatment Requirements

• Applicants must certify that the treatment program proposed:
  • Is clinically-appropriate, will provide comprehensive treatment, and
  • Has been developed in coordination with the Single State Authority for Substance Abuse and the State Mental Health Authority.

• Applicants should provide official documentation that collaborating service provider organizations are in compliance with requirements for licensing, accreditation and certification as appropriate.

• If an application is being submitted by a tribe then a current authorizing resolution of the governing body of the tribal entity or council must be included.
Section 201: Selection Criteria

- Statement of the Problem: 15%
- Program Design and Implementation: 35%
- Capabilities, Competencies and Coordination: 25%
- Impact/Outcomes, Evaluation, and Sustainment, and Plan for Collecting the Data Required for this Solicitation’s Performance Measures: 15%
- Budget: 10%
Section 201: Statement of the Problem

• Describe the problems with meeting the needs of adults with co-occurring substance abuse and mental health disorders who are returning to the community.

• Indicate the jurisdiction or tribal community being served, including information about the correctional facilities where proposed programming will occur.

• Provide information on the target population:
  o The number of individuals with co-occurring disorders within the correctional/detention facilities who are returning to community; and
  o Any recidivism and substance use data available for target population

• Summarize the basic components of the current process for identifying risk/needs, availability of substance use disorder and mental health treatment services, reentry planning, linkages to community-based treatment providers, and case management.
Section 201: Program Design and Implementation

• Describe proposed activities that address the program goals
  o Address the Approved Use of Award Funds, sections on fundamental principles of evidence-based correctional practice, and program design elements
  o Address the Priority Considerations

• Provide an analysis of the target population
  o Number of individuals to be served
  o Guidelines for identifying program participants through screening and needs assessments
  o Process by which individuals will be referred to program

• Describe how individuals will be linked to treatment and other recovery support services
  o Identify evidence-based practices and any modifications you will need to make to these practices and why the changes will improve outcomes

• Describe mechanisms that will be put into place to ensure the accountability of the service delivery system on an on-going basis
Section 201: Capabilities, Competencies and Coordination

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

• Identify the organization(s) proposed to provide substance use disorder and other treatment services both within the correction facility and upon return 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 use disorder 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.
Section 201: Impact/Outcomes and Evaluation

• 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 services 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.
Section 201: Budget

- **There is no match requirement under this solicitation.**

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

- 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.)

- Applicants must budget funding to travel to Department of Justice-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings in Washington D.C.

- Applicants may propose to use funding to conduct a local evaluation of the strategies being implemented.
Section 201: Performance Measures

- Percent decrease in recidivism rates: 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.”

- Percent reduction in the crime rate

- Percent increase in program participants who are employed

- Percent increase in number of participants enrolled in educational programs

- Percent reduction in the number of violations of conditions of supervised release
Section 201: Performance Measures cont’d

• Percent increase in fulfillment of child support among target population

• Increase in the number of target population who have obtained housing

• Percent increase in the number of participants assessed as needing substance abuse health services who participated in those services.

• Percent increase in the number of participants assessed as needing mental health services who participated in those services.

• Percent of participants who completed the residential program and have passed drug testing.

• Percent reduction in alcohol abuse and consumption.
Contact Information

**Technical Assistance with Submitting the Application**
For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 1-800-518-4726 or via e-mail to support@grants.gov.

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

**Assistance with Solicitation Requirements**
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.
Section 201: Targeting Adults with Co-occurring Substance Abuse and Mental Health Disorders

Question and Answer Session
Section Chance Act

Section 113: Family-Based Offender Substance Abuse Treatment Program
Section 113: Family-Based Offender Substance Abuse Treatment Program

- The solicitation was released on May 12, 2011.

- **Applications are due by 11:59 pm EDT on June 23, 2011.** Staff assistance through the BJA Justice Information Center will only be available until 8:00 pm eastern time.

- Solicitation is available at

Section 113: Family-Based Offender Substance Abuse Treatment Program

• Section 113 of the Second Chance Act authorizes awards to states, units of local government, and federally recognized Indian tribes to:
  o Improve the provision of substance use disorder treatment within prison and jails and after reentry for parents who have minor children and
  o Provide outreach, treatment and other services to children and families of incarcerated parents.

• Eligibility - Who Can Apply?
  o Eligible applicants are limited to states, units of local government, and federally-recognized Indian tribes (as determined by the Secretary of the Interior).
  o Entities that do not meet this eligibility requirement (i.e. non-profit organizations, etc.) are not eligible to apply for this solicitation. However, eligible applicants are expected to form stakeholder partnerships that will plan, develop, and provide a transition from incarceration to community-based substance abuse treatment and related reentry services for the target populations.
Section 113: Approved Uses

- The development, implementation and expansion of family-based substance-abuse treatment programs for offenders with minor children

- Outreach to families and provision of treatment and other services to children and other family members of participant offenders

- Funds cannot be used for any parents for whom there is reasonable evidence of engagement in domestic violence or child abuse
Section 113: Approved Uses

Applicants must demonstrate how the following six fundamental principles of evidence-based correctional practice are integrated into their program design:

• Objectively assess criminogenic risks and needs
• Enhance intrinsic motivation
• Target higher-risk offenders
• Address offenders’ greatest criminogenic needs
• Use cognitive-behavioral interventions
• Determine dosage and intensity of services
Section 113: Program Design Elements

Applicants should address the following design elements in the proposal:

• **Use of actuarial-based assessment instruments for treatment and reentry planning**
  - Use screening and assessment instruments to match individuals with the appropriate level and type of treatment and reentry services

• **Target criminogenic needs that affect recidivism**
  - Criminogenic needs include a 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

• **Provision of evidence-based substance abuse and mental health treatment**
  - Provide substance abuse and mental health treatment practices and services that have a demonstrated evidence base and are appropriate for the target population, as determined by the risk/needs assessment.
  - Funds may be used for development, implementation and expansion of family-based substance abuse treatment programs (including nursery programs within correctional facilities) or residential substance abuse treatment for parents, including outreach to parents and children in the community.
  - Indicate how treatment will begin prior to release and be continued into the community after release.
  - Require urinalysis and/or other reliable forms of drug and alcohol testing for program participants
  - Prison-based programs must provide residential treatment facilities set apart from the general correctional population. Offenders included in prison-based programs must be within 6-12 months of scheduled release.
Section 113: Program Design Elements cont’d

• Family-based and pharmacological drug treatment and other services
  o This can include, but is not limited to, drug treatment services, substance abuse treatment, early child intervention services, family counseling, legal services, parenting skills, mental health, transportation, education development, etc.

• Transition planning procedures
  o Develop reentry procedures to ensure linkages to services, and ensure appropriate information sharing with community agencies and partners. Assess insurance and benefit status and assist inmates with the application process.

• Support of a comprehensive range of recovery support services
  o These may include, but are not limited to, ongoing mental health and substance abuse disorder treatment, housing, physical health care services, cognitive restructuring, job placement services, and family reunification, among many others.

• Provision of sustained aftercare, case planning/management in the community
  o Use consistent pre- and post-release case management and supervision, sustained at least 6 months post-release. Post-release treatment and aftercare must be coordinated, including coordination with community partners to allow in-reach for community-based treatment providers.

• Provision of community supervision services which follow evidence-based practices
  o Funds may be used to provide evidence-based community supervision services
  o This may include, but is not limited to, individualized case planning based off of risk and needs assessment, graduated responses to violations, incentives and staff training in effective offender management techniques.
Section 113: Priority Considerations

Applicants will be given priority consideration for including the following elements in their programs:

• Identify and target medium- to high-risk offenders through validated risk and needs assessment instruments who have been diagnosed with a drug dependency and are custodial parents of minor children
• Focus on geographic areas with high rates of returning offenders
• Demonstrate how the six evidence-based strategies are incorporated into the project program design
• Provide for an independent evaluation of reentry programs that include, to the maximum extent possible, random assignment and controlled studies to determine the effectiveness of such programs and the services provided, including the community corrections approaches to supervision.
Section 113: Mandatory Requirements

- Applicants must certify that any treatment program proposed in the application is
  - Clinically appropriate, will provide comprehensive treatment, and
  - Has been developed in coordination with the Single State Authority for Substance Abuse.

- Applicants should also provide official documentation that all collaborating service provider organizations are in compliance with all requirements for licensing, accreditation, and certification, including state, local (city, county), and tribal requirements, as appropriate.

- A program for which a grant is made shall comply with the following requirements:
  - The program shall integrate techniques to assess the strengths and needs of immediate and extended family of the incarcerated parent to support a treatment plan of the incarcerated parent;
  - The program shall ensure that each participant in that program has access to consistent and uninterrupted care if transferred to a different correctional facility within the state or other relevant entity; and
  - The program shall be located in an area separate from the general population of the prison.
Section 113: Additional Requirements

• Applicants must indicate how minor children and family members of program participants will be identified, contacted, and engaged in service provision.

• A program for which a grant is made shall comply with the following requirements:
  • Integrate techniques to assess the strengths and needs of immediate and extended family of the parent to support the treatment plan; and
  • Ensure that each participant in that program has access to consistent and uninterrupted care if transferred to a different correctional facility within the state or other relevant entity.
Section 113: Award Categories, Amount, and Length

Applicants must apply in one of two categories, depending upon their jurisdictional status.

- Category 1: Units or components of state and local government agencies serving incarcerated adults.
- Category 2: Federally recognized American Indian tribes and Alaska Native tribes and/or tribal organizations serving incarcerated adults.

Contingent upon the availability of funds and the number of individuals to be served, awards of up to $300,000 will be made for a period of up to 24 months.
Section 113: Selection Criteria

• Statement of the Problem: 15%

• Program Design and Implementation: 35%

• Capabilities, Competencies and Coordination: 25%

• Impact/Outcomes, Evaluation, and Sustainment, and Plan for Collecting the Data Required for this Solicitation’s Performance Measures: 15%

• Budget: 10%
Section 113: Statement of the Problem

• Explain the inability to fund the program adequately without federal assistance.

• Describe the problems with meeting the family and substance abuse treatment needs of incarcerated adult offenders who have minor children and who are returning to the community.

• Provide information on the target population, the number of offenders who are parents of minors, the treatment needs of these offenders, any statistics or other information available about the number of minor children of the target population, and needs of the family within the community. Include any recidivism and substance abuse data that is available for the target population.

• Summarize the basic components of the current process for identifying offender risk as well as offender and family needs, availability of drug and other treatment services, reentry planning for these offenders, case management, and linkages to community-based treatment providers, aftercare, and continuing case management upon reentry.
Section 113: Program Design and Implementation

• Describe proposed activities that address the program goals
  o Address the Approved Use of Award Funds, sections on fundamental principles of evidence-based correctional practice, and program design elements
  o Address the Priority Considerations

• Provide an analysis of the target population
  o Number of individuals to be served
  o Guidelines for identifying program participants through screening and needs assessments
  o Process by which individuals will be referred to program

• Describe how individuals will be linked to treatment and other recovery support services
  • Identify evidence-based practices and any modifications you will need to make to these practices and why the changes will improve outcomes
Section 113: Program Design and Implementation cont’d

• Describe the process for how participant family members will be identified, engaged, and linked to treatment and support services.

• Describe how services will be excluded from parental family members for whom there is reasonable evidence to believe they have engaged in domestic violence or child abuse.

• Describe how the following legal requirements will be adhered to within the context of the proposed project:
  • The program shall integrate techniques to assess the strengths and needs of immediate and extended family of the incarcerated parent to support a treatment plan of the incarcerated parent;
  • The program shall ensure that each participant in that program has access to consistent and uninterrupted care if transferred to a different correctional facility within the state or other relevant entity; and
  • The program shall be located in an area separate from the general population of the prison.
Section 113: Capabilities, Competencies and Coordination

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

• Identify the organization(s) proposed to provide substance abuse and other treatment services both within the correction facility and upon return 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 family support services providers to ensure coordinated reentry efforts and ongoing treatment and/or aftercare programming for offenders and treatment and other support services are initiated and continue for minor children and family members.

• Describe how this program will augment any existing residential treatment program and if the facility at which services will be provided receives BJA Residential Substance Abuse Treatment (RSAT) for State Prisoners Program funds through the state.
Section 113: Impact/Outcomes and Evaluation

• Describe the current ability to collect and analyze client-level performance and outcome data.

• Describe the process for assessing the initiative’s effectiveness through the collection and reporting of the required performance metrics data.

• Identify goals and objectives for program development, implementation, and outcomes.

• Describe how performance will be documented, monitored, and evaluated, and identify the impact of the strategy once implemented.

• Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.

• Discuss how this effort will be integrated into the state or tribal justice system plans or commitments, how the program will be financially sustained after federal funding ends, and the expected long-term results for the program.
Section 113: Budget

- **There is no match requirement under this solicitation.**

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

- 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.)

- Applicants must budget funding to travel to Department of Justice-sponsored grant meetings. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings in Washington D.C.
Section 113: Performance Measures

- Percent decrease in recidivism rates: 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.”

- Percent reduction in the crime rate

- Percent increase in employment among participants

- Percent increase in the number of participants enrolled in educational programs

- Percent reduction in the number of violations of conditions of supervised release
Section 113: Performance Measures cont’d

- Percent increase in fulfillment of child support among target population
- Percent Increase in the number of target population who have obtained housing
- Percent increase in the number of participants assessed as needing substance abuse health services who participated in those services.
- Percent increase in the number of participants assessed as needing mental health services who participated in those services
- Percent of participants who completed the residential program and have passed drug testing.
- Percent reduction in alcohol abuse and consumption.
Evidence-Based Practice and Treatment Resources

• Applicants can find information on evidence-based practices for people with co-occurring disorders on Substance Abuse and Mental Health Services Administration’s Co-occurring Center for Excellence web site: www.coce.samhsa.gov/ and on the Center for Mental Health Services’ National GAINS Center web site: http://gainscenter.samhsa.gov/html/resources/publications.asp.

• Another resource is the Center for Substance Abuse Services’ Treatment Improvement Protocol 44: Substance Abuse Treatment for Adults in the Criminal Justice System: www.ncbi.nlm.nih.gov/bookshelf/br.fcgi?book=hssamhsatip&part=A80017

• 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 on the Web at www.samhsa.gov/ebpwebguide.
Contact Information

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Section 113: Family-Based Offender Substance Abuse Treatment Program

Question and Answer Session
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