



**MENTALLY ILL OFFENDER  
CRIME REDUCTION (MIOCR)  
GRANT PROGRAM  
FISCAL YEAR 2015/2016**

**REQUEST FOR PROPOSALS:  
- ADULT PROJECTS -**

**RELEASED FEBRUARY 13, 2015**

**Applications due by 5:00 p.m., April 3, 2015**

*In addition to the grant application, this Request for Proposals (RFP) packet includes important information about funding provisions, grant eligibility, and application submission requirements.*



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## CONTACT INFORMATION

This Request for Proposals (RFP) provides the information necessary to prepare a proposal for grant funds via the Board of State and Community Corrections (BSCC) for the Mentally Ill Offender Crime Reduction (MIOCR) Grant Program.

Although BSCC staff cannot assist the grant applicant with the actual preparation of the proposal, any questions concerning the proposal process, programmatic issues, or clarification on the information contained within the RFP may be submitted by phone, fax, or email to:

Helene Zentner, Field Representative  
Board of State and Community Corrections  
Corrections Planning and Programs Division  
Phone Number: (916) 323-8631  
Fax Number: (916) 327-3317  
Email: [Helene.Zentner@bscc.ca.gov](mailto:Helene.Zentner@bscc.ca.gov)

## PROPOSAL DUE DATE

One original signed and seven copies of the proposal must be **received** (not postmarked) by the BSCC's Corrections Planning and Programs Division by **5:00 p.m., Friday, April 3, 2015**. **Proposals sent via email will not be accepted.**

Proposals may be submitted via the U.S. mail, private carrier, or hand-delivered to:

Board of State and Community Corrections  
Corrections Planning and Programs Division  
2590 Ventura Oaks Way  
Sacramento, CA 95833  
Attn: Helene Zentner, Field Representative

**\*\*Please note new address**

**Proposals received after 5:00 p.m. on the due date will be deemed ineligible for funding.**

## BACKGROUND INFORMATION

The 2014-15 State Budget Act appropriated Recidivism Reduction Funds through Assembly Bill (AB) 1468, Article 4, California Penal Code Section (PC§) 6045 (Appendix A) for the establishment of MIOCR grants. The purpose of this funding is to support appropriate prevention, intervention, supervision, and services through promising and evidence-based strategies to reduce recidivism in managing California's mentally ill offender population, as well as improving outcomes for these offenders.

Pursuant to PC §6045, grant funds must be awarded to implement locally-developed, collaborative and multidisciplinary projects that provide a cost-effective continuum of responses designed to reduce jail crowding, provide youthful offenders alternatives to detention, reduce crime and criminal justice costs as they relate to the mentally ill, and to maximize available and/or new local resources for prevention, intervention, detention and aftercare services for adult mentally ill offenders and juvenile offenders with mental health issues, while improving public safety. In addition, funding provides on-going technical assistance, monitoring, data collection, and evaluation oversight for the local recipients of this funding.

As the administering agency of the MIOCR grants, the BSCC is committed to providing a fair and equitable process for determining the most meritorious grant proposals, via a competitive process. On September 11, 2014, the BSCC Board authorized an Executive Steering Committee (ESC) of subject matter experts to oversee the development and release of an RFP as well as the criteria for the proposal reading and rating process ([http://www.bscc.ca.gov/s\\_cppresources](http://www.bscc.ca.gov/s_cppresources); *Grant Executive Steering Committee Process pdf*).

On November 18, 2014, the MIOCR ESC convened to begin the development of the program design, evaluation process, and criteria to be used to select the proposals. This RFP is a result of those efforts.

## PROJECT DESCRIPTION

Projects awarded MIOCR grants through this process “shall support prevention, intervention, supervision and incarceration-based services and strategies to reduce recidivism and to improve outcomes for mentally ill juvenile and adult offenders” in California (pursuant to PC §6045).

### **Eligibility**

Pursuant PC §6045.2(a), a county “shall be eligible to apply for either an adult mentally ill offender grant or a juvenile mentally ill offender grant or both” (adult and juvenile proposals must be submitted via separate applications). In addition, two or more counties may partner to submit a single, joint collaborative proposal for either an adult grant, juvenile grant, or both. Should counties decide to join resources for a multi-county partnership proposal, one of the participating counties must be identified as the lead county for all aspects of grant administration and management.

Multiple applications from a county (or a county-collaborative) for an adult-funded MIOCR project and/or a juvenile-funded project will not be allowed.

Eligible applications must be developed by a local Strategy Committee. This Strategy Committee must meet all the requirements as provided in PC §6045.2(b):

- “A county that applies for an adult mentally ill offender grant shall establish a strategy committee to design the grant application that includes, at a minimum, the sheriff or director of the county department of corrections in a county where the sheriff does not administer the county jail system, who shall chair the committee, and representatives from other local law enforcement agencies, the chief probation officer, the county mental health<sup>1</sup>director, a superior court judge, a former offender who is or has been a client of a mental health treatment facility<sup>2</sup>, and representatives from organizations that can provide or have provided treatment or stabilization services for mentally ill offenders, including treatment, housing, income or job support, and caretaking.”
- “A county that applies for a juvenile mentally ill offender grant shall establish a strategy committee that includes, at a minimum, the chief probation officer who shall chair the committee, representatives from local law enforcement agencies, the county mental health<sup>3</sup>director, a superior court judge, a client or former offender who has received

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<sup>1</sup>Behavioral Health Director

<sup>2</sup>The intent of “a client of a mental health treatment facility” is to involve a former offender who is or has received mental health treatment services while incarcerated or as aftercare; this does not mean the individual must have received in-patient services within a state forensic hospital.

<sup>3</sup>Behavioral Health Director

juvenile mental health services, and representatives from organizations that can provide or have provided treatment or support services for mentally ill juvenile offenders, including therapy, education, employment, housing, and caretaking services.”

- “A county that applies for both types of grants may convene a combined strategy committee that includes the sheriff or jail administrator and the chief probation officer as co-chairs of the committee, as well as representation from the other agencies, departments, and disciplines designated in the above paragraphs for both types of committees.”

If two or more counties partner to submit a single joint application, the above requirements for the Strategy Committee and its identified participants shall still apply and should be represented by all counties participating in the joint effort.

PC §6045.2(c) states “The strategy committee shall develop and describe in its grant application a comprehensive county plan for providing a cost-effective continuum of responses and services for mentally ill adult offenders or mentally ill juvenile offenders, including prevention, intervention, and incarceration-based services, as appropriate. The plan shall describe how the responses and services included in the plan have been proven to be or are designed to be effective in addressing the mental health needs of the target offender population, while also reducing recidivism and custody levels for mentally ill offenders in adult or juvenile detention or correctional facilities. Strategies for prevention, intervention, and incarceration-based services in the plan shall include, but not be limited to, all of the following:

- (1) Mental health and substance abuse treatment for mentally ill adult offenders or mentally ill juvenile offenders who are presently placed, incarcerated, or housed in a local adult or juvenile detention or correctional facility or who are under supervision by the probation department after having been released from a state or local adult or juvenile detention or correctional facility.
- (2) Prerelease, reentry, continuing, and community-based services designed to provide long-term stability for juvenile or adult offenders outside of the facilities of the adult or juvenile justice systems, including services to support a stable source of income, a safe and decent residence, and a conservator or caretaker, as needed in appropriate cases.
- (3) For mentally ill juvenile offender applications, one or more of the following strategies that has proven to be effective or has evidence-based support for effectiveness in the remediation of mental health disorders and the reduction of offending: short-term and family-based therapies, collaborative interagency service agreements, specialized court-based assessment and disposition tracks or programs, or other specialized mental health treatment and intervention models for juvenile offenders that are proven or promising from an evidence-based perspective.”

Additionally, PC §6045.2(d) states “The plan as included in the grant application shall include the identification of specific outcome and performance measures and for annual reporting on grant performance and outcomes to the board that will allow the board to evaluate, at a minimum, the effectiveness of the strategies supported by the grant in reducing crime, incarceration, and criminal justice costs related to mentally ill offenders. The board shall, in the grant application process, provide guidance to counties on the performance measures and reporting criteria to be addressed in the application.”

## **Funding Amount**

A total of \$17,100,000 in MIOCR local assistance funding is available statewide; this funding is to cover grant contracts with awardees for a 3-year project period. Pursuant to PC §6045(a), the local assistance funding “shall be divided equally between adult and juvenile mentally ill offender crime reduction grants in accordance with the funds appropriated for each type of grant.”; therefore, there is \$8,550,000 available for projects serving adult mentally ill offenders and \$8,550,000 for projects serving juvenile offenders with mental illness.

In order to fund comprehensive, collaborative projects based on the Strategy Committee’s plan to address the mental health needs of the identified target offender population, counties are encouraged to request only the amount of funds necessary to support their local strategy. A “targeted cap” or funding-request guideline of \$950,000 per 3-year project application has been established. Should the applicant request more than the ‘targeted cap’ of \$950,000, a compelling argument must be made as to why the requested funds are necessary for the success of the proposed project. In addition, as a result of the evaluation and rating process, the ESC may determine a lesser amount is more appropriate for the proposed project and will make their final funding recommendations to the BSCC Board in June 2015.

A minimum of 25 percent (25%) match of the MIOCR grant funds is mandatory. PC §6045.4(b) states “a grant shall not be awarded unless the applicant makes available resources...in an amount equal to at least 25 percent of the amount of the grant.” Resources required for the match obligation may be cash or in-kind contributions or a combination of both, and must be documented. In addition, preference will be given to those grant applications that include documented match funding exceeding 25 percent of the total grant amount. See page 12 for preference point value within the maximum possible points.

Additionally, MIOCR funding must be used to supplement, rather than supplant, funding for existing programs/projects [PC §6045.4(a)]. Supplanting is defined as replacing those funds identified and appropriated for the same purpose prior to the grant award. Grant funds may be used to expand an existing effort or to create a new project. Project expansion includes, but is not limited to, adding services to a program that is currently offered to mentally ill offenders and extending existing services for mentally ill offenders to a larger target population or new geographic area.

The rating criteria used for the proposal evaluation process, in part, is contained in PC §6045.6:

- (a) The probable or potential impact of the grant on reducing the number or percent of mentally ill adult offenders or mentally ill juvenile offenders who are incarcerated or detained in local adult or juvenile correctional facilities and, as relevant for juvenile offenders, in probation out-of-home placements.
- (b) Demonstrated ability to administer the program, including any past experience in the administration of a prior mentally ill offender crime reduction grant.
- (c) Demonstrated ability to develop effective responses and to provide effective treatment and stability for mentally ill adult offenders or mentally ill juvenile offenders.
- (d) Demonstrated ability to provide for interagency collaboration to ensure the effective coordination and delivery of the strategies, programs, or services described in the application.
- (e) Likelihood that the program will continue to operate after state grant funding ends, including the applicant’s demonstrated history of maximizing federal, state, local, and private funding sources to address the needs of the grant service population.

## **Grant Period**

Successful proposals will be funded for a 3-year grant, the first year of which will commence July 1, 2015 and end on June 30, 2016. A non-competitive reapplication process for continued funding will be issued for the second year (July 1, 2016 - June 30, 2017) and third year (July 1, 2017 - June 30, 2018). Continued funding for the second and third year is contingent on the availability of funding and compliance with all MIOCR program requirements.

Applicants shall build their proposal, objectives, activities, services, etc., as a **4-year strategic plan** and shall describe a 4-year plan for the programs, services, or strategies within the application pursuant to PC §6045.4(a). Proposals not including a **4-year strategic plan will not be considered for funding.**

## **PROJECT GOAL AND DESIGN**

The goal of the MIOCR funding is to develop a 4-year local strategic plan allocating monies to provide integrated services between county departments and community-based organizations to serve adult or juvenile offenders collaboratively with mental health issues for reducing recidivism and increasing positive quality-of-life outcomes.

For the purposes of this funding solicitation, eligible target populations are defined as “mentally ill adult offenders” as defined in subdivisions (b) and (c) of Section 5600.3 of the Welfare and Institutions Code and “mentally ill juvenile offenders” per subdivision (a) of Section 5600.3 of the Welfare and Institutions Code (Appendix B). In addition, for the purposes of this solicitation, the age for a juvenile offender is defined as under 25 years old at the time of acceptance into the local MIOCR project.

The definition of adult recidivism, approved by the BSCC Board for consistency in statewide local data collection efforts, is: *conviction of a new felony or misdemeanor committed within three years of release from custody or committed within three years of placement on supervision for a previous criminal conviction. (“Committed” refers to the date of offense, not the date of conviction.)*

The definition of juvenile recidivism, for the purposes of this solicitation, is the language adopted by the Chief Probation Officers of California (May 2012): *a subsequent criminal adjudication while on probation supervision. (Of those terminated or closed from a juvenile grant of probation in a given time period, a count of how many youth had new true findings/law convictions during their time under supervision.)*

PC §6045.2(c) and (d) detail the requirements for the development and design of the comprehensive county plan. The Strategy Committee shall describe:

- A cost-effective continuum of responses and services for mentally ill adult offenders or mentally ill juvenile offenders, including prevention, intervention, and incarceration-based services, as appropriate.
- How the responses and services included in the plan have been proven to be or are designed to be effective in addressing the mental health needs of the target offender population, while also reducing recidivism and custody levels for mentally ill offenders in adult or juvenile detention or correctional facilities.

Strategies for prevention, intervention, and incarceration-based services in the plan shall include, but not be limited to, all of the following:

- Mental health and substance abuse treatment for mentally ill adult offenders or mentally ill juvenile offenders who are presently placed, incarcerated, or housed in a local adult or

juvenile detention or correctional facility or who are under supervision by the probation department after having been released from a state or local adult or juvenile detention or correctional facility.

- Prerelease, reentry, continuing, and community-based services designed to provide long-term stability for juvenile or adult offenders outside of the facilities of the adult or juvenile justice systems, including services to support a stable source of income, a safe and decent residence, and a conservator or caretaker, as needed in appropriate cases.
- The identification of specific outcome and performance measures that assist in evaluating, at a minimum, the effectiveness of the strategies supported by the grant in reducing crime, incarceration, and criminal justice costs related to mentally ill offenders.
- For mentally ill juvenile offender applications, one or more of the following strategies that has proven to be effective or has evidence-based support for effectiveness in the remediation of mental health disorders and the reduction of offending: short-term and family-based therapies, collaborative interagency service agreements, specialized court-based assessment and disposition tracks or programs, or other specialized mental health treatment and intervention models for juvenile offenders that are proven or promising from an evidence-based perspective.

Additionally, funds may be used to support specialized alternative custody programs that offer appropriate mental health treatment and services.

#### **Evidence-Based Programs, Practices, and Strategies<sup>4</sup>**

The BSCC is committed to supporting programs, practices, and strategies that are rooted in evidence to produce better outcomes for the criminal and juvenile justice systems and for the individuals who are involved in those systems.

County plans are required to provide mental health treatment programs, practices, and strategies that have a demonstrated evidence foundation and are appropriate for the target population. The proposal should identify the evidence-based program, practice or strategy being proposed for implementation, and cite the evidence showing it is effective and appropriate for the proposed target population. Documentation of effectiveness can take the form of research or literature review, or citing reviews of program effectiveness conducted by policy-making agencies.

Applicants seeking funding through this grant process will be required to demonstrate that the proposed project is directly linked to the implementation of evidence-based practices and strategies that reduce recidivism. The following information is offered to help applicants in understanding the BSCC's broad view of evidence-based practices:

The concept of evidence-based practices was developed outside of the criminal justice arena, and is commonly used in other applied fields such as medicine, nursing, and social work. In criminal justice, this term marks a significant shift by emphasizing measurable outcomes and ensuring services and resources are actually effective in promoting rehabilitation and reducing recidivism. On a basic level, evidence-based practices include the following elements:

1. Evidence the intervention is likely to work (i.e., produce a desired benefit);
2. Evidence the intervention is being carried out as intended; and
3. Evidence allowing an evaluation of whether the intervention worked.

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<sup>4</sup> Lowenkamp and Latessa, 2003, Lowenkamp, 2003; Lowenkamp & Latessa, 2005a; Lowenkamp and Latessa, 2005b; Center for Criminal Justice Research and the Corrections Institute at the University of Cincinnati, Correctional Program Checklist Assessment

Evidence-based practices involves using research-based and scientific studies to identify interventions that reliably produce significant reductions in recidivism, when correctly applied to offender populations through the use of the following four principles of effective intervention:

- A. Risk Principle – focuses attention on the crucial question of WHO is being served and calls for targeting higher risk offenders.
- B. Need Principle – requires that priority be given to addressing criminogenic risk/need factors with a clear focus on WHAT programs are delivered.
- C. Treatment Principle – conveys the importance of using behavioral treatment approaches to achieve the best possible outcomes and requires attention to the question of HOW programs are delivered.
- D. Fidelity Principle – draws attention to HOW WELL programs are delivered and reiterates the necessity that programs be implemented as designed.

Successful implementation of evidence-based practices also includes, but is not limited to:

- Organizational development to create and sustain a culture accepting of best practices and evidence-based approaches;
- A commitment to initial and ongoing professional development and training;
- Use of validated risk/needs/responsivity assessment tools;
- Data collection and analysis;
- Use of case management strategies;
- Use of programs known to produce positive criminal justice outcomes;
- Quality assurance activities to ensure program fidelity;
- Performance management to improve programs, service delivery, and policies;
- A “systems change approach” to develop collaborations so tasks, functions and sub-units work effectively together and not at cross-purposes; and
- A focus on sustainability.

In discussions of evidence-based practices in criminal justice, it is common to distinguish between *programs*, *strategies*, and *promising practices/approaches*.

*Programs* are designed to change the behavior of individuals in the criminal justice system and are measured by individual level outcomes. For example, programs aiming to reduce substance use and antisocial behavior include Cognitive Behavioral Therapy, Behavioral Programs, and Social Skills Training.

*Strategies* may include programs to change individual behavior; however, this term is often used to describe a general intervention approach that supports larger community or organizational level policy objectives. For example, case management is applied to improve the overall effectiveness and efficiency of criminal and juvenile justice agencies while pretrial assessment is designed to enable informed decisions about which arrested defendants can be released pretrial without putting public safety at risk. *Strategies* can also refer to the strategic application of effective practices that are correlated with a reduction in recidivism such as the use of assessment tools, quality assurance protocols, and delivery of interventions by qualified and trained staff.

*Promising practices/approaches*, for purposes of this grant work, can be broadly construed to include crime-reduction and recidivism-reduction programs or strategies that have been implemented elsewhere with evidence of success, but with evidence not yet strong enough to conclude the success was due to the program or that it is highly likely to work if carried out in the applicant's circumstances. The difference between evidence-based and *promising practices/approaches* is a difference in degree on the number of situations in which a program or strategy has been tested and the rigor of the evaluation methods used.

In theory, applicants seeking to implement promising programs, approaches, or strategies should be able to describe the documentation, data and evidence available to support the approach and why it is best suited to the needs and objectives described in the application for funding.

Applicants can find information on evidence-based treatment practices in the Substance Abuse and Mental Health Services Administration's (SAMHSA) *Guide to Evidence-Based Practices* available at [www.samhsa.gov/ebpwebguide](http://www.samhsa.gov/ebpwebguide) as well as in Appendix C of this RFP.

### **Reducing Racial and Ethnic Disparity (R.E.D.) Training Opportunity for Award Recipients**

*The following information is provided to all prospective BSCC grantees. The applicant is not required to address this section within its proposal, but should spend time in consideration of how this information may influence grant activities.*

Research<sup>5</sup> shows that youth and adults of color are significantly overrepresented in the criminal justice system in California. These disparities are the result of numerous interrelated factors, some of which exist within the structures of the current criminal and juvenile justice system, and some of which are influenced by unconscious biases. Whatever the cause, BSCC believes that the overrepresentation of people of color in the criminal and juvenile justice system can be addressed through meaningful dialogue, increased awareness, evaluation feedback, and policy reforms intended to reduce structural inequality.

To that end, we are committed as a state to examining service delivery within the criminal and juvenile justice system for perceived inequities and actual disparities that might exist at the state and local level. Additionally, in order to receive federal funding, California is required to demonstrate a good faith effort to address the federal initiative known as Reducing Racial and Ethnic Disparity or R.E.D. (formerly Disproportionate Minority Contact or DMC), which refers to the disproportionate rate at which youth of color come into contact with the juvenile justice system (at all points, from arrest through confinement), relative to their numbers in the general population. In an effort to comply with this requirement, the BSCC has undertaken a number of activities to ensure that California addresses this concern in relation to the juvenile population as well as the adult offender population to include trainings, access to and support of structured decision-making tools, and funding opportunities.

MIOCR Grant recipients are included in these opportunities and as such will be invited to attend a one-day Reducing Racial and Ethnic Disparity (R.E.D.) training for project directors and other interested staff, which will be provided during the project period.

In preparation of the BSCC offered training, the BSCC has identified some questions you may want to consider in relation to your proposed project.

- How do local departments/organizations measure the effectiveness with underserved communities?
- How do local departments/organizations deal with issues of linguistic diversity?

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<sup>5</sup> There are multiple studies confirming the disparities in the criminal and juvenile justice systems. BSCC has done extensive work with The W. Haywood Burns Institute (<http://www.burnsinstitute.org/>) on this issue as well as working with the National Council on Crime and Delinquency (NCCD) and the Center for Juvenile Justice Reform, Georgetown University (<http://cjjr.georgetown.edu/certprogs/racialdisparities/racialdisparities.html>)  
Created Equal: Racial and Ethnic Disparities in the US Criminal Justice System (NCCD: Hartney/Vuong March 2009)

- What is the nature of current departments'/organizations' relationship to the community relative to the proposed project?
- Does the proposed project reflect the specific needs of the diverse communities served?

MIOCR grant funding may be used to reimburse agencies for travel to the R.E.D. training for related expenditures such as mileage, meals, lodging (if required), and other per diem costs. Applicants who plan to attend this training should include these costs in the budget section of their application within the "Other" category. Training information will be sent to all MIOCR project directors.

Additional information about R.E.D. can be found at <http://www.bscc.ca.gov/> or applicants may contact California's R.E.D. Coordinator, Shaline Hunter, at (916) 322-8081.

## GRANT REQUIREMENTS

**Confidentiality Notice:** This application, and information contained herein, may be construed to be a public document. The application may be subject to a request via the California Public Records Act and BSCC, as a state agency, may have to disclose it to the public. BSCC cannot ensure the confidentiality of any information submitted in or with this application.

### **Grant Agreement**

Applicants approved for funding by the BSCC Board are required to enter into a Grant Agreement (Standard Form 213) with the BSCC. Grantees must agree to comply with all conditions of the Grant Agreement, all required assurances, general terms and conditions, and all budget items and conditions as contained in their Request for Proposals submittal.

**The Grant Agreement shall be effective as of the date on which it is signed by the BSCC. Work, services, and encumbrances of grant funds cannot begin prior to contract execution (and the effective date of the contract), nor can reimbursements be approved for expenditures prior to contract execution.**

Each agency is responsible for maintaining the Grant Agreement, all invoices, records, and relevant documentation for at least three (3) years after the final payment under the contract

### **Eligible Grant Expenditures**

Grant funds may be used to supplement existing funds dedicated to a project but may not replace (supplant) funds that have been appropriated for the same purpose. Grant funds may be used to expand an existing effort or to create a new project. Project expansion includes but is not limited to adding services to a project currently offered to mentally ill offenders and extending existing services for mentally ill offenders to a larger target population or new geographic area. If funds are proposed for the use of hiring MIOCR project staff, positions must be newly-formed positions within the department or organization, specific to the purposes of this grant (i.e., a net cost-savings cannot be realized by the department, agency, organization, or county due to the introduction of this grant award). For information on examples of eligible and ineligible costs, please refer to Appendix F.

## **Board Resolution**

Strategy Committees/counties must submit a resolution from their governing board addressing specific requirements, including but not limited to, the non-supplantation clause. In addition, all awarded projects and any of its subgrantees must comply with General Terms and Conditions 610 as provided in Appendix D. Grant recipients must have a resolution on file with the BSCC before reimbursements can be sought. Please see Appendix E for sample language.

## **Match Requirements**

As previously stated, funding for the MIOCR Grant Program requires a minimum 25 percent (25%) match obligation of grant funds awarded to the recipient. Matching funds may be met through cash, in-kind, or a combination of both. In addition, federal and/or local funding stream dollars may be utilized as well as state monies not derived from the General Fund.

## **Reimbursement of Expenditures/Quarterly Invoices**

Disbursement of grant funds occurs on a reimbursement basis for actual costs incurred during a reporting period. The State Controller's Office will issue warrants (checks) to the individual designated on the application (Section I) as the Financial Officer for the grant. Grantees must submit invoices online to the BSCC on a quarterly basis, not later than 45 days following the end of each quarter. In addition, grantees must maintain adequate supporting documentation for all costs including match obligations claimed on invoices. Source documents include, but are not limited to, copies of all purchase orders, receipts, personnel and payroll records, donated goods and/or services, reconciliations, financial records, and audit reports. BSCC staff will conduct on-site monitoring visits that will include a review of documentation maintained as substantiation for project expenditures and matching contributions.

The BSCC may withhold all or any portion of the grant funds in the event the grantee has materially and substantially breached the terms and conditions of the MIOCR contract agreement.

At such time as the balance of funds allocated to the project reaches five percent (5%), the BSCC shall withhold that amount as security, to be released to the grantee upon compliance with all grant provisions, including: 1) submittal and approval of the final invoice; 2) submittal and approval of the final progress report; 3) submittal and approval of any additional required reports; and 4) submittal and approval of the final audit.

The BSCC will not reimburse for costs identified as ineligible for grant funding. If grant funds have been provided for costs subsequently discovered to be ineligible, the BSCC may either withhold an equal amount from future payments or require repayment of an equal amount to the state by the grantee.

## **Data Collection/Progress Reporting Requirements**

Grant award recipients will be required to provide relevant program information and data measures by submitting quarterly progress reports utilized to assess the impact of the MIOCR projects on the involvement of mentally ill adults and juveniles in the justice system. This may include outcome measures related to the service levels, treatment modes, and stability measures for juvenile and adult offenders participating in, or benefitting from, mentally ill offender crime reduction grant programs and/or services. At a minimum, this assessment will require grantees to collect data on the effectiveness of the strategies supported by the grant in reducing crime, incarceration, placement levels, early releases due to facility overcrowding, local criminal and

juvenile justice costs related to mentally ill offenders, and key variables related to recidivism reduction as well as a limited number of “quality of life” outcomes. Some data measures to be collected will include breaking-out gender, age and race/ethnicity; applicants must have the ability to delineate MIOCR funded, participant-specific data. Standard data measures to be collected by the BSCC for this grant include, but are not limited to:

- Number of program participants served
- Number of participants referred
- Number of offenders screened/assessed
- Number of program participants with formal psychological/psychiatric evaluations
- Number of service hours completed
- Average length of stay in the program
- Number of days from referral to first program service
- Number of program participants who offend or reoffend
- Number of program participants charged with a formal violation
- Number of participants who are homeless or in out-of-home placement

The deadline for submitting grant quarterly progress reports will be no later than 30 days following the end of each quarterly reporting period. Staff will develop a draft data collection tool and collaborate with new grantees to solicit their input and finalize the tool after project modalities and strategy committee focus areas have been submitted.

### **Project Evaluation**

The purpose of a project evaluation plan is to ensure the project funded by MIOCR dollars can be properly and effectively evaluated. The Strategy Committee should prepare a detailed description of how the project will assess the effectiveness of and the potential impact on the services provided to the target population, and be able to determine whether or not a reduction in recidivism occurred due to the project’s methodologies/strategies. The plan should describe the research design that will be used to evaluate the effectiveness of the project, with the project goals (i.e. the expected benefits to participants) and the project objectives (i.e. specific measurable accomplishments intended to advance project goals within the strategic plan) clearly stated. The evaluation should list the outcome measures that will be tracked (outside of the standard data measures stated above) and describe the method by which the impact of the program on the outcome measures will be determined.

### **Local Evaluation Plan**

The purpose of a Local Evaluation Plan is to assist the BSCC in effectively evaluating the program funded by MIOCR dollars. Applicants will be expected to submit a detailed description of how the applicant will assess the effectiveness of the proposed project to the BSCC post-award date. The Local Evaluation Plan should describe the research design that will be used to evaluate the effectiveness of the project, with the project goals (i.e. the expected benefits to participants or the community) and the project objectives (i.e. specific measurable accomplishments intended to advance project goals) clearly stated. In addition, applicants should address process evaluation and outcome evaluation components, as outlined in more detail below:

- a) Process Evaluation: The purpose of the process evaluation is to identify how the project activities will be carried out. A process evaluation should describe the type of data that will be collected and typically includes, but is not limited to such measures as:
  - Estimated number of participants in the proposed project;
  - A plan for tracking participants in terms of progress in the project, start dates, attendance logs, dropouts, successful completions, etc.;

- A plan on how services provided to each participant will be documented; and
  - A plan to document the activities performed by staff who conducted the project.
- b) Outcome Evaluation: The purpose of the outcome evaluation is to identify how the applicant will determine if the program “worked” in terms of achieving the goals set for the project. The outcome evaluation should list the outcome measures that will be tracked and describe the method by which the impact of the program on the outcome measures will be determined.

Since each MIOCR project may be unique in its approach and the intended results may vary, not all measures in the process evaluation, as stated above, may apply. BSCC Research staff will be providing additional information on the evaluation components at the mandatory Grantee Orientation.

### **Monitoring and Project Assessment**

BSCC staff will conduct periodic monitoring of each project to assess whether the project is in compliance with grant requirements and making progress toward grant objectives, and provide technical assistance as needed regarding fiscal, programmatic, evaluation, and administrative requirements. A sample of the BSCC’s grant project monitoring report is provided as Appendix G; however, items within the report may be subject to change for the MIOCR grantees.

Additionally, MIOCR grantees and their subcontractors will participate in project assessments conducted by certified BSCC staff in the first and third year of their projects. These assessments are designed to determine the extent to which projects are using correctional practices that are aligned with recidivism reduction. Following the initial assessment, BSCC staff will provide training, technical assistance, and planning sessions as needed to assist grantees in increasing their capacities to deliver effective services known to reduce recidivism. See Appendix H for a description of this assessment process.

### **Audit**

The grantee must submit an audit of expenditures (either grant-specific or as part of a City/County single audit) within 180 days of the end of the grant period. Reasonable and necessary extensions to the due date may be granted, if requested. In addition, the BSCC reserves the right to require a financial audit any time between the execution of the grant agreement and 60 days after the end of the grant period.

### **Grantee Orientation Process**

BSCC staff will conduct a Grantee Orientation at the BSCC offices in Sacramento at a date to be determined, following the start of the grant period. The purpose of this **mandatory** session is to review the contract development process, on-line invoicing and budget modification system, data collection and reporting requirements, as well as other grant management and monitoring activities. MIOCR grant funds may be used to reimburse departments for travel-related expenditures such as airfare, mileage, meals, lodging, and other per diem costs. Applicants should include anticipated costs in the budget section of this application under the “Other” category.

## THE PROPOSAL PROCESS AND EVALUATION RATING FACTORS

### **Technical Review**

BSCC staff will conduct a technical review of each proposal to determine if it is in compliance with all technical requirements prior to being forwarded to the ESC for funding consideration. The format staff will utilize for the technical compliance review is provided as Appendix I.

It is the BSCC's intent to avoid having otherwise worthy proposals eliminated from consideration due to relatively minor and easily corrected errors/omissions. Applicants will therefore have an opportunity to respond to deficiencies identified during the technical review process, which will take place between Monday, April 6, 2015 and Monday, April 13, 2015. If necessary, applicants will be allowed to make non-substantive changes that would bring the proposal into technical compliance. Applicants will be notified on Tuesday, April 14, 2015 of any changes that are required and all non-substantive technical changes must be completed and submitted by 5:00 p.m. on Thursday, April 16, 2015.

*During this timeframe it is highly recommended that the applicant's designated "Contact Person" be available to discuss and correct any deficiencies. Proposals that fail to meet all technical requirements by 5:00 p.m. on Thursday, April 16, 2015 will be excluded from further consideration for funding.*

### **Merit Review**

The ESC will review and rate each proposal found to meet all technical requirements. The rating factors to be used and the maximum rating points allocated to each factor are shown on the next page. Each rating factor will be evaluated regarding the extent to which it is adequately addressed in the proposal.

Following this rating process, the ESC will forward its funding recommendations for adult and juvenile proposals to the BSCC Board, which will take action on the recommendations. It is currently anticipated the Board will act on the recommendations at their scheduled meeting on June 11, 2015.

***Applicants must not contact members of the ESC or the BSCC Board about their proposals.***

PROPOSAL EVALUATION RATING FACTORS	
EVALUATION FACTOR	MAXIMUM POINTS
Need Statement	50
Project Design	75
County Plan / Strategy	125
Collaboration	100
Probability of Success	40
Evaluation	25
Sustainability	30
Budget Appropriateness	30
Overall Proposal Quality	25
Preference Points: Match exceeds 25%	5
<b>TOTAL POINTS</b>	<b>505</b>

***PLEASE NOTE: THE THRESHOLD / MINIMUM SCORE REQUIRED FOR FUNDING CONSIDERATION IS 253 POINTS OR 50% OF THE 505 TOTAL POSSIBLE POINTS***

Proposal evaluation rating factors and criteria are provided in Appendix J.

### SUMMARY OF KEY DATES

ACTIVITY	TIMELINE
Release Request for Proposals (RFP) Solicitation	February 13, 2015
Grant Proposal/Application Due to the BSCC (COB)	April 3, 2015
Technical Compliance Review	April 6 - 13, 2015
BSCC Board Meeting for Funding Approval	June 11, 2015
Grants Begin/Contracts Commence	July 1, 2015
Grantee Orientation	TBD

**APPENDIX A**  
**CALIFORNIA PENAL CODE SECTION (PC§) 6045**

6045.

(a) The Board of State and Community Corrections shall administer mentally ill offender crime reduction grants on a competitive basis to counties that expand or establish a continuum of timely and effective responses to reduce crime and criminal justice costs related to mentally ill offenders. The grants administered under this article by the board shall be divided equally between adult and juvenile mentally ill offender crime reduction grants in accordance with the funds appropriated for each type of grant. The grants shall support prevention, intervention, supervision, and incarceration-based services and strategies to reduce recidivism and to improve outcomes for mentally ill juvenile and adult offenders.

(b) For purposes of this article, the following terms shall have the following meanings:

(1) "Board" means the Board of State and Community Corrections.

(2) "Mentally ill adult offenders" means persons described in subdivisions (b) and (c) of Section 5600.3 of the Welfare and Institutions Code.

(3) "Mentally ill juvenile offenders" means persons described in subdivision (a) of Section 5600.3 of the Welfare and Institutions Code.

6045.2.

(a) A county shall be eligible to apply for either an adult mentally ill offender grant or a juvenile mentally ill offender grant or both in accordance with all other provisions of this article. The board shall provide a separate and competitive grant application and award process for each of the adult and juvenile mentally ill offender crime reduction grant categories. The board shall endeavor to assist counties that apply for grants in both categories in meeting any grant submission requirements that may overlap between the two categories of grants.

(b) (1) A county that applies for an adult mentally ill offender grant shall establish a strategy committee to design the grant application that includes, at a minimum, the sheriff or director of the county department of corrections in a county where the sheriff does not administer the county jail system, who shall chair the committee, and representatives from other local law enforcement agencies, the chief probation officer, the county mental health director, a superior court judge, a former offender who is or has been a client of a mental health treatment facility, and representatives from organizations that can provide or have provided treatment or stabilization services for mentally ill offenders, including treatment, housing, income or job support, and caretaking.

(2) A county that applies for a juvenile mentally ill offender grant shall establish a strategy committee that includes, at a minimum, the chief probation officer who shall chair the committee, representatives from local law enforcement agencies, the county mental health director, a superior court judge, a client or former offender who has received juvenile mental health services, and representatives from organizations that can provide or have provided treatment or support services for mentally ill juvenile offenders, including therapy, education, employment, housing, and caretaking services.

(3) A county that applies for both types of grants may convene a combined strategy committee that includes the sheriff or jail administrator and the chief probation officer as co-chairs of the committee, as well as representation from the other agencies, departments, and disciplines designated in paragraphs (1) and (2) for both types of committees.

(c) The strategy committee shall develop and describe in its grant application a comprehensive county plan for providing a cost-effective continuum of responses and services for mentally ill adult offenders or mentally ill juvenile offenders, including prevention, intervention, and incarceration-based services, as appropriate. The plan shall describe how the responses and services included in the plan have been proven to be or are designed to be effective in addressing the mental health needs of the target offender population, while also reducing recidivism and custody levels for mentally ill offenders in adult or juvenile detention or correctional facilities. Strategies for prevention, intervention, and incarceration-based services in the plan shall include, but not be limited to, all of the following:

(1) Mental health and substance abuse treatment for mentally ill adult offenders or mentally ill juvenile offenders who are presently placed, incarcerated, or housed in a local adult or juvenile detention or correctional facility or who are under supervision by the probation department after having been released from a state or local adult or juvenile detention or correctional facility.

(2) Prerelease, reentry, continuing, and community-based services designed to provide long-term stability for juvenile or adult offenders outside of the facilities of the adult or juvenile justice systems, including services to support a stable source of income, a safe and decent residence, and a conservator or caretaker, as needed in appropriate cases.

(3) For mentally ill juvenile offender applications, one or more of the following strategies that has proven to be effective or has evidence-based support for effectiveness in the remediation of mental health disorders and the reduction of offending: short-term and family-based therapies, collaborative interagency service agreements, specialized court-based assessment and disposition tracks or programs, or other specialized mental health treatment and intervention models for juvenile offenders that are proven or promising from an evidence-based perspective.

(d) The plan as included in the grant application shall include the identification of specific outcome and performance measures and for annual reporting on grant performance and outcomes to the board that will allow the board to evaluate, at a minimum, the effectiveness of the strategies supported by the grant in reducing crime, incarceration, and criminal justice costs related to mentally ill offenders. The board shall, in the grant application process, provide guidance to counties on the performance measures and reporting criteria to be addressed in the application.

#### 6045.4.

(a) The application submitted by a county shall describe a four-year plan for the programs, services, or strategies to be provided under the grant. The board shall award grants that provide funding for three years. Funding shall be used to supplement, rather than supplant, funding for existing programs. Funds may be used to fund specialized alternative custody programs that offer appropriate mental health treatment and services.

(b) A grant shall not be awarded unless the applicant makes available resources in accordance with the instructions of the board in an amount equal to at least 25 percent of the amount of the grant. Resources may include in-kind contributions from participating agencies.

(c) In awarding grants, priority or preference shall be given to those grant applications that include documented match funding that exceeds 25 percent of the total grant amount.

6045.6. The board shall establish minimum requirements, funding criteria, and procedures for awarding grants, which shall take into consideration, but not be limited to, all of the following:

(a) The probable or potential impact of the grant on reducing the number or percent of mentally ill adult offenders or mentally ill juvenile offenders who are incarcerated or detained in local adult or

juvenile correctional facilities and, as relevant for juvenile offenders, in probation out-of-home placements.

(b) Demonstrated ability to administer the program, including any past experience in the administration of a prior mentally ill offender crime reduction grant.

(c) Demonstrated ability to develop effective responses and to provide effective treatment and stability for mentally ill adult offenders or mentally ill juvenile offenders.

(d) Demonstrated ability to provide for interagency collaboration to ensure the effective coordination and delivery of the strategies, programs, or services described in the application.

(e) Likelihood that the program will continue to operate after state grant funding ends, including the applicant's demonstrated history of maximizing federal, state, local, and private funding sources to address the needs of the grant service population.

6045.8.

(a) The board shall create an evaluation design for adult and juvenile mentally ill offender crime reduction grants that assesses the effectiveness of the program in reducing crime, adult and juvenile offender incarceration and placement levels, early releases due to jail overcrowding, and local criminal and juvenile justice costs. The evaluation design may include outcome measures related to the service levels, treatment modes, and stability measures for juvenile and adult offenders participating in, or benefitting from, mentally ill offender crime reduction grant programs or services.

(b) Commencing on October 1, 2015, and annually thereafter, the board shall submit a report to the Legislature based on the evaluation design, with a final report due on December 31, 2018.

(c) The reports submitted pursuant to this section shall be submitted in compliance with Section 9795 of the Government Code.

(d) Pursuant to Section 10231.5 of the Government Code, this section shall be repealed as of January 1, 2024.

6045.9. The board may use up to 5 percent of the funds appropriated for purposes of this article to administer this program, including technical assistance to counties and the development of the evaluation component.

**APPENDIX B**  
**WELFARE AND INSTITUTIONS CODE SECTION 5600.3**

5600.3. To the extent resources are available, the primary goal of the use of funds deposited in the mental health account of the local health and welfare trust fund should be to serve the target populations identified in the following categories, which shall not be construed as establishing an order of priority:

(a) (1) Seriously emotionally disturbed children or adolescents.

(2) For the purposes of this part, "seriously emotionally disturbed children or adolescents" means minors under the age of 18 years who have a mental disorder as identified in the most recent edition of the Diagnostic and Statistical Manual of Mental Disorders, other than a primary substance use disorder or developmental disorder, which results in behavior inappropriate to the child's age according to expected developmental norms. Members of this target population shall meet one or more of the following criteria:

(A) As a result of the mental disorder, the child has substantial impairment in at least two of the following areas: self-care, school functioning, family relationships, or ability to function in the community; and either of the following occur:

(i) The child is at risk of removal from home or has already been removed from the home.

(ii) The mental disorder and impairments have been present for more than six months or are likely to continue for more than one year without treatment.

(B) The child displays one of the following: psychotic features, risk of suicide or risk of violence due to a mental disorder.

(C) The child meets special education eligibility requirements under Chapter 26.5 (commencing with Section 7570) of Division 7 of Title 1 of the Government Code.

(b) (1) Adults and older adults who have a serious mental disorder.

(2) For the purposes of this part, "serious mental disorder" means a mental disorder that is severe in degree and persistent in duration, which may cause behavioral functioning which interferes substantially with the primary activities of daily living, and which may result in an inability to maintain stable adjustment and independent functioning without treatment, support, and rehabilitation for a long or indefinite period of time. Serious mental disorders include, but are not limited to, schizophrenia, bipolar disorder, post-traumatic stress disorder, as well as major affective disorders or other severely disabling mental disorders. This section shall not be construed to exclude persons with a serious mental disorder and a diagnosis of substance abuse, developmental disability, or other physical or mental disorder.

(3) Members of this target population shall meet all of the following criteria:

(A) The person has a mental disorder as identified in the most recent edition of the Diagnostic and Statistical Manual of Mental Disorders, other than a substance use disorder or developmental disorder or acquired traumatic brain injury pursuant to subdivision (a) of Section 4354 unless that person also has a serious mental disorder as defined in paragraph (2).

(B) (i) As a result of the mental disorder, the person has substantial functional impairments or symptoms, or a psychiatric history demonstrating that without treatment there is an imminent risk of decompensation to having substantial impairments or symptoms.

(ii) For the purposes of this part, "functional impairment" means being substantially impaired as the result of a mental disorder in independent living, social relationships, vocational skills, or physical condition.

(C) As a result of a mental functional impairment and circumstances, the person is likely to become so disabled as to require public assistance, services, or entitlements.

(4) For the purpose of organizing outreach and treatment options, to the extent resources are available, this target population includes, but is not limited to, persons who are any of the following:

(A) Homeless persons who are mentally ill.

(B) Persons evaluated by appropriately licensed persons as requiring care in acute treatment facilities including state hospitals, acute inpatient facilities, institutes for mental disease, and crisis residential programs.

(C) Persons arrested or convicted of crimes.

(D) Persons who require acute treatment as a result of a first episode of mental illness with psychotic features.

(5) California veterans in need of mental health services and who meet the existing eligibility requirements of this section, shall be provided services to the extent services are available to other adults pursuant to this section. Veterans who may be eligible for mental health services through the United States Department of Veterans Affairs should be advised of these services by the county and assisted in linking to those services.

(A) No eligible veteran shall be denied county mental health services based solely on his or her status as a veteran.

(B) Counties shall refer a veteran to the county veterans' service officer, if any, to determine the veteran's eligibility for, and the availability of, mental health services provided by the United States Department of Veterans Affairs or other federal health care provider.

(C) Counties should consider contracting with community-based veterans' services agencies, where possible, to provide high-quality, veteran specific mental health services.

(c) Adults or older adults who require or are at risk of requiring acute psychiatric inpatient care, residential treatment, or outpatient crisis intervention because of a mental disorder with symptoms of psychosis, suicidality, or violence.

(d) Persons who need brief treatment as a result of a natural disaster or severe local emergency.

**APPENDIX C**  
**RESOURCES: EFFECTIVE EVIDENCE-BASED PROGRAMS,  
PRACTICES, AND STRATEGIES**

The following Web site resources are provided as they may be useful to applicants in the proposal development process. The BSCC does not consider this list exhaustive and it is offered only as a starting point for applicants to use in researching evidence-based programs, practices, and strategies.

Blueprints for Violence Prevention

<http://www.colorado.edu/cspv/blueprints/index.html>

California Institute of Behavioral Health Solutions

<http://www.cibhs.org/evidence-based-practices-0>

Coalition for Evidence-Based Policy

<http://evidencebasedprograms.org/>

CrimeSolutions.gov

<http://www.crimesolutions.gov/>

Justice Research and Statistic Association

<http://www.jrsa.org/>

National Institute of Corrections

<http://nicic.gov/Library/>

National Institute of Justice, New Tool for Law Enforcement Executives

<http://nij.gov/five-things/>

National Reentry Resource Center

<http://nationalreentryresourcecenter.org/>

Office of Juvenile Justice and Delinquency Prevention Model Program Guide

<http://www.ojjdp.gov/mpg/>

Promising Practices Network

<http://www.promisingpractices.net/>

Reducing Recidivism to Increase Public Safety: A Cooperative Effort by Courts and Probation

<http://www.courts.ca.gov/documents/EVIDENCE-BASED-PRACTICES-Summary-6-27-11.pdf>

Substance Abuse and Mental Health Services Administration

[www.samhsa.gov/ebpwebguide](http://www.samhsa.gov/ebpwebguide)

Substance Abuse and Mental Health Services Administration (SAMHSA) National Registry of Evidence-Based Programs and Practices

<http://www.nrepp.samhsa.gov>

University of Cincinnati, Effective Programs/Curricula Recommendations

[http://www.bscc.ca.gov/downloads/Univ\\_of\\_Cincinnati\\_Curricula\\_Recommendations\\_Oct\\_2011.pdf](http://www.bscc.ca.gov/downloads/Univ_of_Cincinnati_Curricula_Recommendations_Oct_2011.pdf)

Washington State Institute for Public Policy

<http://www.wsipp.wa.gov/>

**APPENDIX D  
STATE OF CALIFORNIA: CONTRACT AND GENERAL TERM AND CONDITIONS**

***\*DRAFT CONTRACT: CHANGES IN PROGRESS\****

<NAME OF FUNDING AWARD>

This Grant Agreement is between the State of California,  
Board of State and Community Corrections, hereafter referred to as "BSCC"  
and  
County,

An entity duly organized, existing and acting pursuant to the laws of the State of California,  
hereafter referred to as the "Grantee".

The parties agree as follows:

**SECTION 1. PROJECT SUMMARY**

<Insert a brief synopsis of the project summary based on the Request for Proposals/Request for Applications>

**SECTION 2. ASSURANCES**

A. Grantee agrees to comply with all conditions of this Grant Agreement, all standard Grant Agreement conditions as contained in Exhibit A, all required assurances as contained in Exhibit B, general terms and conditions as contained in Exhibit C, and all budget items and conditions as contained in the Application for Funding/Grant Proposal, attached hereto and made part of this Grant Agreement.

B. Grantee agrees to comply with the financial and administration requirements set forth in the most current edition of the BSCC's *Grant Administration and Audit Guide: Federal and State Grants*.

**SECTION 3. PROJECT OFFICIALS**

A. The BSCC's Executive Director or designee shall be the BSCC's representative for administration of the Grant Agreement and shall have authority to make determinations relating to any controversies that may arise under or in connection with the interpretation, performance, or payment for work performed under this Grant Agreement. Disputes shall be resolved in accordance with the provisions of Exhibit A.

B. The Grantee's project officials shall be those identified as follows and as specified in Section 1 of the Application for Funding (i.e., Request for Proposals or Request for Applications):

*Authorized officer with legal authority to sign:*

NAME: <Enter information>  
TITLE: <Enter information>  
ADDRESS: <Enter information>  
TELEPHONE: <Enter information>  
FAX: <Enter information>  
EMAIL: <Enter information>

Designated financial officer authorized to receive warrants:

NAME: <Enter information>  
TITLE: <Enter information>  
ADDRESS: <Enter information>  
TELEPHONE: <Enter information>  
FAX: <Enter information>  
EMAIL: <Enter information>

C. Either party may change its project representatives upon written notice to the other party. Grant Project Contact Information Sheet is available on the BSCC's website at:  
[http://www.bscc.ca.gov/s\\_correctionsplanningandprograms.php](http://www.bscc.ca.gov/s_correctionsplanningandprograms.php).

#### SECTION 4. QUARTERLY PROGRESS REPORTS

A. Grantee will submit quarterly progress reports in a format prescribed by the BSCC. These reports, which will describe progress made on program objectives and include required data, shall be submitted according to the following schedule:

<u>Progress Reporting Periods</u>	<u>Due (Not Later Than):</u>
1. <Quarter 1 reporting period>	<Due date>
2. <Quarter 2 reporting period>	<Due date>
3. <Quarter 3 reporting period>	<Due date>
4. <Quarter 4 reporting period>	<Due date>

A. Grantee shall submit all other reports and data as required by the BSCC.

#### SECTION 5. QUARTERLY FINANCIAL INVOICES

A. The Grantee shall be paid in arrears by submitting an invoice (Form 201) to the BSCC that outlines actual expenditures claimed for the reporting period.

<u>Invoice Reporting Periods</u>	<u>Due (Not Later Than):</u>
1. <Quarter 1 reporting period>	<Due date>
2. <Quarter 2 reporting period>	<Due date>
3. <Quarter 3 reporting period>	<Due date>
4. <Quarter 4 reporting period>	<Due date>

B. An invoice is due to the BSCC even when grant funds are not expended during the reporting period (zero dollar request for reimbursement).

#### SECTION 6. GRANT AMOUNT AND LIMITATION

In no event shall the BSCC be obligated to pay any amount in excess of the grant award. Grantee waives any and all claims against the BSCC, and the State of California on account of project costs that may exceed the sum of the grant award.

#### SECTION 7. AVAILABILITY OF FUNDS

This Grant Agreement is valid and enforceable only if sufficient funds are made available by the Legislature. Grantee agrees that the BSCC's obligation to pay any sum to the Grantee under any provision of this agreement is contingent upon the availability of sufficient funds.

**SECTION 8. BUDGET**

<i>LINE ITEM</i>	<b>GRANT FUNDS</b>
<i>&lt;Determine line items required per funding stream/award&gt;</i>	
1. Salaries and Benefits	<b>\$0</b>
2. Services and Supplies	<b>\$0</b>
3. Professional Services	<b>\$0</b>
4. CBO Contracts	<b>\$0</b>
5. Indirect Costs	<b>\$0</b>
6. Fixed Assets/Equipment	<b>\$0</b>
7. Program Evaluation	<b>\$0</b>
8. Sustainability Plan	<b>\$0</b>
9. Other	<b>\$0</b>
<b>TOTAL</b>	<b>\$0</b>

**SECTION 9. SCOPE OF WORK**

Grantee agrees to implement and complete the project in accordance with the approved Application for Funding.

**SECTION 10. CONFLICTS BETWEEN DOCUMENT TERMS**

In the event of any inconsistency in the Grant Agreement, except as otherwise provided herein, the inconsistency shall be resolved by giving precedence in the following order:

- 1) Grant Agreement Sections 1 through 10
- 2) Exhibit A, Standard Conditions

**EXHIBIT A  
STANDARD CONDITIONS**

**ARTICLE 1. ASSIGNMENT**

This Agreement is not assignable by the Grantee, either in whole or in part, without the consent of the BSCC and the State of California in the form of a formal written amendment.

**ARTICLE 2. AMENDMENT**

No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties and approved as required. No oral understanding or agreement not incorporated in this Agreement is binding on any of the parties.

**ARTICLE 3. PROJECT COSTS**

- A. The BSCC's *Grant Administration and Audit Guide: Federal and State Grants* outlines eligible and ineligible project costs, as well as match and project income requirements. Grantee is responsible for ensuring that all invoices contain only eligible project costs.

**ARTICLE 4. GRANTEE'S GENERAL RESPONSIBILITY**

Grantee is responsible for the project activities identified in the original Application for Funding/Grant Proposal submitted to BSCC. Review and approval by the BSCC is solely for the purpose of proper administration of grant funds, and shall not be deemed to relieve or restrict the Grantee's responsibility.

**ARTICLE 5. GRANTEE ASSURANCES AND COMMITMENTS**

- A. Compliance with Laws and Regulations  
This Grant Agreement is governed by and shall be interpreted in accordance with the laws of the State of California. Grantee shall at all times comply with all applicable State laws, rules and regulations, and all applicable local ordinances.
- B. Fulfillment of Assurances and Declarations  
Grantee shall fulfill all assurances, declarations, representations, and statements made by the Grantee in the Application for Funding/Grant Proposal, documents, amendments, approved modifications, and communications filed in support of its request for grant funds.
- C. Use of Grant Funds
- 1) Grantee is responsible for ensuring that invoices submitted to the BSCC claim actual expenditures for eligible project costs. The BSCC's *Grant Administration and Audit Guide, Federal and State Grants* outlines eligible and ineligible project costs. Grantee shall, upon demand, remit to the BSCC any grant funds not expended for eligible project costs or an amount equal to any grant funds expended by the Grantee in violation of the terms, provisions, conditions or commitments of this Grant Agreement.
  - 2) Grant funds must be used to supplement existing funds for program activities and may not replace (supplant) non-State/grant funds that have been appropriated for the same purpose. Potential supplanting will be the subject of grant monitoring. Violations can result in a range of penalties (e.g. recoupment of monies provided under this grant, suspension of future program funding through BSCC grants, and civil/criminal penalties).
- D. Permits and Licenses  
Grantee agrees to procure all permits and licenses necessary to complete the project, pay all charges and fees, and give all notices necessary or incidental to the due and lawful proceeding of the project work.
- E. Contracting Requirements

In accordance with the provisions of this Grant Agreement, the Grantee may contract with consultants for services needed to implement and/or support program activities. Grantee agrees that in the event of any inconsistency between the Grant Agreement, its Exhibits and Grantee's agreement for services with a contractor, the Grant Agreement and its Exhibits will prevail. Grantee shall ensure that the contractor complies with all requirements of the Grant Agreement, including those related to records in Article 8.

Grantee assures that for any contract awarded by the Grantee, such insurance and fidelity bonds, as is customary and appropriate, will be obtained.

Grantee agrees to place appropriate language in all contracts for work on the project requiring the Grantee's contractors to:

- 1) Books and Records  
Maintain adequate fiscal and project books, records, documents, and other evidence pertinent to the contractor's work on the project in accordance with generally accepted accounting principles. Adequate supporting documentation shall be maintained in such detail so as to permit tracing transactions from the invoices, to the accounting records, to the supporting documentation. These records shall be maintained for a minimum of three (3) years after the acceptance of the final grant project audit under the Grant Agreement, and shall be subject to examination and/or audit by the BSCC or designees, state government auditors or designees, or by federal government auditors or designees.
- 2) Access to Books and Records  
Make such books, records, supporting documentations, and other evidence available to the BSCC or designee, the Department of General Services, the Department of Finance, the Bureau of State Audits, and their designated representatives during the course of the project and for a minimum of three (3) years after acceptance of the final grant project audit. The Contractor shall provide suitable facilities for access, monitoring, inspection, and copying of books and records related to the grant-funded project.
- 3) Non-discrimination Clause  
During the performance of this Agreement, Contractor and its subcontractors shall comply with all Federal and State statutes relating to non-discrimination, including but not limited to prohibitions against discrimination on the basis of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition, age or marital status.

## **ARTICLE 6. GRANTEE'S GENERAL RESPONSIBILITY**

Grantee is responsible for the project activities identified in the original Application for Funding/Grant Proposal submitted to BSCC. Review and approval by the BSCC is solely for the purpose of proper administration of grant funds, and shall not be deemed to relieve or restrict the Grantee's responsibility.

## **ARTICLE 7. PROJECT ACCESS**

Grantee shall ensure that the BSCC, or any authorized representative, will have suitable access to project activities, sites, staff and documents at all reasonable times during the grant period.

## **ARTICLE 8. RECORDS**

- A. The Grantee shall establish an official file for the project. The file shall contain adequate documentation of all actions taken with respect to the project, including copies of this Grant Agreement, approved program/budget modifications, financial records and required reports.
- B. The Grantee shall establish separate accounting records and maintain documents and other evidence sufficient to properly reflect the amount, receipt, and disposition of all project funds, including grant funds and any matching funds by the Grantee and the total cost of the project. Source

documentation includes copies of all awards, applications, approved modifications, financial records and narrative reports.

- C. Personnel and payroll records shall include the time and attendance reports for all individuals reimbursed under the grant, whether they are employed full-time or part-time. Time and effort reports are required for consultants (contractors).
- D. The grantee shall maintain documentation of donated goods and/or services, including the basis for valuation.
- E. Grantee agrees to protect records adequately from fire or other damage. When records are stored away from the Grantee's principal office, a written index of the location of records stored must be on hand and ready access must be assured.
- F. All Grantee records relevant to the project must be preserved a minimum of three (3) years after closeout of the grant project and shall be subject at all reasonable times to inspection, examination, monitoring, copying, excerpting, transcribing, and auditing by the BSCC or designees. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular three-year period, whichever is later.

#### **ARTICLE 9. ACCOUNTING AND AUDIT REQUIREMENTS**

- A. Grantee agrees that accounting procedures for grant funds received pursuant to this Grant Agreement shall be in accordance with generally accepted government accounting principles and practices, and adequate supporting documentation shall be maintained in such detail as to provide an audit trail. Supporting documentation shall permit the tracing of transactions from such documents to relevant accounting records, financial reports and invoices.
- B. The BSCC reserves the right to call for a program or financial audit at any time between the execution of this Grant Agreement and 60 days following the end of the grant period. At any time, the BSCC may disallow all or part of the cost of the activity or action determined to not be in compliance with the terms and conditions of this Grant Agreement, or take other remedies legally available.

#### **ARTICLE 10. CHANGES**

- A. Grantee shall immediately advise the BSCC of any significant problems or changes that arise during the course of the project.
- B. No change or modification in the project will be permitted without prior written approval from the BSCC. Changes may include modification to project scope, changes to performance measures, compliance with collection of data elements, and other significant changes in the budget or program components contained in the Application for Funding. Changes shall not be implemented by the project until authorized by the BSCC.
- C. Under no circumstances will any budget item changes be authorized which would cause the project to exceed the amount of the grant award identified in this Grant Agreement. Further, in no event shall changes be authorized for the Indirect Costs/Administrative Overhead line item that would result in that item exceeding ten percent (10%) of the grant award.

#### **ARTICLE 11. DISBURSEMENT**

The Grantee shall be paid in arrears on invoices submitted to the BSCC on the forms or processes determined by the BSCC, certifying the accuracy of the reports in accordance with generally accepted governmental accounting principles and BSCC regulations, guidelines, policies and procedures.

## **ARTICLE 12. WITHHOLDING OF GRANT DISBURSEMENTS**

- A. The BSCC may withhold all or any portion of the grant funds provided by this Grant Agreement in the event that the Grantee has materially and substantially breached the terms and conditions of this Grant Agreement.
- B. At such time as the balance of state funds allocated to the Grantee reaches five percent (5%), the BSCC shall withhold that amount as security, to be released to the Grantee upon compliance with all grant provisions, including: 1) submittal and approval of the final invoice; 2) submittal and approval of the final progress report; 3) submittal and approval of any additional required reports; and 4) submittal and approval of the final audit.
- C. The BSCC will not reimburse Grantee for costs identified as ineligible for grant funding. If grant funds have been provided for costs subsequently discovered to be ineligible, the BSCC may either withhold an equal amount from future payments to the Grantee or require repayment of an equal amount to the State by the Grantee.
- D. In the event that grant funds are withheld from the Grantee, the BSCC's Executive Director or designee shall notify the Grantee of the reasons for withholding and advise the Grantee of the time within which the Grantee may remedy the failure or violation leading to the withholding.

## **ARTICLE 13. TERMINATION**

- A. This Grant Agreement may be terminated at any time by the BSCC, where it appears that there will be lack of grant funds available to fulfill this Grant Agreement, provided that after such termination, the Grantee shall be entitled to an amount that equals the eligible project costs that have been incurred by the Grantee prior to such termination.
- B. This Grant Agreement may be terminated after the award of the Grant Agreement but prior to completion of the project, by the BSCC, upon action or inaction by the Grantee that constitutes a material and substantial breach of this Grant Agreement. Such action or inaction by the Grantee includes but is not limited to:
  - 1) Substantial alteration of the scope of the grant project without the prior written approval of the BSCC;
  - 2) Refusal or inability to complete the grant project in a manner consistent with the Application for Funding/Grant Proposal or approved modifications;
  - 3) Failure to provide the required local match share of the total project costs.
  - 4) Failure to meet prescribed assurances, commitments, Grant Agreement, and recording, accounting, auditing, and reporting requirements.
- C. Prior to terminating the Grant Agreement under this provision, the BSCC shall provide the Grantee at least 30 days written notice stating the reasons for termination and effective date thereof. The Grantee may appeal the termination decision in accordance with Article 14.

## **ARTICLE 14. DISPUTES**

- A. Grantee shall continue with the responsibilities under this Agreement during any dispute.
- B. The Grantee may appeal a BSCC staff decision on the basis of alleged misapplication, capricious interpretation of the regulations, policies and procedures, or substantial differences of opinion concerning the proper application of regulations, policies or procedures.
- C. If the Grantee is dissatisfied with an action of BSCC staff, the Grantee may appeal to the Deputy Director of the Corrections Planning and Programs Division of the BSCC. Such appeals shall be filed within 30 calendar days of the notification of action with which the Grantee is dissatisfied. The appeal shall be in writing, and shall:

- State the basis for the dissatisfaction;
  - State the action being requested of the Deputy Director; and,
  - Include any correspondence/documentation related to the cause for dissatisfaction.
- D. The Deputy Director will review the correspondence and related documentation and render a decision on the appeal within 30 calendar days, except in those cases where the Grantee withdraws or abandons the appeal. The procedural time requirement may be waived with the mutual consent of the Grantee and the Deputy Director.
- E. The Deputy Director may render a decision based on the correspondence and related documentation submitted by the Grantee and may consider other relevant sources of information deemed appropriate. The decision of the Deputy Director shall be in writing and shall provide the rationale for the decision.
- F. If the Grantee is dissatisfied with the decision of the Deputy Director, the Grantee may file a request for review by the BSCC Executive Director. Such a request shall be filed within 30 calendar days after receipt of the Deputy Director's decision. The requested review shall be in writing, and shall:
- State the basis for the dissatisfaction;
  - State the action being requested of the Executive Director; and
  - Include any correspondence/documentation related to the appeal.
- G. The Executive Director, after reviewing the appeal and the correspondence related to the review, may decide the matter on the record or request additional information. After a decision is made by the Executive Director, notice of the decision shall be mailed to the Grantee. The decision of the Executive Director shall be final.

#### **ARTICLE 15. WAIVER**

The parties hereto may waive any of their rights under this Grant Agreement unless such waiver is contrary to law, provided that any such waiver shall be in writing and signed by the party making such waiver.

**EXHIBIT B**  
**GENERAL TERMS AND CONDITIONS**

1. APPROVAL: This Agreement is of no force or effect until signed by both parties and approved by the Department of General Services, if required. Contractor may not commence performance until such approval has been obtained.
2. AMENDMENT: No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties and approved as required. No oral understanding or Agreement not incorporated in the Agreement is binding on any of the parties.
3. ASSIGNMENT: This Agreement is not assignable by the Contractor, either in whole or in part, without the consent of the State in the form of a formal written amendment.
4. AUDIT: Contractor agrees that the awarding department, the Department of General Services, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. Contractor agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated. Contractor agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Contractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (Gov. Code §8546.7, Pub. Contract Code §10115 et seq., CCR Title 2, Section 1896).
5. INDEMNIFICATION: Contractor agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by Contractor in the performance of this Agreement.
6. DISPUTES: Contractor shall continue with the responsibilities under this Agreement during any dispute.
7. TERMINATION FOR CAUSE: The State may terminate this Agreement and be relieved of any payments should the Contractor fail to perform the requirements of this Agreement at the time and in the manner herein provided. In the event of such termination the State may proceed with the work in any manner deemed proper by the State. All costs to the State shall be deducted from any sum due the Contractor under this Agreement and the balance, if any, shall be paid to the Contractor upon demand.
8. INDEPENDENT CONTRACTOR: Contractor, and the agents and employees of Contractor, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of the State.
9. RECYCLING CERTIFICATION: The Contractor shall certify in writing under penalty of perjury, the minimum, if not exact, percentage of post-consumer material as defined in the Public Contract Code Section 12200, in products, materials, goods, or supplies offered or sold to the State regardless of whether the product meets the requirements of Public Contract Code Section 12209. With respect to printer or duplication cartridges that comply with the requirements of Section 12156(e), the certification required by this subdivision shall specify that the cartridges so comply (Pub. Contract Code §12205).
10. NON-DISCRIMINATION CLAUSE: During the performance of this Agreement, Contractor and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of age, ancestry, color, disability (mental and physical), exercising the right to family care and medical leave, gender, gender expression, gender identity, genetic information, marital status, medical condition, military or veteran status, national origin, political affiliation, race, religious creed, sex (includes pregnancy, childbirth, breastfeeding and related medical conditions), and sexual orientation.. Contractor and subcontractors shall insure that the evaluation and treatment of their employees

and applicants for employment are free from such discrimination and harassment. Contractor and subcontractors shall comply with the provisions of the Fair Employment and Housing Act [Gov. Code §12990 (a-f) et seq.] and the applicable regulations promulgated there under (California Code of Regulations, Title 2, Section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof as if set forth in full. Contractor and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other Agreement.

Contractor shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the Agreement.

11. CERTIFICATION CLAUSES: The CONTRACTOR CERTIFICATION CLAUSES contained in the document CCC 307 are hereby incorporated by reference and made a part of this Agreement by this reference as if attached hereto.

12. TIMELINESS: Time is of the essence in this Agreement.

13. COMPENSATION: The consideration to be paid Contractor, as provided herein, shall be in compensation for all of Contractor's expenses incurred in the performance hereof, including travel, per diem, and taxes, unless otherwise expressly so provided.

14. GOVERNING LAW: This contract is governed by and shall be interpreted in accordance with the laws of the State of California.

15. ANTITRUST CLAIMS: The Contractor by signing this agreement hereby certifies that if these services or goods are obtained by means of a competitive bid, the Contractor shall comply with the requirements of the Government Code Sections set out below.

a. The Government Code Chapter on Antitrust claims contains the following definitions:

1) "Public purchase" means a purchase by means of competitive bids of goods, services, or materials by the State or any of its political subdivisions or public agencies on whose behalf the Attorney General may bring an action pursuant to subdivision (c) of Section 16750 of the Business and Professions Code. 2) "Public purchasing body" means the State or the subdivision or agency making a public purchase. Government Code Section 4550.

b. In submitting a bid to a public purchasing body, the bidder offers and agrees that if the bid is accepted, it will assign to the purchasing body all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act [Chapter 2 (commencing with Section 16700) of Part 2 of Division 7 of the Business and Professions Code], arising from purchases of goods, materials, or services by the bidder for sale to the purchasing body pursuant to the bid. Such assignment shall be made and become effective at the time the purchasing body tenders final payment to the bidder. Government Code Section 4552.

c. If an awarding body or public purchasing body receives, either through judgment or settlement, a monetary recovery for a cause of action assigned under this chapter, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the public body any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the public body as part of the bid price, less the expenses incurred in obtaining that portion of the recovery. Government Code Section 4553.

d. Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under this part if the assignor has been or may have been injured by the violation of law for which the cause of action arose and (a) the assignee has not been injured thereby, or (b) the assignee declines to file a court action for the cause of action. See Government Code Section 4554.

16. CHILD SUPPORT COMPLIANCE ACT: For any Agreement in excess of \$100,000, the contractor acknowledges in accordance with Public Contract Code 7110, that:

a. The contractor recognizes the importance of child and family support obligations and shall fully comply with all applicable state and federal laws relating to child and family support enforcement including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with section 5200) of Part 5 of Division 9 of the Family Code; and

b. The contractor, to the best of its knowledge is fully complying with the earnings assignment orders of all employees and is providing the names of all new employees to the New Hire Registry maintained by the California Employment Development Department.

17. UNENFORCEABLE PROVISION: In the event that any provision of this Agreement is unenforceable or held to be unenforceable, then the parties agree that all other provisions of this Agreement have force and effect and shall not be affected thereby.

18. PRIORITY HIRING CONSIDERATIONS: If this Contract includes services in excess of \$200,000, the Contractor shall give priority consideration in filling vacancies in positions funded by the Contract to qualified recipients of aid under Welfare and Institutions Code Section 11200 in accordance with Pub. Contract Code §10353.

19. SMALL BUSINESS PARTICIPATION AND DVBE PARTICIPATION REPORTING REQUIREMENTS:

a. If for this Contract Contractor made a commitment to achieve small business participation, then Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) report to the awarding department the actual percentage of small business participation that was achieved. (Govt. Code § 14841.)

b. If for this Contract Contractor made a commitment to achieve disabled veteran business enterprise (DVBE) participation, then Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) certify in a report to the awarding department: (1) the total amount the prime Contractor received under the Contract; (2) the name and address of the DVBE(s) that participated in the performance of the Contract; (3) the amount each DVBE received from the prime Contractor; (4) that all payments under the Contract have been made to the DVBE; and (5) the actual percentage of DVBE participation that was achieved. A person or entity that knowingly provides false information shall be subject to a civil penalty for each violation. [Mil. & Vets. Code § 999.5(d); Govt. Code § 14841.]

20. LOSS LEADER:

If this contract involves the furnishing of equipment, materials, or supplies then the following statement is incorporated: It is unlawful for any person engaged in business within this state to sell or use any article or product as a "loss leader" as defined in Section 17030 of the Business and Professions Code. [PCC 10344(e).]

**APPENDIX E  
SAMPLE RESOLUTION OF THE GOVERNING BOARD**

Each grantee must submit a resolution from their Governing Board that includes, at a minimum, the assurances outlined in the sample below. Applicants are encouraged to submit the Resolution with their proposal. Awardees must have a resolution on file before a fully executed grant agreement can be completed.

WHEREAS the *(insert name of applicant, county department)* desires to participate in the Mentally Ill Offender Crime Reduction Grant Program, funded through the State Recidivism Reduction Fund and administered by the Board of State and Community Corrections (hereafter referred to as BSCC).

NOW, THEREFORE, BE IT RESOLVED that the *(insert title of designated official)* is authorized on behalf of this Governing Board to submit the grant proposal for this funding and sign the Grant Agreement with the BSCC, including any amendments thereof.

BE IT FURTHER RESOLVED that state grant funds received hereunder shall not be used to supplant expenditures controlled by this body.

BE IT FURTHER RESOLVED that *(insert county department)* agrees to provide all matching funds required for said project and abide by the statutes and regulations governing the State Grants Program (including General Terms and Condition 610) as well as the terms and conditions of the Grant Agreement as set forth by the BSCC.

Passed, approved, and adopted by the Governing Board of *(name of board)* in a meeting thereof held on *(insert date)* by the following:

Ayes:

Notes:

Absent:

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

ATTEST: Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

## APPENDIX F EXAMPLES OF ELIGIBLE AND INELIGIBLE PROJECT COSTS

### **Eligible Project Costs**

The following project-related costs are eligible for reimbursement if paid for with grant funds. These costs may also be claimed as match. Grantees must maintain adequate supporting documentation for all costs, both grant and match, claimed on invoices.

1. Salaries and benefits for project staff;
2. Services and supplies directly associated with the project;
3. Travel necessary for the success of the project;
  - In-state travel costs incurred by city/county employees will be reimbursed in accordance with city/county travel policy. In-state travel costs incurred by staff of community-based organizations or other subcontractors will be reimbursed in accordance with the State of California's travel policy.
  - Out-of-state travel is restricted and only allowed in exceptional situations. Grantees must obtain prior approval from the BSCC for any out-of-state travel by submitting an out-of-state travel justification, detailing travel agenda and scope. The justification must be complete and show the benefits to the project in terms of the relationship to the projects goals, objectives, and activities.
4. Professional or consultant services, including services provided by community-based organizations and auditing agencies, associated with the project. Any services provided must meet all state and local licensing requirements;
5. Fixed assets necessary for the project. Note: The expenditure of grant funds for fixed assets exceeding \$2,000 per item requires prior approval from the BSCC. The project manager must submit a written declaration that the equipment to be purchased is: 1) to be used for services directly associated with the project, 2) essential to the success of the project, and 3) less expensive than leasing or renting the equipment for the grant period (based on a thorough investigation of lease and rental options);
6. Lease payments for office space and/or equipment needed for the project;
7. Miscellaneous costs for stipends, transportation, books and supplies, special equipment, job related/training materials, and apprenticeship costs for program participants;
8. Purchase or lease of a vehicle necessary for the project. Note: The expenditure of grant funds to purchase or lease a vehicle requires prior approval from the BSCC. The project manager must submit a request describing the need for the vehicle, the anticipated impact on the project if the request is not approved, and the agency that will operate the vehicle, provide insurance, and assume liability; and
9. Indirect costs necessary to the operation of the organization and performance of the project. The cost of operating and maintaining facilities, depreciation, and administrative salaries are examples of indirect costs. The percentage of federal funds that can be expended on indirect costs varies by program and is stipulated in the grant agreement.

### **Ineligible Project Costs**

Ineligible project costs include but are not limited to:

1. Site acquisition and/or construction costs;
2. Fixed assets over \$2,000 per item, unless the BSCC approves a written declaration from the Project Manager as described under Eligible Project Costs;

3. Supplanting existing programs, projects, resources, or personnel;
4. Personal injury compensation or damages arising out of or connected with the project, whether determined by adjudication, arbitration, negotiation, or otherwise;
5. Fines and penalties due to violation of or failure to comply with federal, state, or local laws and ordinances;
6. Costs outside the scope of the approved project or activities not directly related to the approved project;
7. Interest on bonds or any other form of indebtedness required to finance project costs;
8. All costs incurred in violation of the terms, provisions, conditions, or commitments of the grant agreement;
9. All costs arising out of or attributable to grantee's malfeasance, misfeasance, mismanagement or negligence;
10. All costs arising out of or connected with subcontract claims against the grantee, or those persons for whom the grantee may be vicariously liable, including, but not limited to, any and all costs related to defense or settlement of such claims;
11. Guns, ammunition, and body armor;
12. Use of grant funds to "buy-out" unused sick leave, vacation/administrative leave time not accrued during the grant period. Grant funds may only be used to "buy-out" any period of time an employee was assigned to the program and paid with grant fund;
13. Use of grant funds for out-of-state travel, unless approved by BSCC on a case-by-case basis;
14. Bonuses or commissions;
15. Purchase of military-type of equipment;
16. Lobbying activities;
17. Fund raising activities; and
18. Costs incurred outside the grant period.

**APPENDIX G**  
**BSCC MONITORING / SITE VISIT REPORT TEMPLATE**

**ADMINISTRATIVE REVIEW**

**Section 1- General**

1. Does the project have a copy of the fully executed Standard Agreement in the official file?
2. Does the project have a copy of the Grant Administration and Audit Guide in the official file?
3. Does the agency have an organizational chart for each department involved with the program?
4. Does the project maintain duty statements for staff paid with grant funds?  
\*Duty statements must be specific to the activities performed in relationship to the grant.
5. Does the project maintain time sheets on all staff charged to the grant?
6. Does the project maintain functional timesheets or conduct time studies for split-funded positions?  
\*Estimates and/or percentages are not acceptable.
7. Can salaries and benefits be easily tied back to reimbursement invoices?
8. Does the project verify that salaries and benefits are not also claimed or reimbursed under another separate agreement or funding stream?
9. Are all authorized positions filled and performing grant-related duties?
10. Are there any anticipated changes to staff or the project? If yes, explain:
11. Does this grant provide for contracted services?
12. Are copies of the subcontract awards contained within the official project file?
13. Do subcontracts contain the required language (i.e., access to program and fiscal records, access to facility, access to program participants, Non-Discrimination clause, Civil Rights compliance)? If no, what is missing/incomplete?
14. What type of documentation detail does the agency keep for contractor service delivery billing (e.g., client sign-in logs, time/duration of services)?
15. Are copies of project budget modifications contained in the official file?
16. Were there any substantial modifications made that were not approved by the BSCC?
17. Did the project provide a Fidelity Bond, if applicable?
18. Does the grantee have a sustainability plan to continue service delivery after grant funds expire? If yes, what sources for continuation funds are already secured, leveraged or possible?

**Section 2 – Civil Rights Compliance** *(as applicable to state funded programs)*

19. Does the grantee have an Equal Employment Opportunity Plan (EEO) on file for review? If yes, on what date did the grantee prepare the EEO?
20. Has the grantee submitted an EEO Short Form to the Office for Civil Rights (OCR), U.D. Department of Justice (DOJ), if applicable?
21. How does the grantee notify program participants and beneficiaries that it does not discriminate on the basis of race, color, national origin, religion, sex, disability, and age in the delivery of services (e.g., posters, inclusion in program brochures, program materials, etc.)?

22. How does the grantee notify employees that it does not discriminate on the basis of race, color, national origin, religion, sex, disability, and age in the delivery of services (e.g., posters, dissemination of relevant orders or policies, recruitment materials, etc.)?
23. Are there written policies or procedures in place for notifying program beneficiaries how to file complaints alleging discrimination by the grantee with the BSCC or the OCR?
24. If the grantee has 50 or more employees and receives DOJ funding of \$25,000 or more, has the grantee:
  - a. Adopted grievance procedures that incorporate due process standards and provide for prompt and equitable resolution of complaints alleging a violation of DOJ regulations prohibits discrimination on the basis of a disability in employment practices and the delivery of services?
  - b. Designated a person to coordinate compliance with prohibitions against disability discrimination?
  - c. Notified participants, beneficiaries, employees, applicants, and others that the grantee does not discriminate on the basis of disability?
25. If the grantee operates an education program or activity, have they taken the following actions?
  - a. Adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations which prohibits discrimination on the basis of sex?
  - b. Designated a person to coordinate compliance with the prohibitions against sex discrimination?
  - c. Notified applicants for admission and employment, employees, students, parents, and others that the grantee does not discriminate on the basis of sex in its educational programs or activities?
26. Has the grantee complied with the requirement to submit to the OCR any findings of discrimination against the grantee issued by a federal or state court, or federal or state administering agency, on the grounds of race, color, religion, national origin, or sex?
27. What steps have been taken to provide meaningful access to its programs and activities to person who have limited English proficiency (LEP)? Include whether the grantee has developed a written policy on providing language access services to LEP persons.
28. Are training conducted for its employees on the requirements under federal civil rights laws?
29. If the grantee conducts religious activities as part of its program or services, do they:
  - a. Provide services to everyone regardless of religion or religious belief?
  - b. Ensure it does not use federal funds to conduct inherently religious activities (such as prayer, religious instruction, or attempt to convert participants to another religion) and that such activities are kept separate in time or place from federally-funded activities?
  - c. Ensure participation in religious activities is voluntary for beneficiaries of federally-funded programs?

## **FISCAL REVIEW**

1. Does the agency maintain an official budget file for the project?
2. Are there written fiscal policies and procedures?
3. Do the procedures provide for internal control processes for:

- a. Agreement receipts and deposits?
- b. Agreement disbursements?
- c. Invoicing including how amounts are computed for BSCC invoices?
4. Are financial invoices current?
5. Are copies of the invoices for reimbursement within the official file?
6. Do fiscal accounting records reviewed contain adequate supporting documentation for all claims on invoices?
7. Does the source documentation reviewed appear to support amounts invoiced?
8. Does the program/agency maintain supporting documentation or calculation overview for the administrative overhead line item?
9. Do expenditures appear to meet contract eligibility, as defined in the BSCC Contract Administration and Audit Guide?
10. Are BSCC contract funds deposited into separate fund accounts or coded to distinguish grant funds from other fund sources?
11. Does the agency maintain a tracking system for the receipts and disbursements related to the grant program?
  - a. Are the tracking reports reviewed by management and/or program staff?
  - b. How are discrepancies, if any, investigated and resolved?
12. Can the project/agency provide general ledgers documenting the entries for receipts and disbursements?
13. Did the project purchase or lease equipment/fixed assets with contract funds during the monitoring period?
  - a. If the equipment/fixed assets purchased were more than \$2,000 per item, is there an approval of purchase by the BSCC?
  - b. Was the equipment in the budget or in a Budget Modification?
  - c. Is there an inventory list of equipment/fixed assets purchased with grant funds?
  - d. Does the project maintain proof of receipt of goods?
14. Does the project verify that expenditures submitted for grant reimbursement are not also claimed/reimbursed under another separate agreement or funding stream?
15. Does the project comply with the match requirement?
  - a. If the project is currently under-matched, is there a plan to meet the contractually obligated match amount?
16. Does the project generate income from grant funds?
  - a. If yes, has the project submitted a Project Income Reporting form?
  - b. If project income is generated, will any be reverted to the BSCC?
17. Does the project conduct desk audits of subcontract agencies?
18. Does the project require subcontract agencies to submit source documentation with their billing invoice?
19. What type of audit will the project submit?
20. Does the agency have audit reports covering the agency's internal control structure within the last two years?

## **PROGRAM REVIEW**

1. Does the project maintain source documentation (e.g. case records, files, sign-up sheets, etc.) for the clients served?
2. Do the project records reviewed provide sufficient detail to support information reported in Progress Reports?
3. Are Progress Reports current?
4. Has the project experienced operational or service delivery problems?

## **PROGRAM DATA AND OUTCOMES**

1. What is the plan for collecting and evaluating data to measure performance and outcomes of project activity?
2. Who is the contact person responsible for collecting and evaluating the data?
3. Are there any preliminary findings or evidence of project impact?

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## **APPENDIX H**

### **ASSESSMENT OF EFFECTIVE CORRECTIONAL PRACTICES**

Recent legislative changes have required the BSCC to assume new roles and responsibilities in providing leadership to local agencies and service providers, identifying information and data regarding evidence-based practices (EBP), and providing technical assistance concerning the implementation of effective correctional practices known to reduce recidivism. To support these efforts, the BSCC sought the assistance of Dr. Edward Latessa from the University of Cincinnati, a nationally recognized EBP expert, to train and certify BSCC staff in the use of an assessment tool called the Evidence-based Correctional Program Checklist (CPC).

The CPC is a tool developed by the University of Cincinnati for assessing correctional intervention programs. It is used to ascertain how closely correctional projects meet the known principles of effective intervention correlated to a reduction in recidivism. The CPC is applicable to a wide range of programs (adult, juvenile, community, institutional, etc.). All of the indicators included in the CPC are correlated with reductions in recidivism and the assessment process helps agencies understand the relationship between program integrity and recidivism reduction. The results of the assessment are obtained relatively quickly; usually the assessment takes a day or two onsite with each project and a follow-up report is generated within a few weeks. The report identifies both the strengths and weaknesses of a program, and provides specific recommendations designed to increase effectiveness.

Grantees awarded MIOCR funding may receive a CPC assessment by certified BSCC staff in the first and third years of their project. Once the assessment is completed and scored, evaluators will produce a report which provides feedback on what is working well and areas of needed improvement. The report will also detail specific recommendations which can act as a blueprint for future growth, improving program integrity, and increasing effectiveness. It is not the intention of the BSCC to use the information contained in the CPC report to hold projects accountable to a standard outside of the MIOCR grant agreement, nor will the results of the CPC have any impact on grant funding. The goal of the process is to provide feedback and recommendations for project staff to consider when attempting to align their correctional practices with recidivism reduction. Follow-up training and technical assistance sessions will be provided to MIOCR projects; focus will be on the report recommendations, identifying effective correctional practices, prioritizing need areas and developing action plans with each agency to systematically address such needs.

The CPC is divided into two basic areas: content and capacity; these two areas cover a total of five domains. The capacity area is designed to measure the capability of the program to deliver evidence-based interventions and services to offenders. There are three domains within the capacity area including: Leadership and Development; Staff; and Quality Assurance. The content area focuses on how well the program meets the principles of risk, need, responsivity, and treatment, and covers the two domains of Offender Assessment and Treatment. Listed below are some of the indicators within each domain associated with the CPC.

#### **PROGRAM LEADERSHIP AND DEVELOPMENT DOMAIN**

This section examines such issues as: the project director's education level and experience; involvement in hiring, supervision, and training; provision of direct services; use of research and pilot programming; and funding.

### STAFF CHARACTERISTICS DOMAIN

This section examines such issues as: qualifications of staff who work in offender treatment programs; clinical supervision provided to staff running groups/classes or providing interventions; educational level or certification of the supervisor; staff meetings; and new and ongoing staff training.

### OFFENDER ASSESSMENT DOMAIN

This section examines such issues as: inclusion and exclusion criteria for program participants, use of risk, need, and responsivity assessments, and the risk level of the offenders served by the program.

### TREATMENT CHARACTERISTICS

This section examines such issues as: needs or behaviors targeted; treatment modalities used; length of program; use of manuals; hours of structured therapeutic tasks; services to low-risk offenders; intensity of treatment; assignment of offenders to staff and services; use of rewards and punishers; progression criteria; structured skill building; program completion; services to family members; discharge planning, and aftercare.

### QUALITY ASSURANCE

This section examines such issues as: quality assurance mechanisms; measurement of offender progress; recidivism rates; formal outcome evaluations; and ongoing research and evaluation of program.

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The BSCC believes the CPC assessment process, as well as the follow-up report, recommendations, and technical assistance will be helpful to grantees in advancing their local efforts to implement effective correctional practices aimed at reducing recidivism. Additionally, a re-assessment in the third year will provide valuable feedback to grantees on gains made over time and support each project's long-range plan to develop a justice investment strategy that is consistent with the statewide goal of improved public safety through cost-effective, promising and evidence-based practices for managing criminal justice populations.

**APPENDIX I  
TECHNICAL COMPLIANCE REVIEW**

**Proposal Submission-**

- Application was received at the BSCC by 5:00 p.m., Friday, April 3, 2015.
- Package includes 1 original signed proposal marked “Original Copy” and seven copies of the application submittal.
- Proposal is on 8 ½ ” x 11” single-sided white paper.
- Copies are assembled separately, each fastened in the upper left corner with a binder clip, each is 3-hole punched and all are packaged together with a rubber band.

**Section I: Applicant Information-**

- Section I was completed with all required information.
- Section I was signed by an authorized representative of the county.
- Project Abstract is within the 1-page limit.

**Sections II - VIII: Proposal Narratives-**

- BSCC format has been followed: Arial 12-point font, 1.5 line spaced, one inch margins.
- Proposal narrative sections do not exceed 20 pages in totality (excluding a single graph/chart page, if applicable, Attachment A).

**Section IX: Proposed Budget-**

- Requested funding is under \$950,000.
- If not, is narrative provided stating why the requested grant amount is over the “targeted cap”/funding request guideline?
- Budget chart and line item totals for 3-Year Grant Budget Table are:
  - complete, identified in whole dollars;
  - are calculated accurately for column and row totals; and
  - the total grant funds requested and proposed match amount equals the amounts provided in Section I, (B) & (C).
- The Indirect Cost/Administrative Overhead line item does not exceed 10% of the state grant fund requested.
- Match is documented at a minimum of 25 percent (25%) of the grant funds requested.
- Budget chart and line item totals for Year 1 Grant Budget Table are:
  - complete, identified in whole dollars; and
  - are calculated accurately for column and row totals.
- Budget narrative is provided and includes both grant funds requested and match funding information.
- Ten (10) funding and/or revenue streams are provided.

**Section X: Proposed Timeline-**

- Section was completed.

**Section XI: Strategy Committee’s Collaborative Efforts-**

- Strategy Committee information has been submitted and:
  - Is comprised of required representatives;
  - Members are identified by name, title and organization; and
  - Collaborative Efforts narrative does not exceed 2 single-sided pages.
  - Committee member sign-in sheets for Strategy Committee are provided as Attachment B.

**APPENDIX J**  
**MIOCR GRANT PROPOSAL RATING CRITERIA**

**Need Statement – Maximum 50 points**

The proposal describes the probable/potential impact of the grant on reducing the number or percent of mentally ill adult offenders or mentally ill juvenile offenders who are incarcerated or detained in local adult or juvenile correctional facilities and, as relevant for juvenile offenders, in probation out-of-home placements. The proposal identifies the local need(s) to be addressed with grant funds and demonstrates the need(s) by including local data to support the described impact. The proposal describes how the program shall support prevention, intervention, supervision, and/or incarceration-based services and strategies to reduce recidivism and to improve outcomes for mentally ill juvenile and adult offenders. Additionally, the proposal explains why existing resources, both state and local, are inadequate to address the identified need.

**Project Design - Maximum 75 points**

The proposal describes how the project would demonstrate the ability to develop effective responses and to provide effective treatment and stability for mentally ill adult offenders or mentally ill juvenile offenders based on evidence-based treatment models, specific services to be provided, where and when service delivery would occur, and who would provide these services (i.e., project staff). The proposal identifies the project's target population and program eligibility criteria (e.g., estimated number and type of offenders to be served, criminal history, diagnostic categories, etc.). The proposal communicates a direct and well-articulated relationship/nexus between the project design and identified need(s).

**County Plan / Strategy - Maximum 125 points**

The proposal describes a comprehensive county plan for providing a cost-effective continuum of responses and services for mentally ill adult offenders or mentally ill juvenile offenders, including prevention, intervention, and incarceration-based services, as appropriate; cite research to support the proposed services' cost-effectiveness within the criminal and juvenile justice system. The plan must describe how the responses and services included in the plan have been proven to be or are designed to be effective in addressing the mental health needs of the target offender population, while also reducing recidivism and custody levels for mentally ill offenders in adult or juvenile detention or correctional facilities. Strategies for prevention, intervention, and incarceration-based services in the plan shall include, but are not be limited to, all of the following:

- (1) Mental health and substance abuse treatment for mentally ill adult offenders or mentally ill juvenile offenders who are presently placed, incarcerated, or housed in a local adult or juvenile detention or correctional facility or who are under supervision by the probation department after having been released from a state or local adult or juvenile detention or correctional facility.
- (2) Prerelease, reentry, continuing, and community-based services designed to provide long-term stability for juvenile or adult offenders outside of the facilities of the adult or juvenile justice systems, including services to support a stable source of income, a safe and decent residence, and a conservator or caretaker, as needed in appropriate cases.
- (3) For mentally ill juvenile offender applications, one or more of the following strategies that has proven to be effective or has evidence-based support for effectiveness in the remediation of mental health disorders and the reduction of offending: short-term and family-based therapies, collaborative interagency service agreements, specialized court-based assessment and disposition tracks or programs, or other specialized mental health treatment and intervention models for juvenile offenders that are proven or promising from an evidence-based perspective.

The plan shall include the identification of specific outcome and performance measures and for annual reporting on grant performance and outcomes to the board that will allow the board to evaluate, at a minimum, the effectiveness of the strategies supported by the grant in reducing crime, incarceration, and criminal justice costs related to mentally ill offenders.

Plans include a justice reinvestment strategy, illustrating a data-driven approach to improve public safety, reduce corrections and related criminal and juvenile justice spending, and reinvest savings in strategies that decrease crime and reduce recidivism.

**Collaboration - Maximum 100 points**

The proposal demonstrates the applicant's ability to provide for interagency collaboration to ensure the effective coordination and delivery of the strategies, programs, and/or services described in the application. The proposal describes the coordinated planning process undertaken by the local Strategy Committee to develop the proposal. The proposal includes evidence that ongoing collaboration among the Strategy Committee participants (i.e., agencies/community-based organizations) will continue in the implementation and operation of the project as well as describing each entity's role in the 4-year project and beyond. The proposal describes the applicant's involvement in other collaborative efforts involving treatment and support services for mentally ill offenders. In addition, the proposal provides dates and times of the Strategy Committee meetings and includes key decisions made, including but not limited to implementation and sustainability planning.

**Probability of Success - Maximum 40 points**

The proposal demonstrates the applicant's ability to administer the proposed grant project, including any past experience in the administration of a prior mentally ill offender crime reduction grant. The proposal describes the likelihood the project would succeed due to the proven effectiveness of its design for the target population and includes evidence of research-based results. The proposal illustrates the applicant's demonstrated history of maximizing federal, state, local, and private funding sources to address the needs of the grant service population. This includes implementing and managing grant-funded projects in an efficient, effective and evidence-based manner. In addition, the timeline of activities for the proposed project is reasonable, given the nature and scope provided.

**Evaluation - Maximum 25 points**

The proposal describes project goals, the strategy/methodology for evaluating whether or not the project objectives were achieved, the plan for collecting data that supports the evaluation goals, and the manner in which the project evaluation will be documented and reported such as assessing the effectiveness of the program in reducing crime, adult and juvenile offender incarceration and placement levels, early releases due to jail overcrowding, and local criminal and juvenile justice costs. The proposal describes measures to be used to show successful outcomes, in addition to those provided in the application.

**Sustainability - Maximum 30 points**

The proposal clearly describes how the program will be funded during the fourth year including a list of those funding source(s). The proposed project illustrates the likelihood that the program will continue to operate after state grant funding ends, including the applicant's demonstrated history of maximizing federal, state, local, and private funding sources to address the needs of the grant service population.

**Budget Appropriateness - Maximum 30 points**

The proposal includes sufficient detail regarding how state grant and match funds will be expended to implement and operate the proposed project. The proposal provides justification that the amount of grant funds requested is reasonable and appropriate given the proposed project's design and scope, and describes other funding streams that may be used to support the proposed project. The proposal must name the sources to be applied as matching funds and describe how these sources of match will be utilized for the success of the proposed project.

**Overall Proposal Quality Maximum 25 points**

The proposal presents information in a clear, well-organized, concise, and compelling manner.

**Preference Points (if match exceeds the 25% minimum) – 5 points**

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## APPLICATION INSTRUCTIONS

Proposal Sections I, IX, X, and XI are to be completed by submitting the required information in the tables and fields provided within the application.

Proposal Sections II through VIII are to be completed in the narrative format provided and may not exceed **20 pages** in total (excluding a graph/chart, single page addendum provided as Attachment A, if desired). It is at the discretion of the Strategy Committee to determine how to utilize the total page limit in addressing each narrative section; however, as a guide, the Committee may want to review the point value weight given to each narrative section in the rating factor table on the previous page. These sections are set in Arial 12-point font, 1.5 line spaced, one inch margins in a fill-in format; proposal submittals must be single-sided pages on plain white 8 ½" x 11" paper. Applications that deviate from the BSCC format will automatically be disqualified from the process.

In addition to the proposal narrative sections, Section XI: Strategy Committee's Collaborative Efforts must be completed and will be a part of the "Collaboration" evaluation rating factor and scored as such. This section includes the Strategy Committee Membership and Collaborative Efforts (2-page maximum) subsections. As part of meeting this section's requirement, Strategy Committee member sign-in sheets for the meetings listed should accompany this application as Attachment B.

The applicant must submit **one original signed and seven copies** of the proposal, and the 'Original Copy' must be marked as such. Copies of the proposal must be assembled as separate packets and individually fastened in the upper left corner with a binder clip. All proposals are to be three-hole punched and all copy packages bound together by rubber bands. Do not bind proposals. No staples are to be used. Any costs incurred to develop and submit the proposal are entirely the responsibility of the applicant and shall not be charged to the State of California.

A proposal packet includes:

- Sections I through XI, completed
- Attachment A (referenced graphs/charts; single-page), if applicable
- Attachment B (Strategy Committee Meeting sign-in sheets), mandatory
- Board of Supervisors' Resolution, if available prior to application submission

## SECTION I: APPLICANT INFORMATION

### A. APPLICANT/DEPARTMENT IMPLEMENTING THE GRANT

COUNTY:	COLLABORATING COUNTY (if applicable):		
IMPLEMENTING AGENCY	DUN AND BRADSTREET NUMBER	TELEPHONE NUMBER	
STREET ADDRESS	CITY	STATE	ZIP CODE
MAILING ADDRESS	CITY	STATE	ZIP CODE

### B. GRANT AMOUNT REQUESTED

### C. PROPOSED MATCH AMOUNT

\$	\$
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### D. APPLICANT PROJECT DIRECTOR

NAME AND TITLE	TELEPHONE NUMBER		
STREET ADDRESS	FAX NUMBER		
CITY	STATE	ZIP CODE	E-MAIL ADDRESS

### E. APPLICANT PROJECT FINANCIAL OFFICER

NAME AND TITLE	TELEPHONE NUMBER		
STREET ADDRESS	FAX NUMBER		
CITY	STATE	ZIP CODE	E-MAIL ADDRESS

### F. APPLICANT DAY-TO-DAY CONTACT PERSON

NAME AND TITLE	TELEPHONE NUMBER		
EMAIL ADDRESS			

### G. APPLICANT'S AGREEMENT

By signing this application, the applicant assures that the grantee will abide by the laws, policies, and procedures governing this funding.

NAME AND TITLE OF PERSON AUTHORIZED TO SIGN AGREEMENT	
APPLICANT'S SIGNATURE	DATE

## PROJECT ABSTRACT

Please provide a brief summary of the proposed project in the space provided below; narrative must not be more than a single page in length.

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## NARRATIVE SECTIONS

Note: Sections II – VIII are to be completed in a narrative format (see instructions on page 35). Rating factors will be evaluated regarding the extent to which a proposal adequately addresses the topics listed under the section titles below. If a sub-element does not apply, the applicant should clearly state as such and provide the reason. Omission or lack of clarity for any section is likely to result in a reduction of allowable points. The total combined page limit for narrative Sections II – VIII is **20** pages within the required format; these sections begin on page 51.

### SECTION II: NEEDSTATEMENT

*Address the following in narrative form:*

The proposal describes the probable/potential impact of the grant on reducing the number or percent of mentally ill adult offenders or mentally ill juvenile offenders who are incarcerated or detained in local adult or juvenile correctional facilities and, as relevant for juvenile offenders, in probation out-of-home placements. The proposal identifies the local need(s) to be addressed with grant funds and demonstrates the need(s) by including local data to support the described impact. The proposal describes how the program shall support prevention, intervention, supervision, and/or incarceration-based services and strategies to reduce recidivism and to improve outcomes for mentally ill juvenile and adult offenders. Additionally, the proposal explains why existing resources, both state and local, are inadequate to address the identified need.

*If graphs and/or charts are necessary to provide information for this section, the applicant may attach one (1) additional single-sided 8 ½" x 11" sheet of paper containing only graphs/charts (Attachment A); references to any graphs/charts must be clearly identified in the narrative.*

### SECTION III: PROJECT DESIGN

*Address the following in narrative form:*

The proposal describes how the project would demonstrate the ability to develop effective responses and to provide effective treatment and stability for mentally ill adult offenders or mentally ill juvenile offenders based on evidence-based treatment models, specific services to be provided, where and when service delivery would occur, and who would provide these services (i.e., project staff). The proposal identifies the project's target population and program eligibility criteria (e.g., estimated number and type of offenders to be served, criminal history, diagnostic categories, etc.). The proposal communicates a direct and well-articulated relationship/nexus between the project design and identified need(s).

### SECTION IV: COUNTY PLAN / STRATEGY

*Address the following in narrative form:*

The proposal describes a comprehensive county plan for providing a cost-effective continuum of responses and services for mentally ill adult offenders or mentally ill juvenile offenders, including prevention, intervention, and incarceration-based services, as appropriate; cite research to support the proposed services' cost-effectiveness within the criminal and juvenile justice system. The plan must describe how the responses and services included in the plan have been proven to be or are designed to be effective in addressing the mental health needs of the target offender population, while also reducing recidivism and custody levels for mentally ill offenders in adult or juvenile detention or correctional facilities. Strategies for prevention, intervention, and incarceration-based services in the plan shall include, but are not be limited to, all of the following:

- (1) Mental health and substance abuse treatment for mentally ill adult offenders or mentally ill juvenile offenders who are presently placed, incarcerated, or housed in a local adult or juvenile

detention or correctional facility or who are under supervision by the probation department after having been released from a state or local adult or juvenile detention or correctional facility.

(2) Prerelease, reentry, continuing, and community-based services designed to provide long-term stability for juvenile or adult offenders outside of the facilities of the adult or juvenile justice systems, including services to support a stable source of income, a safe and decent residence, and a conservator or caretaker, as needed in appropriate cases.

(3) For mentally ill juvenile offender applications, one or more of the following strategies that has proven to be effective or has evidence-based support for effectiveness in the remediation of mental health disorders and the reduction of offending: short-term and family-based therapies, collaborative interagency service agreements, specialized court-based assessment and disposition tracks or programs, or other specialized mental health treatment and intervention models for juvenile offenders that are proven or promising from an evidence-based perspective.

The plan shall include the identification of specific outcome and performance measures and for annual reporting on grant performance and outcomes to the board that will allow the board to evaluate, at a minimum, the effectiveness of the strategies supported by the grant in reducing crime, incarceration, and criminal justice costs related to mentally ill offenders.

Plans include a justice reinvestment strategy, illustrating a data-driven approach to improve public safety, reduce corrections and related criminal and juvenile justice spending, and reinvest savings in strategies that decrease crime and reduce recidivism.

## **SECTION V: COLLABORATION**

*Address the following in narrative form:*

The proposal demonstrates the applicant's ability to provide for interagency collaboration to ensure the effective coordination and delivery of the strategies, programs, and/or services described in the application. The proposal describes the coordinated planning process undertaken by the local Strategy Committee to develop the proposal. The proposal includes evidence that ongoing collaboration among the Strategy Committee participants (i.e., agencies/community-based organizations) will continue in the implementation and operation of the project as well as describing each entity's role in the 4-year project and beyond. The proposal describes the applicant's involvement in other collaborative efforts involving treatment and support services for mentally ill offenders. In addition, the proposal provides dates and times of the Strategy Committee meetings and includes key decisions made, including but not limited to implementation and sustainability planning.

## **SECTION VI: PROBABILITY OF SUCCESS**

*Address the following in narrative form:*

The proposal demonstrates the applicant's ability to administer the proposed grant project, including any past experience in the administration of a prior mentally ill offender crime reduction grant. The proposal describes the likelihood the project would succeed due to the proven effectiveness of its design for the target population and includes evidence of research-based results. The proposal illustrates the applicant's demonstrated history of maximizing federal, state, local, and private funding sources to address the needs of the grant service population. This includes implementing and managing grant-funded projects in an efficient, effective and evidence-

based manner. In addition, the timeline of activities for the proposed project is reasonable, given the nature and scope provided.

## **SECTION VII: EVALUATION**

*Address the following in narrative form:*

The proposal describes project goals, the strategy/methodology for evaluating whether or not the project objectives were achieved, the plan for collecting data that supports the evaluation goals, and the manner in which the project evaluation will be documented and reported such as assessing the effectiveness of the program in reducing crime, adult and juvenile offender incarceration and placement levels, early releases due to jail overcrowding, and local criminal and juvenile justice costs. The proposal describes measures to be used to show successful outcomes, in addition to those provided in the application.

## **SECTION VIII: SUSTAINABILITY**

*Address the following in narrative form:*

The proposal clearly describes how the program will be funded during the fourth year including a list of those funding source(s). The proposed project illustrates the likelihood that the program will continue to operate after state grant funding ends, including the applicant's demonstrated history of maximizing federal, state, local, and private funding sources to address the needs of the grant service population.

**NARRATIVE SECTIONS II – VIII MUST NOT EXCEED A TOTAL OF 20 PAGES**

**SECTION II: NEED STATEMENT**

**SECTION III: PROJECT DESIGN**

**SECTION IV: COUNTY PLAN / STRATEGY**

**SECTION V: COLLABORATION**

**SECTION VI: PROBABILITY OF SUCCESS**

**SECTION VII: EVALUATION**

**SECTION VIII: SUSTAINABILITY**

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## SECTION IX: PROPOSED BUDGET

The proposal includes sufficient detail regarding how state grant and match funds will be expended to implement and operate the proposed project. The proposal provides justification that the amount of grant funds requested is reasonable and appropriate given the proposed project's design and scope, and describes other funding streams that may be used to support the proposed project. The proposal must name the sources to be applied as matching funds and describe how these sources of match will be utilized for the success of the proposed project.

- A. BUDGET LINE ITEM TABLES:** Complete the following table, **using whole numbers**, for the grant funds being requested ("targeted cap" / funding request guideline of \$950,000) for the 3-Year grant period (July 1, 2015 to June 30, 2018).

While recognizing agencies may use different line items in the budget process, the line items below represent how the BSCC will require grantees to report expenditures via its invoicing system. Match funds may be expended in any line item, and must be identified as to their respective dollar amounts and source of the match. The 'Other' category funds should be budgeted for travel purposes for one mandatory grantee briefing meeting (*to be held in Sacramento, date TBA*) as well as other proposed travel.

Applicants projecting to utilize grant funds for Indirect Costs / Administrative Overhead may not use more than 10% of the state grant funds for this line item.

Applicants must provide a minimum **25 percent (25%) match**; of the grant funds requested. Matching funds may be met through cash, in-kind, or a combination of both.

All funds shall be used consistent with the requirements of the BSCC Grant Administration and Audit Guide, July 2012(<http://www.bscc.ca.gov/resources>).

Please verify total grant funds requested and total match amounts  
as columns and rows do not auto-calculate.

**3-YEAR GRANT BUDGET TABLE**

PROPOSED BUDGET LINE ITEMS	GRANT FUNDS	CASH MATCH	IN-KIND MATCH	TOTAL
1. Salaries and Benefits				
2. Services and Supplies				
3. Professional Services				
4. Community-Based Organization (CBO) Contracts				
5. Indirect Costs / Administrative Overhead(may not exceed 10% of grant award)				
6. Fixed Assets/Equipment				
7.Data Collection / Enhancement				
8. Program Evaluation				
9. Sustainability Planning				
10. Other(include travel costs)				
<b>TOTAL</b>				

**REQUESTED 3-YEAR GRANT TOTAL EXCEEDS THE “TARGETED CAP” OF \$950,000**

Provide a brief justification (4-5 sentences) for exceeding the targeted cap / funding request guideline.

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Complete the following table, **using whole numbers**, for the grant funds anticipated to be expended during the first year of the grant (July 1, 2015 to June 30, 2016).

Please verify total grant funds requested and total match amounts as columns and rows do not auto-calculate.

**YEAR 1 GRANT BUDGET TABLE**

PROPOSED BUDGET LINE ITEMS	GRANT FUNDS	CASH MATCH	IN-KIND MATCH	TOTAL
1. Salaries and Benefits				
2. Services and Supplies				
3. Professional Services				
4. Community-Based Organization (CBO) Contracts				
5. Indirect Costs / Administrative Overhead(may not exceed 10% of grant award)				
6. Fixed Assets/Equipment				
7.Data Collection / Enhancement				
8. Program Evaluation				
9. Sustainability Planning				
10. Other(include travel costs)				
<b>TOTAL</b>				

**B. BUDGET TABLE LINE ITEM DETAILS:**

The proposal must provide sufficient detail in each category below regarding how state grant and match funds will be expended to implement and operate the proposed project as identified in the Year 1 Grant Budget Table (above). The proposal must provide justification that the amount of grant funds requested is reasonable and appropriate given the proposed project's design and scope, and describes other funding streams that may be used to support the proposed project. The proposal must name the sources to be applied as matching funds and describe how these sources of match will be utilized for the success of the proposed project. In addition, an outline of Year 2 and Year 3 proposed budget spending must be provided. If a budget line item and/or match category is not applicable for the proposed project, complete with N/A.

**1. SALARIES AND BENEFITS (e.g., number of staff, classification/title, salary and benefits)**

Requested Grant Funds Year 1: \$ \_\_\_\_\_ Matching Funds Year 1: \$ \_\_\_\_\_

Narrative: \_\_\_\_\_

Match Source(s): \_\_\_\_\_

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures: \_\_\_\_\_

**2. SERVICES AND SUPPLIES (e.g., office supplies and training costs)**

Requested Grant Funds Year 1: \$ \_\_\_\_\_ Matching Funds Year 1: \$ \_\_\_\_\_

Narrative: \_\_\_\_\_

Match Source(s): \_\_\_\_\_

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures: \_\_\_\_\_

**3. PROFESSIONAL SERVICES: (e.g., consultative services - include name of consultants or providers)**

Requested Grant Funds Year 1: \$ \_\_\_\_\_ Matching Funds Year 1: \$ \_\_\_\_\_

Narrative: \_\_\_\_\_

Match Source(s): \_\_\_\_\_

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures: \_\_\_\_\_

**4. COMMUNITY-BASED ORGANIZATION CONTRACTS (e.g., detail of services - provide name of CBO)**

Requested Grant Funds Year 1: \$ \_\_\_\_\_ Matching Funds Year 1: \$ \_\_\_\_\_

Narrative: \_\_\_\_\_

Match Source(s): \_\_\_\_\_

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures: \_\_\_\_\_

**5. INDIRECT COSTS / ADMINISTRATIVE OVERHEAD: Indicate percentage and methodology for calculation. In the “Grant Funds” column of the previous table, this total may not exceed 10% of the total funds requested. In the “Match Funds” column of the previous table, agencies may expend up to their Indirect Cost Rate (over and above 10%) for match funds supported by state or local dollars.**

Requested Grant Funds Year 1: \$ \_\_\_\_\_ Matching Funds Year 1: \$ \_\_\_\_\_

Narrative: \_\_\_\_\_

Match Source(s): \_\_\_\_\_

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures: \_\_\_\_\_

**6. FIXED ASSETS / EQUIPMENT (e.g., computers, other office equipment necessary to perform project activities)**

Requested Grant Funds Year 1: \$ \_\_\_\_\_ Matching Funds Year 1: \$ \_\_\_\_\_

Narrative: \_\_\_\_\_

Match Source(s): \_\_\_\_\_

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures:

**7. DATA COLLECTION /ENHANCEMENT (e.g., programming services, data analysis)**

Requested Grant Funds Year 1: \$  Matching Funds Year 1: \$

Narrative:

Match Source(s):

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures:

**8. PROGRAM EVALUATION (e.g., evaluator, materials)**

Requested Grant Funds Year 1: \$  Matching Funds Year 1: \$

Narrative:

Match Source(s):

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures:

**9. SUSTAINABILITY PLANNING**

Requested Grant Funds Year 1: \$  Matching Funds Year 1: \$

Narrative:

Match Source(s):

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures:

**10. OTHER (e.g., travel expenses)**

Requested Grant Funds Year 1: \$  Matching Funds Year 1: \$

Narrative:

Match Source(s):

Outline of Year 2 and Year 3 Line Item Proposed Budget Expenditures:

**Funding Streams Utilized by the County / County Collaborative**

Provide ten (10) funding streams and/or revenues available to the applicant that may be utilized for investing in or leveraging dollars for maximum benefit to the proposed project and 4-year strategic plan.

<input type="text"/>

<input type="text"/>







**B. COLLABORATIVE EFFORTS:** List the dates and times the Strategy Committee met to collaborate on the local MIOCR plan and key decisions made during those meetings, including but not limited to implementation and sustainability planning. **This subsection may not exceed two (2) single-sided pages in length.**

As part of this section, provide Strategy Committee Member sign-in sheets, marked as Attachment B, as part of the complete RFP packet.



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