



## **Adult Reentry Grant Program**

### **REQUEST FOR PROPOSALS**

**Amended Budget Attachments April 4, 2022**

**Eligible Applicants:** California  
Nonprofit Community-Based Organizations

**Grant Period:** October 1, 2022 to April 30, 2026

**RFP Released:** February 11, 2022  
**Letters of Intent Due:** March 11, 2022  
**Proposals Due:** April 8, 2022



## Table of Contents

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<b>Part I: Grant Information</b> .....	<b>1</b>
<b>Background</b> .....	<b>1</b>
<b>Contact Information</b> .....	<b>1</b>
<b>Proposal Due Date and Submission Instructions</b> .....	<b>2</b>
<b>Bidder's Conference</b> .....	<b>2</b>
<b>Letter of Intent to Apply</b> .....	<b>3</b>
<b>Executive Steering Committee</b> .....	<b>3</b>
<b>Description of the Grant</b> .....	<b>4</b>
<b>Sub-Applications</b> .....	<b>8</b>
<b>Eligible Activities</b> .....	<b>8</b>
<b>Funding Information</b> .....	<b>10</b>
<b>Use of Effective Programs</b> .....	<b>10</b>
<b>Reducing Racial and Ethnic Disparity</b> .....	<b>11</b>
<b>General Grant Requirements</b> .....	<b>11</b>
<b>Project Evaluation Requirements</b> .....	<b>14</b>
<b>Overview of the RFP Process</b> .....	<b>16</b>
<b>Scoring Process</b> .....	<b>17</b>
<b>Part II: Rental Assistance Sub-Proposal Instructions</b> .....	<b>20</b>
<b>Rental Assistance Sub-Proposal Package Coversheet</b> .....	<b>21</b>
<b>Rental Assistance Sub-Proposal Checklist</b> .....	<b>22</b>
<b>Rental Assistance Applicant Information Form: Instructions</b> .....	<b>23</b>
<b>Rental Assistance Sub-Applicant Information Form</b> .....	<b>24</b>
<b>Instructions for Proposal Narrative and Project Budget for Rental Assistance Sub-Proposal</b>	<b>26</b>
<b>Attachment A: Rental Assistance Sub-Proposal Work Plan</b> .....	<b>30</b>
<b>Part III: Warm Handoff and Reentry Services Sub-Proposal Instructions</b> .....	<b>32</b>
<b>Warm Handoff and Reentry Services Sub-Proposal Package Coversheet</b> .....	<b>33</b>
<b>Warm Handoff and Reentry Services Sub-Proposal Checklist</b> .....	<b>34</b>
<b>Warm Handoff and Reentry Services Applicant Information Form: Instructions</b> .....	<b>35</b>
<b>Warm Handoff and Reentry Services Sub-Applicant Information Form</b> .....	<b>37</b>
<b>Instructions for Proposal Narrative and Project Budget for Warm Handoff and Reentry Services Sub-Proposal</b> .....	<b>39</b>
<b>Attachment A: Warm Handoff and Reentry Services Sub-Proposal Work Plan</b> .....	<b>43</b>
<b>Appendices</b> .....	<b>45</b>
<b>Appendix A: Assembly Bill 128</b> .....	<b>46</b>
<b>Appendix B: Executive Steering Committee Roster</b> .....	<b>47</b>
<b>Appendix C: Welf. &amp; Inst. Code, §§ 8255-8257.2</b> .....	<b>48</b>

<b>Appendix D: Glossary of Terms and Resources.....</b>	<b>58</b>
<b>Appendix E: Sample Grant Agreement.....</b>	<b>63</b>
<b>Appendix F: Certification of Compliance with BSCC Policies Regarding Debarment, Fraud, Theft, and Embezzlement .....</b>	<b>84</b>
<b>Appendix G: Assurance of Government Organizations Commitment.....</b>	<b>85</b>
<b>Appendix H: Sample Governing Board Resolution .....</b>	<b>86</b>
<b>Appendix I: Local Evaluation Plan and Report .....</b>	<b>87</b>
<b>Appendix J: Example of BSCC Comprehensive Monitoring Visit Tool .....</b>	<b>93</b>

**CONFIDENTIALITY NOTICE:**

All documents submitted as a part of the Adult Reentry Grant Program proposal are public documents and may be subject to a request pursuant to the California Public Records Act. The BSCC cannot ensure the confidentiality of any information submitted in or with this proposal.

(Gov. Code, §§ 6250 et seq.)

## Part I: Grant Information

### Background

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The Adult Reentry Grant (ARG) Program provides funding for community-based organizations to deliver reentry services for people formerly incarcerated in state prison. ARG was established in the 2018 Budget Act (Senate Bill 840, Chapter 29, Statutes of 2018) and received additional funding through the Budget Act of 2019 (Assembly Bill 74, Chapter 23, Statutes of 2019) and the Budget Act of 2020 (Assembly Bill 89, Chapter 7, Statutes of 2020). A total of 115 projects have been awarded \$105,727,500 in funding since ARG was implemented.

The Budget Act of 2021 (Assembly Bill 128, Chapter 21, Statutes of 2021) (Appendix A) appropriated \$67,000,000 to award competitive grants for community-based organizations (CBOs) to support individuals formerly incarcerated in state prison.

The \$67,000,000 is to be allocated as follows:

- \$31,825,000 shall be available for rental assistance. Priority shall be given to individuals released to state parole.
- \$31,825,000 shall be available to support the warm handoff and reentry of offenders transitioning from state prison to communities. Priority shall be given to individuals released to state parole.
- Up to 5% (\$3,350,000) shall be available to the Board of State and Community Corrections for costs to administer the grant programs.

This Request for Proposals (RFP) will address funding available for the Rental Assistance and Warm Handoff and Reentry Services components of the grant.

### Contact Information

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This RFP provides the information necessary to prepare separate sub-proposals to the Board of State and Community Corrections (BSCC) for grant funds available through the Adult Reentry Grant Program. Applicants may apply for funding through one or both of the following sub-applications:

- Rental Assistance
- Warm Handoff and Reentry Services

The BSCC staff cannot assist the applicant or its partners with the actual preparation of a sub-proposal. Any technical questions concerning the RFP, the proposal process or programmatic issues must be submitted by email to: [ARGCohort3@bscc.ca.gov](mailto:ARGCohort3@bscc.ca.gov).

The BSCC will accept and respond to written questions about this RFP until April 1, 2022. A frequently asked questions (FAQs) and answers document will be posted to the BSCC website and updated periodically through April 5, 2022.

## Proposal Due Date and Submission Instructions

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Proposals must be received by **5:00 P.M. on Friday, April 8, 2022**. Applicants must ensure the sub-proposal package is signed with a digital **OR** a wet blue ink signature that is then scanned with the completed sub-proposal package. Email the complete proposal package to: [ARGCohort3@bscc.ca.gov](mailto:ARGCohort3@bscc.ca.gov).

A complete proposal package will include:

- One (1) Portable Document Format (PDF) file that contains the Proposal Narrative and all required attachments (see ARG Proposal Checklist).
- An Excel version of the Budget Attachment (Budget Tables and Budget Narrative). Do not submit the Budget Attachment in a PDF version.

**NOTE:** If the BSCC does not receive an email containing the complete, signed sub-proposal package on or before 5:00 P.M. (PST) on Friday, April 8, 2022, the sub-proposal package **will not** be considered for funding.

## Bidder's Conference

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Prospective applicants are invited but not required to attend a virtual Bidder's Conference. Attendance at the virtual Bidders' Conference is not a requirement. The purpose of this Bidder's Conference is to answer technical questions from prospective bidders (applicants) and provide clarity on RFP instructions. Topics may include, but are not limited to, proposal submission instructions, eligibility, funding, and an overview of the evaluation requirements. There is no preference given to applicants who attend the Bidders' Conference. Details are listed below:

### Adult Reentry Grant Program - Cohort III Virtual Bidders' Conference

Thursday, March 3, 2022 at 1:30 P.M.

#### Join by Zoom:

- <https://us02web.zoom.us/j/85181161849?pwd=YTV2YmpTQmZiclQvbVdoZkVjTk5PUT09>
- Meeting ID: 851 8116 1849

#### Call In:

- 1-669-900-9128
- Meeting ID: 851 8116 1849 | Passcode: 888084

## Letter of Intent to Apply

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Applicants interested in applying for the Adult Reentry Grant Program are asked, but not required, to submit a non-binding Letter of Intent to Apply. These letters will aid the BSCC in planning for the proposal review process. Please submit the letter in Microsoft Word or as a PDF.

There is no formal template for the Letter of Intent, but it should be submitted via email and include the following information:

- Name of the applicant entity;
- Name and title of a contact person with the applicant entity;
- A brief statement indicating which sub-proposal(s) the applicant intends to submit (e.g., Rental Assistance and/or Warm Handoff and Reentry Services)

Failure to submit a Letter of Intent to Apply is not grounds for disqualification. Prospective applicants that submit a Letter of Intent to Apply and decide later not to apply will not be penalized. Please email your non-binding Letter of Intent to Apply by **Friday, March 11, 2022**. Please identify the email subject line as “ARG Letter of Intent to Apply” and submit the letter to [ARGCohort3@bscc.ca.gov](mailto:ARGCohort3@bscc.ca.gov).

## Executive Steering Committee

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### Adult Reentry Grant Program Executive Steering Committee

To ensure successful program design and implementation, the BSCC uses Executive Steering Committees to inform decision making related to the Board’s programs. BSCC’s Executive Steering Committees (ESCs) are composed of subject matter experts and stakeholders representing both the public and private sectors. The BSCC makes every attempt to include diverse representation on its ESCs, in breadth of experience, geography and demographics.

ESCs are convened and approved by the BSCC Board, as the need arises, to carry out specified tasks, including the development of RFPs for grant funds. ESCs submit grant award recommendations to the BSCC Board and the Board then approves, rejects, or revises those recommendations. Members of the ESCs are not paid for their time but are reimbursed for travel expenses incurred to attend meetings.

Pursuant to AB 128, the BSCC was required to form an ESC with members from relevant state agencies and departments with expertise in public health, housing, workforce development, and effective rehabilitative treatment for people returning from prison to develop grant-program criteria and make recommendations to the board regarding grant awards. Representatives were to include but were not limited to the:

- Department of Housing and Community Development;
- Office of Health Equity, California Department of Public Health;
- County Probation;
- Representatives of reentry-focused community-based organizations;
- Criminal justice impacted individuals; and
- Representatives of housing-focused community-based organizations.

Throughout the ESC process, there have been opportunities for stakeholder and public input into the development of the Adult Reentry grant program. For a list of ESC members see (Appendix B) of this RFP.

### Conflicts of Interest

Existing law prohibits any grantee, subgrantee, partner or like party who participated on the Adult Reentry Grant Program ESC from receiving funds awarded under this RFP. Applicants who are awarded grants under this RFP are responsible for reviewing the Adult Reentry Grant Program ESC membership roster and ensuring that no grant dollars are passed through to any entity represented by any member of the Adult Reentry Grant Program ESC.

## Description of the Grant

### Grant Period

Successful proposals will be under contract from October 1, 2022 to April 30, 2026.

Implementation	Service Delivery	Service Delivery	Service Delivery	Data Evaluation
3 Months	Year 1	Year 2	Year 3	4 Months
October 1, 2022 - December 31, 2022	January 1, 2023 - December 31, 2023	January 1, 2024 – December 31, 2024	January 1, 2025 – December 31, 2025	January 1, 2026 – April 30, 2026
<p>Implementation period provided to allow</p> <p>for BSCC contracting, program hiring, and other activities that can facilitate a timely start.</p> <p>Grantees who do not need the full implementation period can begin service delivery at any time once under contract.</p>	Service delivery and data collection.	Service delivery and data collection.	Service delivery and data collection.	<p>Financial audit, data analysis and evaluation period to compile and analyze data gathered from three full years of service delivery.</p> <p>Only expenses incurred for audit and evaluation efforts may be incurred during these last four months. No new service delivery expenses may be incurred.</p>

## Eligibility to Apply

Eligibility is limited to Community-Based Organizations (CBOs) located in the State of California that have been determined by the IRS to have 501(c)(3) status (i.e., nonprofit). Verification of applicant's status as a nonprofit must be submitted via documentation from the Secretary of State website verifying applicant is a registered non-profit in good standing within the State of California.

Any organization that receives ARG funding (as either a direct grantee, subgrantee, or subcontractor) must:

- Have been duly organized, in existence, and in good standing for at least six (6) months prior to the effective date of its fiscal agreement with the BSCC or with the ARG grantee.
- Be registered with the California Secretary of State's Office, if applicable;
- Have a valid business license, if required by the applicable local jurisdiction;
- Have a valid Employer Identification Number (EIN);
- Have any other state or local licenses or certifications necessary to provide the services requested (e.g., facility licensing by the Department of Health Care Services), if applicable; and
- Have a physical address. (An agent for service of process with a California address is insufficient.)

An applicant may submit one sub-proposal for Rental Assistance **and** one sub-proposal for Warm Handoff and Reentry Services. Additionally, an applicant with multiple field offices or satellite projects may submit one sub-proposal covering all (or multiple) field offices and satellite projects.

Past and existing ARG grantees are eligible to apply. In addition, an applicant may also receive ARG funding as a grantee and as a subcontractor for Cohort 3 provided that the grant and the subcontracted services are for different project types. For example, if a prospective grantee applies for Rental Assistance, the applicant can only act as a subcontractor for Warm Handoff and Reentry Services

An applicant may not be a primary applicant in Cohort 3 and act as a subcontractor for a grantee for the same project type.

An applicant may not be a subcontractor on their own proposed project.

An applicant may subcontract with other Non-Governmental Organizations (NGOs) and, if awarded, the applicant will be responsible for all aspects of grant administration and management with the subcontracted NGO, while being responsible to the BSCC for overall outcomes and fiscal management of the project.

NGOs include: nonprofit CBOs, for-profit CBOs, faith-based organizations (FBOs), evaluators (except government institutions such as universities), grant management companies and any other non-governmental agency or individual.

## Target Population

The target population identified in AB 128 are people, 18 and over, who have been formerly incarcerated in state prison with priority being given to those recently released and/or on state parole.

## Housing First Approach to Service Delivery

Welfare and Institutions Code sections 8255-8257.2 (Appendix C) requires a state agency that funds, implements, or administers a state program that provides housing or housing-related services to people experiencing homelessness or at risk of homelessness, to adopt guidelines and regulations to include Housing First policies. As such, this will require applicants proposing projects that include housing or housing-related services to incorporate the core components of Housing First in their proposed program design.

Housing First is an approach to serving people experiencing homelessness that recognizes a homeless person must first be able to access a decent, safe place to live, that does not limit length of stay (permanent housing), before stabilizing, improving health, reducing harmful behaviors, or increasing income.

Under the Housing First approach, anyone experiencing homelessness is connected to a permanent home as quickly as possible and Housing First programs remove barriers to accessing housing and do not require sobriety or an absence of criminal history. It is based on the “hierarchy of need” in which people must access basic necessities like a safe place to live and food to eat before being able to achieve quality of life or pursue personal goals. Housing First values choice not only in where to live, but whether to participate in services. Housing First providers offer services as needed and requested on a voluntary basis and do not make housing contingent on participation in services.

The core components of Housing First include the following:

- 1) Tenant screening and selection practices that promote accepting applicants regardless of their sobriety or use of substances, completion of treatment, or participation in services.
- 2) Applicants are not rejected on the basis of poor credit or financial history, poor or lack of rental history, criminal convictions unrelated to tenancy, or behaviors that indicate a lack of “housing readiness.”
- 3) Acceptance of referrals directly from shelters, street outreach, drop-in centers, and other parts of crisis response systems frequented by vulnerable people experiencing homelessness.
- 4) Supportive services that emphasize engagement and problem solving over therapeutic goals and service plans that are highly tenant-driven without predetermined goals.
- 5) Participation in services or program compliance is not a condition of permanent housing tenancy.
- 6) Tenants have a lease and all the rights and responsibilities of tenancy, as outlined in California’s Civil, Health and Safety, and Government codes.
- 7) The use of alcohol or drugs in and of itself, without other lease violations, is not a reason for eviction.
- 8) In communities with coordinated assessment and entry systems, incentives for funding promote tenant selection plans for supportive housing that prioritize eligible

tenants based on criteria other than “first-come-first-serve,” including, but not limited to, the duration or chronicity of homelessness, vulnerability to early mortality, or high utilization of crisis services. Prioritization may include triage tools, developed through local data, to identify high-cost, high-need homeless residents.

- 9) Case managers and service coordinators who are trained in and actively employ evidence-based practices for client engagement, including, but not limited to, motivational interviewing and client-centered counseling.
- 10) Services are informed by a harm-reduction philosophy that recognizes drug and alcohol use and addiction as a part of tenants’ lives, where tenants are engaged in nonjudgmental communication regarding drug and alcohol use, and where tenants are offered education regarding how to avoid risky behaviors and engage in safer practices, as well as connected to evidence-based treatment if the tenant so chooses.
- 11) The project and specific apartment may include special physical features that accommodate disabilities, reduce harm, and promote health and community and independence among tenants.

(Welf. & Inst. Code, § 8255, subd. (b).)

Grantees awarded funding under the Adult Reentry Grant Program are required to support these core components of the Housing First model pursuant to these guidelines, which will be woven throughout the RFP and incorporated into the rating criteria. Applicants should develop proposals that reflect these principles to the extent that their projects include housing or housing related services. (For additional resources and information related to Housing First and Harm Reduction Principles, see Appendix D).

### **“Recovery Housing” and Housing First Principles**

Please note that programs that provide “recovery housing” do not have to comply with paragraphs (5) through (7) above. (Welf. & Inst. Code, § 8256, subd. (c)(1)(B).)

“Recovery housing” means sober living facilities and programs that provide housing in an abstinence-focused and peer-supported community for people recovering from substance use issues. Participation is voluntary, unless that participation is pursuant to a court order or is a condition of release for individuals under the jurisdiction of a county probation department or the Department of Corrections and Rehabilitation. (Welf. & Inst. Code, § 8256, subd. (c)(3).)

For ARG Grantees that operate a recovery housing program as defined above, the program also must adhere to the following requirements:

- (i) A recovery housing program participant shall sign an agreement upon entry that outlines the roles and responsibilities of both the participant and the program administrator to ensure individuals are aware of actions that could result in removal from the recovery housing program.

- (ii) If a recovery housing program participant chooses to stop living in a housing setting with an abstinence focus, is discharged from the program, or is evicted from housing, the program administrator shall offer assistance in accessing other housing and services options, including options operated with harm-reduction principles. To the extent practicable, this assistance shall include connecting the individual with alternative housing providers, supportive services, and the local coordinated entry system, if applicable. This clause does not apply to an individual who leaves the program without notifying the program administrator.
- (iii) The recovery housing program administrator shall track and report annually to the program's state funding source the housing outcome for each program participant who is discharged.

(Welf. & Inst. Code, § 8256, subd. (c)(2)(C)(i)-(iii).)

## Sub-Applications

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As indicated previously, this RFP will be divided into two sub-applications and applicants may submit a separate sub-proposal for one, or both, of the following:

Sub-Applications
1) Rental Assistance
2) Warm Handoff and Reentry Services

Eligible activities and funding for each of the sub-applications will be identified separately.

## Eligible Activities

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The statutory language authorizing the Adult Reentry Grant Program does not specify the types of Rental Assistance and Warm Handoff and Reentry Services to be funded. Applicants should select programs that best fit the needs of the community.

The ESC has defined Rental Assistance activities to be those intended to help eligible people establish or maintain affordable, permanent housing.

The ESC has defined Warm Handoff and Reentry Service activities as those that place a priority on services that lead to permanent housing and the provision of critical-time intervention that meets the immediate needs of individuals upon their release from prison or placement by parole.

Grant funds may be used to implement new activities and programs and/or augment existing funds dedicated to a project but may not replace or supplant funds that have been appropriated for the same purpose.

If the sub-proposal includes collaboration and active involvement with a local government agency for which their agreement is needed, a letter of commitment, signed by the agency head must be received from the agency.

Adult Reentry Grant funds may not be used for the following:

1. Purchase, leasing, or payments for automobiles or recreational vehicles to house individuals;
2. Purchase of camping equipment for living outside;
3. Costs for refurbishing or rehabilitating a dwelling; or
4. The acquisition of real property.

For information on eligible and ineligible costs, refer to the *BSCC Grant Administration Guide*, found on the BSCC [website](#).

The table below includes *examples* of the types of Rental Assistance and Warm Handoff and Reentry related services that could be funded by this grant. The lists are not exhaustive, and applicants are not required to implement these specific activities; they are offered as suggestions only.

Examples of Eligible Rental Related Services	Examples of Eligible Warm Handoff and Reentry Services
<p><b>Including but not limited to:</b></p> <ul style="list-style-type: none"> <li>• Short-term emergency housing assistance</li> <li>• Landlord incentives</li> <li>• Permanent supportive housing</li> <li>• Rent subsidies</li> <li>• Transitional housing</li> <li>• Stipends to friends and families who provide housing directly to a person who is eligible for ARG services. (Cannot exceed the fair market rental value of the housing provided.).</li> <li>• Vouchers</li> <li>• Move in costs</li> <li>• Credit repair</li> <li>• Coverage of back rent</li> <li>• Other activities as necessary</li> </ul>	<p><b>Including but not limited to:</b></p> <ul style="list-style-type: none"> <li>• Reach-in services</li> <li>• Case management services</li> <li>• Housing Navigation</li> <li>• Transportation</li> <li>• Food</li> <li>• Emergency services</li> <li>• Employment/vocational</li> <li>• Social services</li> <li>• Behavioral health care</li> <li>• Mentors</li> <li>• Transitional services</li> <li>• System navigation</li> <li>• 24-hour response</li> <li>• Short-term or emergency housing support (up to 90 days)</li> </ul>

## Funding Information

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A total of \$63,650,000 is available for Rental Assistance and Warm Handoff and Reentry Services. Eligible applicants will be allowed to request up to a maximum amount for each sub-application as indicated in the table below:

Sub-Application	Eligible Applicants May Request	Adult Reentry Program Funds Allocated to this Category
Rental Assistance	Up to \$2,750,000 million for the entire 42-month grant period.	\$31,825,000
Warm Handoff and Reentry	Up to \$750,000 entire 42-month grant period.	\$31,825,000

Applicants are encouraged to request only the amount of funds needed to support their proposal and not base the request on the maximum allowed. **No match is required.**

## Use of Effective Programs

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The BSCC is committed to supporting a focus on better outcomes in the criminal justice system and for those involved in it. Applicants that seek funding through this grant process should use research and data driven decision-making in the development, implementation, and evaluation of their grant-funded projects.

The extent to which an applicant can demonstrate that the program and/or activities they have chosen has been shown to be the effective will be evaluated as a part of the rating process. In developing a proposal, it may be helpful for applicants to consider the following questions:

- 1. Is there evidence or data to suggest that the intervention or strategy is likely to work, i.e., produce a desired benefit?**

For example, was the intervention or strategy selected by the project used by another entity with documented positive results? Is there published research/information on the chosen intervention that demonstrates its effectiveness? Is the intervention or strategy being used by another entity with a similar problem and similar target population?

- 2. Once an intervention or strategy is selected, will you be able to demonstrate that it is being carried out as intended?**

For example, does this intervention or strategy provide for a way to monitor quality control or continuous quality improvement? If this intervention or strategy was implemented by another entity, are there procedures in place to ensure the model is being closely followed (so the project is more likely to achieve similar desired outcomes)?

### **3. Is there a plan to collect data that will allow for an appraisal of whether the intervention or strategy worked?**

For example, will the intervention or strategy selected allow for the collection of data or other information so outcomes can be measured at the conclusion of the project? Are there or will there be processes in place to identify, collect, and analyze that data/information?

Applicants are encouraged to develop a project that incorporates these principles but is tailored to fit the needs of the communities they serve.

Plans to measure the effectiveness of a project should include the use of both qualitative and quantitative data/information. While quantitative data/information is based on numbers and mathematical calculations, qualitative data/information is based on written or spoken narratives. The purpose of quantitative data/information is to explain, predict, and/or control events through focused collection of numerical data, while the purpose of qualitative data/information is to explain and gain insight and understanding of events through collection of narrative data/information. For additional information and resources related to evidence-based practices and data driven decision making see Appendix D.

## **Reducing Racial and Ethnic Disparity**

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Research shows that youth and adults of color are significantly overrepresented in the criminal justice system in California.<sup>1</sup> BSCC supports efforts to reduce racial and ethnic disparities and encourages others to do the same. The BSCC has undertaken several activities to ensure that California addresses this concern including trainings. Applicants should, as relevant, describe how grant activities will impact youth and adults of color who are subject to justice or child welfare system involvement.

For additional information about reducing racial and ethnic disparity (R.E.D.), prospective applicants may contact the R.E.D. Coordinator, Field Representative Timothy Polasik, at [Timothy.Polasik@bscc.ca.gov](mailto:Timothy.Polasik@bscc.ca.gov).

## **General Grant Requirements**

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### **Grant Agreement**

Applicants approved for funding by the BSCC Board are required to enter into a Grant Agreement with the BSCC. Grantees must agree to comply with all terms and conditions of the Grant Agreement. See Appendix E for a sample grant agreement.

The Grant Agreement start date is expected to be October 1, 2022. Grant Agreements are considered fully executed only after they are signed by both the Grantee and the

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<sup>1</sup> Multiple studies confirm the disparities in the criminal and juvenile justice systems. The W. Haywood Burns Institute (<http://www.burnsinstitute.org/>) has worked extensively on this issue as has the National Council on Crime and Delinquency (NCCD) and the Center for Juvenile Justice Reform, Georgetown University (<https://cjjr.georgetown.edu/certificate-programs/reducing-racial-and-ethnic-disparities/>)

Created Equal: Racial and Ethnic Disparities in the US Criminal Justice System (NCCD: Hartney/Vuong March 2009)

BSCC, and the BSCC is in receipt of all required attachments including documentation of signing authority. Work, services, and encumbrances cannot begin prior to the Grant Agreement start date. Any work, services, and encumbrances that occur after the start date, but prior to Grant Agreement execution may not be reimbursed. Grantees are responsible for maintaining their Grant Agreement. Grantees, subgrantees, and subcontractors are responsible for maintaining all invoices, records, and relevant documentation for at least three (3) years after the final payment under the Grant Agreement.

### **Governing Board Resolution**

Applicants must submit a board resolution that the individual signing the sub-application for Adult Reentry Grant funding is authorized on behalf of the governing board to submit the grant proposal for this funding and sign the Grant Agreement with the BSCC, including any amendments thereof. If the governing board is unable to meet or provide a resolution prior to the application deadline, applicants must provide sufficient evidence that the person signing the grant agreement has signing authority, which may include articles of incorporation, bylaws, or a prior board resolution conferring authority to the signatory (For a sample resolution, see Appendix H).

This documentation is not required at the time of proposal submittal, but applicants are advised that the grant agreement will not be fully executed, nor will any financial invoices be processed for reimbursement until the required documentation has been received by the BSCC.

### **Supplanting**

Supplanting is the deliberate reduction in the amount of federal, state, or local funds being appropriated to an existing program or activity because grant funds have been awarded for the same purposes. Supplanting is strictly prohibited for all BSCC grants. ARG funds shall be used to support new program activities or to augment or expand existing program activities but shall not be used to replace existing funds.

It is the responsibility of the Grantee to ensure that supplanting does not occur. The Grantee must keep clear and detailed financial records to show that grant funds are used only for allowable costs and activities.

### **Audit Requirements**

Grantees are required to provide the BSCC with a financial audit that covers the service delivery period of the grant (October 1, 2022 through December 31, 2025). The audit report will be due no later than April 30, 2026. The financial audit shall be performed by a Certified Public Accountant. Expenses for the final audit may be reimbursed for actual costs up to \$25,000.

The Department of General Services, California State Auditor, the California Department of Finance - Office of State Audits & Evaluation, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this grant.

## Invoices

Disbursement of grant funds occurs on a reimbursement basis for costs incurred during a reporting period. The State Controller's Office (SCO) will issue the warrant (check) to the individual designated on the Applicant Information Form as the Financial Officer for the grant. Grantees must submit invoices with supporting documentation to the BSCC on either a monthly or quarterly basis within 45 days following the end of the reporting period via the online process. Grantees will make their choice between monthly or quarterly invoicing at the time they execute their contracts.

Grantees must maintain adequate supporting documentation for all costs claimed on invoices for reimbursement. BSCC staff will conduct a desk review process which requires grantees to submit electronic documentation to support all grant funds claimed during the invoicing period. In addition, BSCC staff will conduct on-site monitoring visits that will include a review of documentation maintained as substantiation for project expenditures with grant funds.

For additional information, refer to the *BSCC Grant Administration Guide*, found on the BSCC [website](#).

## Grantee Orientation Process

Following the start of the grant period, BSCC staff will conduct a Grantee Orientation in November 2022, date to be determined. The purpose of this mandatory session is to review the program requirements, invoicing and budget modification processes, data collection and reporting requirements, as well as other grant management and monitoring activities. Typically, the Project Director, Financial Officer, and Day-to-Day Contact must attend. Grantees are also strongly encouraged to include the individual tasked with Data Collection and Evaluation, and a subgrantee or subcontractor representative.

If an in-person training is scheduled, grant recipients may use grant funds 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 the proposal under the "Other" category.

## Travel

Travel is usually warranted when personal contact by project staff is the most appropriate method of conducting project-related business. Travel to and from training conferences may also be allowed. The most economical method of transportation, in terms of direct expenses to the project and the employee's time away from the project, must be used. Projects are required to include sufficient per diem and travel allocations for project-related personnel, as outlined in the Grant Award, to attend any mandated BSCC training conferences or workshops outlined in the terms of the program.

- Community-Based Organizations (CBOs): A CBO receiving BSCC funds must use the State travel and per diem policy, unless the Grantee's written travel policy is more restrictive than the State's, in which case it must be used. Reimbursement is allowed for the cost of commercial carrier fares, parking, bridge, and road tolls, as well as necessary taxi, bus, and streetcar fares. This policy also applies to NGOs that subcontract with a CBO receiving a BSCC grant award.

## **Out-of-State Travel**

Out-of-state travel is restricted and only allowed in exceptional situations. Grantees must receive written BSCC approval prior to incurring expenses for out-of-state travel. Even if previously authorized in the Grant Award. Grantees must submit to the BSCC a separate formal request (on Grantee letterhead) for approval. Out-of-state travel requests must include a detailed justification and budget information. In addition, California prohibits travel, except under specified circumstances, to states that have been found by the California Attorney General to have discriminatory laws. The BSCC will not reimburse for travel to these states unless the travel meets a specific exception under Government Code section 11139.8, subdivision (c). For additional information, please see: <https://oag.ca.gov/ab1887>.

## **Debarment, Fraud, Theft, or Embezzlement**

It is the policy of the BSCC to protect grant funds from unreasonable risks of fraudulent, criminal, or other improper use. As such, the Board will not enter into contracts or provide reimbursement to applicants that have been:

1. debarred by any federal, state, or local government entities during the period of debarment; or
2. convicted of fraud, theft, or embezzlement of federal, state, or local government grant funds for a period of three years following conviction.

Furthermore, the BSCC requires grant recipients to provide an assurance that there has been no applicable debarment, disqualification, suspension, or removal from a federal, State, or local grant program on the part of the grantee at the time of application and that the grantee will immediately notify the BSCC should such debarment or conviction occur during the term of the Grant contract.

BSCC also requires that all grant recipients include, as a condition of award to a subgrantee or subcontractor, a requirement that the subgrantee or subcontractor will provide the same assurances to the grant recipient. If a grant recipient wishes to consider a subgrantee or subcontractor that has been debarred or convicted, the grant recipient must submit a written request for exception to the BSCC along with supporting documentation.

All applicants must complete Appendix F certifying that they are in compliance with the BSCC's policies on debarment, fraud, theft, and embezzlement.

## **Compliance Monitoring Visits**

BSCC conducts compliance monitoring visits to grantees during the term of the grant. For your reference, a Sample Compliance Monitoring Visit Checklist is contained in Appendix J.

## **Project Evaluation Requirements**

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### **Quarterly Progress Reports**

Grant award recipients are required to submit quarterly progress reports to the BSCC. Progress reports are a critical element in BSCC's monitoring and oversight process. Grantees that are unable to demonstrate that they are making sufficient progress toward

project goals and objectives, and that funds are being spent down in accordance with the Grant Award Agreement, could be subject to the withholding of funds. Once grants are awarded, the BSCC will work with grantees to create quarterly progress reports.- Applicable forms and instructions will be available to grantees on the BSCC's website..

In addition to quarterly progress reports (QPRs), projects selected for funding will be required to submit to the BSCC:

1. A Local Evaluation Plan, due six (6) months post-award; and
2. A Local Evaluation Report, due four (4) months after the conclusion of project delivery.

**Local Evaluation Plan** - The purpose of the Local Evaluation Plan (LEP) is to ensure that projects funded by the BSCC can be evaluated. Applicants will be expected to include a detailed description of how they plan to assess the effectiveness of the proposed program in relation to each of its goals and objectives identified in the proposal. The LEP should describe the evaluation design or model that will be used to evaluate the effectiveness of the project component(s), with the project goals and the objectives clearly stated. Applicants should include criteria for both process and outcome evaluations. Once submitted, any modifications to the LEP must be approved in advance by the BSCC. More detailed instructions on the LEP will be made available to successful applicants. See Appendix I for preliminary guidelines for the LEP and final LER. The Local Evaluation Plan is due no later than April 1, 2023.

**Local Evaluation Report** - Following project completion, grantees are required to complete a final Local Evaluation Report (LER) which must be in a format prescribed by the BSCC. The purpose of the final LER is to determine whether the overall project was effective in meeting the goals laid out in the LEP. To do this, the grantee must assess and document the effectiveness of the activities that were implemented. These activities should have been identified in the previously submitted LEP. More detailed instructions on the LER will be made available to successful applicants. The Local Evaluation Report is due no later than April 30, 2026.

Applicants are strongly encouraged to identify research partners early on and include them in the development of the proposal, to better ensure that the goals and objectives listed in the proposal are realistic and measurable. Applicants are also strongly encouraged, but not required, to use outside evaluators to ensure objective and impartial evaluations. Additionally, applicants are encouraged to partner with state universities or community colleges for evaluations. Evaluation planning, oversight, and reporting activities may be funded by the Adult Reentry Grant Program monies and should be identified within the applicant's proposed budget.

### **Evaluation Dissemination**

The BSCC will make public the Local Evaluation Plan and a Final Local Evaluation Report from each grantee. Reports may be posted to the BSCC website and/or developed into a Summary Final Report to be shared with the Administration, the Legislature, and the public.

Projects selected for funding are encouraged to make public (e.g., post online, disseminate, share at meetings) the Final Local Evaluation Report to the community and the grantee's Governing Board (e.g., Board of Supervisors, City Council, etc.).

If the grantee plans to publish the Final Local Evaluation Report, it must be submitted to the BSCC for review prior to publication.

## Overview of the RFP Process

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### Confirmation of Receipt of Proposal

Upon submission of a proposal, applicants will receive a confirmation email from the BSCC stating that the proposal has been received.

Disqualification - **PLEASE REVIEW CAREFULLY**

**The following will result in an automatic disqualification:**



- An electronic version of the complete proposal package is not received by 5:00 p.m. PST on April 8, 2022.
- The Applicant is not a Community-Based Organization located in the State of California.
- The applicant is not registered as a nonprofit in California or does not have 501(c)(3) status.
- Budget Attachment (Excel document) is incomplete, or the total amount included in the budget table does not match the requested amount included elsewhere in the application.
- Proposal Package does not contain the following sections:
  - Coversheet – accurately completed
  - Proposal Checklist – filled out and signed
  - Applicant Information Form – completed and signed
  - Proposal Narrative
  - ARG Budget Attachment (in Excel)
  - Project Work Plan (not to exceed 2 pages) (Sub-proposal Attachment A)
- Applicant's funding request was more than \$2,750,000 for Rental Assistance or \$750,000 for Warm Handoff and Reentry Services

**NOTE:** Disqualification means that the proposal will not move forward to the Executive Steering Committee for the Proposal Rating Process, and, therefore, will NOT be considered for funding.

### Rating Process

Unless disqualified, proposals will advance to the Adult Reentry Grant Executive Steering Committee (ESC) for the Proposal Rating Process. Proposals will be evaluated

in accordance with the BSCC's *Grant Proposal Evaluation Process* ([link](#)) and as described below.

The ESC will read and rate each sub-proposal in accordance with the prescribed rating factors listed in the table below under Rating Factors.

The ESC members will base their ratings on how well an applicant addresses the items listed under each rating factor within the sub-proposal Narrative and Budget Section. ESC ratings, once submitted to the BSCC, will be final.

At the conclusion of this process, applicants will be notified of the Board's funding recommendations. It is anticipated that the BSCC Board will act on the recommendations at its meeting on September 8, 2022. Applicants and partners are not permitted to contact members of the ESC or the BSCC Board to discuss proposals.

## Scoring Process

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### Rating Factors

The five (5) Rating Factors to be used and the maximum points assigned to each factor are shown in the table below. Applicants are asked to address each of these factors as a part of their proposal. The Adult Reentry Program ESC assigned a percent of total value to each of the five (5) Rating Factors, correlating to its importance (see Percent of Total Value column). While the same scoring system will be used for both sub-applications, applicants will be asked to address each of these rating factors differently in each sub-proposal.

### Adult Reentry Program Rating Factors and Scoring System

	Rating Factors	Point Range	Percent of Total Value	Weighted Rating Factor Score
1	Project Need	0 - 5	10%	20
2	Project Description	0 - 5	35%	70
3	Project Organizational Capacity and Coordination	0 - 5	25%	50
4	Project Evaluation and Monitoring	0 - 5	10%	20
5	Project Budget	0 - 5	20%	40
Maximum Proposal Score:			100%	200

Raters will rate an applicant's response in each Rating Factor category on a scale of 0 – 5, according to the Six-Point Rating Scale shown below. For each Rating Factor, the rating point received is then weighted according to the "Percent of Total Value" column

(determined by the ESC) associated with the Rating Factor to arrive at the final Weighted Rating Factor Score. The Weighted Rating Factor Scores are then added together for a final overall proposal score. The maximum possible sub-proposal score is 200.

### Threshold/Minimum Score

A proposal must meet a threshold of **60%**, or minimum score of **120** total points to be considered for funding. The same threshold/minimum score will be used for both sub-applications.

### Six-Point Rating Scale

<b>Not Responsive 0</b>	<b>Poor 1</b>	<b>Fair 2</b>	<b>Satisfactory 3</b>	<b>Good 4</b>	<b>Excellent 5</b>
The response <b>fails to address</b> the criteria.	The response addresses the criteria in a <b>very inadequate</b> way.	The response addresses the criteria in a <b>non-specific or unsatisfactory</b> way.	The response addresses the criteria in an <b>adequate</b> way.	The response addresses the criteria in a <b>substantial</b> way.	The response addresses the criteria in an <b>outstanding</b> way.

What follows in this RFP are the sub-applications for Rental Assistance (application coded in green) and Warm Handoff and Reentry Services (application coded in red) which will be scored separately. Please note that though both sub-applications have the same five (5) general rating factors as noted above, each has different criteria within those rating factors on which they will be rated.

### Summary of Key Dates

The following table shows an estimated timeline of key dates related to the Adult Reentry Program.

<b>Activity</b>	<b>Date</b>
Release Request for Proposals	February 11, 2022
Bidder's Conference (via Zoom)	March 3, 2022
Letter of Intent Due to the BSCC	March 11, 2022
<b>Sub-Proposals Due to the BSCC</b>	<b>April 8, 2022</b>
Proposal Rating Process and Development of Funding Recommendations	April-August 2022
BSCC Board Considers Funding Recommendations	September 8, 2022
Notice to Grantees	September 9, 2022

Activity	Date
New Grants Begin	October 1, 2022
Mandatory New Grantee Orientation	November 2022(TBD)

## Part II: Rental Assistance Sub-Proposal Instructions

**The following items are included in this section:**

- Cover Sheet
- Proposal Checklist
- Applicant Information Form – Instructions
- Applicant Information Form
- Sub-Proposal Narrative
- Sub-Proposal Budget
  - Budget Table
  - Budget Narrative

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## Adult Reentry Grant Program

### Rental Assistance Sub-Proposal Package Coversheet

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**Submitted by:**

Applicant Name:

**Date Submitted:**

Date:

## Rental Assistance Sub-Proposal Checklist

A complete **Rental Assistance Sub-Proposal Package** must contain the following (to be submitted in the order listed):

	Required Items for the Rental Assistance Sub-Application:	✓
1	Rental Assistance Cover Sheet <ul style="list-style-type: none"> <li>Insert Applicant Name and Date of Submission</li> </ul>	
2	Rental Assistance Sub-Proposal Checklist <ul style="list-style-type: none"> <li><i>Signed in blue ink by the authorized signatory (digital or wet signature)</i></li> </ul>	
3	Rental Assistance Sub-Applicant Information Form <ul style="list-style-type: none"> <li><i>Signed in blue ink by the authorized signatory (digital or wet signature)</i></li> </ul>	
4	Rental Assistance Sub-Proposal Narrative (9 pages or less)	
5	Rental Assistance Project Work Plan (Rental Assistance Sub-Proposal Attachment A)	
6	Rental Assistance Sub Proposal Budget Table and Narrative <ul style="list-style-type: none"> <li>Completed ARG Rental Assistance Budget Attachment</li> </ul>	
7	Certification of Compliance with BSCC Policies on Debarment, Fraud, Theft, and Embezzlement (Appendix F) <ul style="list-style-type: none"> <li><i>Signed in blue ink by the authorized signatory (digital or wet signature)</i></li> </ul>	
8	Verification of applicant's nonprofit status must be submitted via documentation from the California Secretary of State's database	
9	Governing Board Resolution conferring authority to signatory	
	If the Board cannot convene to provide a specific resolution for this process, please provide evidence of signing authority (e.g., articles of incorporation or bylaws)	
10	Assurance of Government Organizations Commitment—completed and signed (Appendix G)	
11	If the sub-proposal includes collaboration and active involvement with a local government agency for which their agreement is needed, a letter of commitment, signed by the agency head, must accompany the Assurance of Government Organizations Commitment	
	Optional Attachment:	✓
12	Sub-Project flowchart or other visual representing the proposed rental assistance project workflow, process, and/or intended outcomes and activities (not to exceed one page)	

I have reviewed this checklist and verified that all required items are included in this proposal packet.

X

*Applicant Authorized Signature (see Applicant Information Form, Part L, next page)*

**\*ATTACHMENTS OTHER THAN THOSE LISTED ABOVE WILL NOT BE CONSIDERED. \***

## Rental Assistance Applicant Information Form: Instructions

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- A. Applicant:** Complete the required information for the community-based organization submitting the proposal.
- B. Tax Identification Number:** Provide tax identification number of the Applicant.
- C. CBO Applicants** List the names of the cities and towns (not the county) in which your CBO is proposing to provide Adult Reentry Program rental assistance funded services.
- D. Project Title:** Provide the title of the project.
- E. Project Summary:** Provide a summary (100-150 words) of the proposal. Note: this information will be posted to the BSCC's website for informational purposes.
- F. Applicant is a 501(c)3:** Identify whether your organization meets requirements of 501(c)3 status with the IRS. Check either yes or no.
- G. Verification of nonprofit status:** Provide verification of the applicant's active registered status as a domestic nonprofit in California. Articles of incorporation must indicate formation of 501(c)(3) on the California Secretary of State's website. <https://businesssearch.sos.ca.gov/>. Include copy of "Entity Detail" landing page, which will indicate registration date and status. (A "Certificate of Status" may be submitted, but is not required.)
- H. Project Director:** Provide the name, title, and contact information for the individual responsible for oversight and management of the project. **This person must be an employee of the Grantee.**
- I. Financial Officer:** Provide the name, title, and contact information for the individual responsible for fiscal oversight and management of the project. Typically, this is the individual that will certify and submit invoices. **This person must be an employee of the Grantee.**
- J. Day-to-Day Project Contact:** Provide the name, title and contact information for the individual who serves as the primary contact person for the grant. Typically, this individual has day-to-day oversight for the project. This person shall be an employee of the Grantee.
- K. Day-to-Day Fiscal Contact:** Provide the name, title and contact information for the individual who serves as the primary contact person for fiscal matters related to the grant. This may be the individual who prepares the invoices for approval by the Financial Officer. This person shall be an employee of the Grantee.
- L. Authorized Signature:** Complete the required information for the person authorized to sign for the Applicant. This individual must read the assurances under this section, then sign and date in the appropriate fields. Provide evidence of authority (e.g., articles of incorporation, bylaws, or board resolution conferring authority to the signatory).

## Rental Assistance Sub-Applicant Information Form

A. LEAD APPLICANT				B. TAX IDENTIFICATION NUMBER	
NAME OF APPLICANT			TAX IDENTIFICATION #:		
STREET ADDRESS		CITY		STATE	ZIP CODE
MAILING ADDRESS (if different)		CITY		STATE	ZIP CODE
<b>C. CBO APPLICANTS:</b> List the cities and towns in which your organization will provide Adult Reentry Program Rental Assistance funded services.					
<b>D. PROJECT TITLE:</b>					
<b>E. PROJECT SUMMARY (100-150 words):</b>					
<b>F. APPLICANT IS A 501(c)3</b>			<b>G. VERIFICATION OF NONPROFIT STATUS</b>		
YES <input type="checkbox"/> NO <input type="checkbox"/>			Included copy of California Secretary of State Entity Detail <input type="checkbox"/>		
<b>H. PROJECT DIRECTOR:</b>					
NAME		TITLE		TELEPHONE NUMBER	
STREET ADDRESS				FAX NUMBER	
CITY		STATE		ZIP CODE	
<b>I. FINANCIAL OFFICER:</b>					
NAME		TITLE		TELEPHONE NUMBER	
STREET ADDRESS				FAX NUMBER	
CITY		STATE		ZIP CODE	
PAYMENT MAILING ADDRESS (if different)		CITY		STATE	ZIP CODE

<b>J. DAY-TO-DAY <u>PROGRAM</u> CONTACT:</b>			
NAME	TITLE		TELEPHONE NUMBER
STREET ADDRESS			FAX NUMBER
CITY	STATE	ZIP CODE	EMAIL ADDRESS
<b>K. DAY-TO-DAY <u>FISCAL</u> CONTACT:</b>			
NAME	TITLE		TELEPHONE NUMBER
STREET ADDRESS			FAX NUMBER
CITY	STATE	ZIP CODE	EMAIL ADDRESS
<b>L. AUTHORIZED SIGNATURE</b>			
By signing this application, I hereby certify that I am vested by the Applicant with the authority to enter into contract with the BSCC, and that the grantee and any subcontractors will abide by the laws, policies and procedures governing this funding.			
NAME OF AUTHORIZED OFFICER	TITLE	TELEPHONE NUMBER	EMAIL ADDRESS
STREET ADDRESS	CITY	STATE	ZIP CODE
APPLICANT'S SIGNATURE (Blue Ink Only)			DATE
X			

**CONFIDENTIALITY NOTICE:**

All documents submitted as a part of the Adult Reentry Program Rental Assistance sub-proposal are public documents and may be subject to a request pursuant to the California Public Records Act. The BSCC cannot ensure the confidentiality of any information submitted in or with this proposal. (Gov. Code, §§ 6250 et seq.)

## Instructions for Proposal Narrative and Project Budget for Rental Assistance Sub-Proposal

**Instructions:** The Proposal Narrative section must be submitted in the following format:

- Arial 12-point font
- One-inch margins on all four sides.
- The narrative must be 1.5-line spaced
- Cannot exceed **9 numbered pages** in length.

**Please note:** although proposals that exceed the page limit will not be automatically disqualified, any excess pages **will be removed** before being forwarded to the ESC for rating, which may affect the proposal's final score. Applicants will not be given the opportunity to reformat proposals to conform to these formatting requirements after the proposal deadline. Do not exceed the page limit.

For the Proposal Narrative, address each of the four (4) Rating Factor sections below.

### **1) Project Need**

### **2) Project Description**

### **3) Project Organizational Capacity and Coordination**

### **4) Project Evaluation and Monitoring**

Each section should be titled according to its section header as provided (e.g., Project Need, Project Description, etc.). Within each section, address the bulleted items in a cohesive, comprehensive narrative format. Do not include website links. It is up to the applicant to determine how to use the total page limit in addressing each section, however as a guide, the percent of total point value for each section is listed under each header.

These 9 pages do not include the Cover Sheet, Proposal Checklist, Applicant Information Form, Work Plan, One-Page Flowchart (optional), Budget Attachment or other required attachments (see *Rental Assistance Proposal Checklist* page 22).

Applicants *may* also include a one-page Sub-Proposal Flowchart representing the proposed Rental Assistance project workflow or process. The flowchart will not be counted toward the 9-page limit.

**Instructions:** The Project Budget and Budget Narrative must be completed using the Rental Assistance Budget Attachment (an Excel workbook, a link and instructions are provided on page 29) For the Budget and Budget Narrative address the Rating Factor section below:

## 5) Project Budget

Each of the five (5) rating factors will be scored according to the following 6-point rating scale:

Rental Assistance Sub-Proposal Rating Criteria					
Not Responsive 0	Poor 1	Fair 2	Satisfactory 3	Good 4	Excellent 5
The response <b>fails to address</b> the criteria	The response addresses the criteria in a <b>very inadequate</b> way.	The response addresses the criteria in a <b>non-specific or unsatisfactory</b> way.	The response addresses the criteria in an <b>adequate</b> way.	The response addresses the criteria in a <b>substantial</b> way.	The response addresses the criteria in an <b>outstanding</b> way.

Address the Rating Factor below in narrative form:

Rating Criteria for Rental Assistance Project Need Weighted at 10%	
1.1	Description of the community(ies) need to be addressed by the Rental Assistance Program.
1.2	Description of the target population to be served by the Rental Assistance Program, including: <ul style="list-style-type: none"> <li>Relationship of the identified target population to the purpose of the Rental Assistance Program.</li> <li>Needs of identified target population.</li> <li>The extent to which the project will address people who are homeless or at risk of being homeless.</li> </ul>
1.3	Local service gaps that contribute to the need for the Rental Assistance Program are identified.
1.4	Relevant local qualitative and/or quantitative data in support of the Rental Assistance Program need are provided.

Address the Rating Factor below in narrative form:

Rating Criteria for Rental Assistance Project Description Weighted at 35%	
2.1	Description of the proposed program goals and objectives and impact that includes the relationship to the need and intent of the Rental Assistance Program. <ul style="list-style-type: none"> <li>The completed Work Plan (Attachment A of the Rental Assistance sub-proposal) is appropriate for the proposed project and aligns with the need and intent of the Rental Assistance Program. The plan identifies the top three goals and objectives and how these will be achieved in terms of the activities, responsible staff/partner agencies, outcome measures, data sources and start and end dates.</li> </ul>
2.2	Description of the service types, sources of service, and method of delivery that will be made available to the target population in the proposed Rental Assistance Program including: <ul style="list-style-type: none"> <li>The plan for selecting the types and kinds of rental assistance to be provided to each participant.</li> <li>The projected number of the target population to be served.</li> <li>How rental assistance will be delivered, including length and duration.</li> </ul>

	<ul style="list-style-type: none"> <li>Standards and methodology for determining amount of rental assistance funding to be made available to the target population. Include the median cost for rentals in the service area(s).</li> <li>The roles, responsibilities and activities of staff delivering rental assistance.</li> <li>The plan for the target population to attain more permanent housing.</li> </ul>
<b>2.3</b>	Rationale for the proposed Rental Assistance Program which includes: <ul style="list-style-type: none"> <li>The selection of evidence-based, promising, informed, or innovative practices, interventions, and services.</li> <li>A description of relevant evidence or research to support the selection of the proposed program for the target population and the community.</li> </ul>
<b>2.4</b>	Describe how the Rental Assistance Program meets or will meet the core components of Housing First.

**Address the Rating Factor below in narrative form:**

<b>Rating Criteria for Project Organizational Capacity and Coordination</b> Weighted at 25%	
<b>3.1</b>	Description of applicant's experience administering Rental Assistance services to the local target population, including: <ul style="list-style-type: none"> <li>Applicant's current capacity to serve the target population and provide access to rental assistance.</li> <li>How the proposed program, if funded, will increase capacity to serve the target population.</li> <li>Description of readiness to proceed, if funded.</li> <li>Key partners' letters of commitment describing involvement aligned with the proposed project, if applicable. If partner agency(ies) are to be selected after the grant is awarded, then specify the process and criteria for selecting those partner agency(ies).</li> </ul>
<b>3.2</b>	Description of the plan for selecting, recruiting, and referring the target population for the Rental Assistance Program. <ul style="list-style-type: none"> <li>Include written agreements with partnering or referring agencies that will help ensure the projected number of participants are served, if applicable.</li> </ul>
<b>3.3</b>	Description of the timeline for the execution of contract(s) and the implementation of services such that they are in place in a reasonable timeframe to support the project.
<b>3.4</b>	Description of the outreach and community engagement efforts for the Rental Assistance Program to include: <ul style="list-style-type: none"> <li>How people with lived experience or who are system impacted contribute to the project's design, implementation, and evaluation process.</li> <li>How the applicant's administration (staff, leadership, board members, etc.) incorporates people with lived experience or who are system impacted.</li> <li>The cultural competence of staff and partner agencies and how it is relevant to the proposed project.</li> <li>The extent to which the program promotes collaboration with other partner agencies.</li> </ul>

Address the Rating Factor below in narrative form:

Rating Criteria for Project Evaluation and Monitoring Weighted at 10%	
4.1	Describe the plan to determine the staff and/or entity that will conduct the project evaluation and how monitoring activities will be incorporated in the various phases of the project; for example, start-up, implementation, service delivery period, etc.
4.2	Identify the process and outcome measures that are quantifiable and in line with the intent of the proposal and the objectives listed in the Work Plan.
4.3	Describe the preliminary plan for how to collect and evaluate baseline and outcome data related to the process and outcome measures identified in 4.2. Describe a plan for entering into data sharing agreements, if necessary.

Address the rating factor below by completing the Rental Assistance Budget Attachment (Instructions and link are below)

Rating Criteria for Rental Assistance Project Budget Weighted at 20%	
5.1	Provide complete and detailed budget information in each section of the Rental Assistance Budget Attachment (link below) that includes: <ul style="list-style-type: none"><li>• A brief explanation supporting each expense.</li><li>• Expenses that are appropriate for the project's goals and planned activities</li></ul>

#### **Rental Assistance Budget Attachment Instructions:**

As part of the sub-application process, sub-applicants are required to submit the **Rental Assistance Budget Attachment**, which is an Excel Workbook that can be accessed using the link below.

Upon submission, the Rental Assistance Budget Attachment will become Section 5 of the Rental Assistance Sub-Proposal and will be rated as such based on the Program Budget rating criteria listed above.

Applicants are solely responsible for the accuracy and completeness of the information entered in the Budget Table and Budget Narrative Table. Detailed instructions for completing the Budget Attachment are listed on the Instructions Tab of the Excel workbook.

**Rental Assistance Budget Attachment- [Link](#)**

## Attachment A: Rental Assistance Sub-Proposal Work Plan

Applicants for Rental Assistance grant funds must complete a one to two page Project Work Plan. This Project Work Plan identifies measurable goals and objectives, activities and services, the responsible parties, data to be used to measure outcomes and a tentative timeline. Completed plans should (1) identify the top three project goal(s) and objectives; (2) identify how the goal(s) will be achieved in terms of the activities, responsible staff/partners, start and end dates, and outcome measures; and (3) provide goal(s), objectives, and measures with a clear relationship to the need and intent of the grant. To build the Adult Reentry Grant Program Rental Assistance Project Work Plan, please use the form provided below. This form does NOT count toward the 9-page limit for the Proposal Narrative. Use Appendix D for information related to developing goals and objectives.

<b>(1) Goal:</b>			
Objectives (A., B., etc.):			
Outcome Measures:			
Project activities that will support the identified goal and objectives:	Responsible staff/ partners	Timeline	
		Start Date	End Date
List data and sources to be used to measure outcomes:			

<b>(2) Goal:</b>			
Objectives (A., B., etc.):			
Outcome Measures:			
Project activities that will support the identified goal and objectives:	Responsible staff/ partners	Timeline	
		Start Date	End Date

List data and sources to be used to measure outcomes:

<b>(3) Goal:</b>			
Objectives (A., B., etc.):			
Outcome Measures:			
Project activities that will support the identified goal and objectives:	Responsible staff/ partners	Timeline	
		Start Date	End Date
List data and sources to be used to measure outcomes:			

## **Part III: Warm Handoff and Reentry Services Sub-Proposal Instructions**

**The following items are included in this section:**

- Cover Sheet
- Proposal Checklist
- Applicant Information Form – Instructions
- Applicant Information Form
- Sub- Proposal Narrative
- Sub-Proposal Budget
  - Budget Table
  - Budget Narrative

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## Adult Reentry Grant Program

### Warm Handoff and Reentry Services Sub-Proposal Package Coversheet

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**Submitted by:**

Applicant Name:

**Date Submitted:**

Date:

## Warm Handoff and Reentry Services Sub-Proposal Checklist

A complete **Warm Handoff and Reentry Services Sub-Proposal Package** must contain the following (to be submitted in the order listed):

Required Items for the Warm Handoff and Reentry Services Sub-Application:		✓
1	Warm Handoff and Reentry Services Cover Sheet <ul style="list-style-type: none"> <li>Insert Applicant Name and Date of Submission</li> </ul>	
2	Warm Handoff and Reentry Services Sub-Proposal Checklist <ul style="list-style-type: none"> <li><i>Signed in blue ink by the authorized signatory (digital or wet signature)</i></li> </ul>	
3	Warm Handoff and Reentry Services Sub-Applicant Information Form <ul style="list-style-type: none"> <li><i>Signed in blue ink by the authorized signatory (digital or wet signature)</i></li> </ul>	
4	Warm Handoff and Reentry Services Sub-Proposal Narrative <ul style="list-style-type: none"> <li>9 pages or less</li> </ul>	
5	Warm Handoff and Reentry Services Project Work Plan (Warm Handoff and Reentry Services Sub-Proposal Attachment A)	
6	Warm Handoff and Reentry Services Sub Proposal Budget Table and Narrative <ul style="list-style-type: none"> <li>Completed Warm Handoff and Reentry Services Budget Attachment</li> </ul>	
7	Certification of Compliance with BSCC Policies on Debarment, Fraud, Theft, and Embezzlement (Appendix F) <ul style="list-style-type: none"> <li><i>Signed in blue ink by the authorized signatory (digital or wet signature)</i></li> </ul>	
8	Verification of applicant's nonprofit status must be submitted via documentation from the California Secretary of State's database	
9	Governing Board Resolution conferring authority to the signatory	
10	If the Board cannot convene to provide a specific resolution for this process, please provide evidence of signing authority (e.g., articles of incorporation or bylaws)	
11	Assurance of Government Organizations Commitment—completed and signed (Appendix G)	
12	If the sub-proposal includes collaboration and active involvement with a local government agency for which their agreement is needed, a letter of commitment, signed by the agency head must accompany the Assurance of Government Organizations Commitment.	
Optional Attachment:		✓
13	Sub-Project flowchart or other visual representing the proposed Warm Handoff and Reentry Services project workflow, process, and/or intended outcomes and activities	

**I have reviewed this checklist and verified that all required items are included in this proposal package.**

**X**\_\_\_\_\_

*Applicant Authorized Signature (see Applicant Information Form, next page)*

**\* ATTACHMENTS OTHER THAN THOSE LISTED ABOVE WILL NOT CONSIDERED.**

## Warm Handoff and Reentry Services Applicant Information Form: Instructions

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- A. Applicant:** Complete the required information for the community-based organization submitting the proposal.
- B. Tax Identification Number:** Provide tax identification number of the Applicant.
- C. CBO Applicants** List the names of the towns and cities (not the county) in which your CBO is proposing to provide Adult Reentry Program Warm Handoff funded services.
- D. Project Title:** Provide the title of the project.
- E. Project Summary:** Provide a summary (100-150 words) of the proposal. Note: this information will be posted to the BSCC's website for informational purposes.
- F. Applicant is a 501(c)3:** Identify whether your organization meets requirements of 501(c)3 status with the IRS. Check either yes or no.
- G. Verification of nonprofit status:** Provide verification of the applicant's active registered status as a domestic nonprofit in California. Articles of incorporation must indicate formation of 501(c)(3) on the California Secretary of State's website. <https://businesssearch.sos.ca.gov/>. Include copy of "Entity Detail" landing page, which will indicate registration date and status. (A "Certificate of Status" may be submitted, but is not required.)
- H. Project Director:** Provide the name, title, and contact information for the individual responsible for oversight and management of the project. **This person must be an employee of the Grantee.**
- I. Financial Officer:** Provide the name, title, and contact information for the individual responsible for fiscal oversight and management of the project. Typically, this is the individual that will certify and submit invoices. **This person must be an employee of the Grantee.**
- J. Day-to-Day Project Contact:** Provide the name, title and contact information for the individual who serves as the primary contact person for the grant. Typically, this individual has day-to-day oversight for the project. This person shall be an employee of the Grantee.
- K. Day-to-Day Fiscal Contact:** Provide the name, title and contact information for the individual who serves as the primary contact person for fiscal matters related to the grant. This may be the individual who prepares the invoices for approval by the Financial Officer. This person shall be an employee of the Grantee.
- L. Authorized Signature:** Complete the required information for the person authorized to sign for the Applicant. This individual must read the assurances under this section, then sign and date in the appropriate fields. Provide evidence of signing authority (e.g.,

articles of incorporation, bylaws, or board resolution conferring authority to the signatory).

## Warm Handoff and Reentry Services Sub-Applicant Information Form

### A. LEAD APPLICANT

NAME OF APPLICANT

### B. TAX IDENTIFICATION NUMBER

TAX IDENTIFICATION #:

STREET ADDRESS

CITY

STATE

ZIP CODE

MAILING ADDRESS (if different)

CITY

STATE

ZIP CODE

**C. CBO APPLICANTS:** List the cities and in which your organization will provide Adult Reentry Program Warm Handoff and Reentry Services funded services.

### D. PROJECT TITLE:

### E. PROJECT SUMMARY (100-150 words):

### F. APPLICANT IS A 501(c)3

YES ☐ NO ☐

### G. VERIFICATION OF NONPROFIT STATUS

Included copy of California Secretary of State Entity Detail ☐

### H. PROJECT DIRECTOR:

NAME

TITLE

TELEPHONE NUMBER

STREET ADDRESS

FAX NUMBER

CITY

STATE

ZIP CODE

EMAIL ADDRESS

### I. FINANCIAL OFFICER:

NAME

TITLE

TELEPHONE NUMBER

STREET ADDRESS

FAX NUMBER

CITY

STATE

ZIP CODE

EMAIL ADDRESS

PAYMENT MAILING ADDRESS (if different)

CITY

STATE

ZIP CODE

**J. DAY-TO-DAY PROGRAM CONTACT:**

NAME	TITLE	TELEPHONE NUMBER	
STREET ADDRESS		FAX NUMBER	
CITY	STATE	ZIP CODE	EMAIL ADDRESS

**K. DAY-TO-DAY FISCAL CONTACT:**

NAME	TITLE	TELEPHONE NUMBER	
STREET ADDRESS		FAX NUMBER	
CITY	STATE	ZIP CODE	EMAIL ADDRESS

**L. AUTHORIZED SIGNATURE**

By signing this application, I hereby certify that I am vested by the Applicant with the authority to enter into contract with the BSCC, and that the grantee and any subcontractors will abide by the laws, policies and procedures governing this funding.

NAME OF AUTHORIZED OFFICER	TITLE	TELEPHONE NUMBER	EMAIL ADDRESS
STREET ADDRESS	CITY	STATE	ZIP CODE
APPLICANT'S SIGNATURE (Blue Ink Only)			DATE
X			

**CONFIDENTIALITY NOTICE:**

All documents submitted as a part of the Adult Reentry Program Warm Handoff and Reentry Services sub-proposal are public documents and may be subject to a request pursuant to the California Public Records Act. The BSCC cannot ensure the confidentiality of any information submitted in or with this proposal.  
(Gov. Code, § § 6250 et seq.)

## Instructions for Proposal Narrative and Project Budget for Warm Handoff and Reentry Services Sub-Proposal

**Instructions:** The Proposal Narrative section must be submitted in the following format:

- Arial 12-point font
- One-inch margins on all four sides.
- The narrative must be 1.5-line spaced
- Cannot exceed **9 numbered pages** in length.

**Please note:** although proposals that exceed the page limit will not be automatically disqualified, any excess pages **will be removed** before being forwarded to the ESC for rating, which may affect the proposal's final score. Applicants will not be given the opportunity to reformat proposals to conform to these formatting requirements after the proposal deadline. Do not exceed the page limit.

For the Proposal Narrative, address each of the four (4) Rating Factor sections below.

### **1) Project Need**

### **2) Project Description**

### **3) Project Organizational Capacity and Coordination**

### **4) Project Evaluation and Monitoring**

Each section should be titled according to its section header as provided (e.g., Project Need, Project Description, etc.). Within each section, address the bulleted items in a cohesive, comprehensive narrative format. Do not include website links. It is up to the applicant to determine how to use the total page limit in addressing each section, however as a guide, the percent of total point value for each section is listed under each header.

These 9 pages do not include the Cover Sheet, Proposal Checklist, Applicant Information Form, One-Page Flowchart (optional), Work Plan, Budget Attachment, or other required attachments (see *Warm Handoff and Reentry Services Proposal Checklist page 34*).

Applicants *may* also include a one-page Sub-Proposal Flowchart representing the proposed Warm Handoff and Reentry Services project workflow or process.

**Instructions:** The Project Budget and Budget Narrative must be completed using the Warm Handoff and Reentry Services Budget Attachment (an Excel workbook, a link and instructions are provided on page 42) For the Budget and Budget Narrative address the Rating Factor section below:

### **5) Project Budget**

Each of the five (5) rating factors will be scored according to the following six-point rating scale:

## Six-Point Rating Scale

### Warm Handoff and Reentry Services Sub-Proposal Rating Criteria

Not Responsive 0	Poor 1	Fair 2	Satisfactory 3	Good 4	Excellent 5
The response <b>fails to address</b> the criteria	The response addresses the criteria in a <b>very inadequate</b> way.	The response addresses the criteria in a <b>non-specific or unsatisfactory</b> way.	The response addresses the criteria in an <b>adequate</b> way.	The response addresses the criteria in a <b>substantial</b> way.	The response addresses the criteria in an <b>outstanding</b> way.

Address the Rating Factor below in narrative form:

Rating Criteria for Project Need Weighted at 10%	
1.1	Description of the community(ies) need to be addressed by the Warm Handoff and Reentry Services Program.
1.2	Describe the target population to be served for the Warm Handoff and Reentry Services Program, including: <ul style="list-style-type: none"> <li>Relationship of the identified target population to the purpose of the Warm Handoff and Reentry Services Program.</li> <li>Needs of identified target population.</li> </ul>
1.3	Local service gaps that contribute to the need for the Warm Handoff and Reentry Services Program are identified.
1.4	Relevant local qualitative and/or quantitative data in support of the Warm Handoff and Reentry Services Program need are provided.

Address the Rating Factor below in narrative form:

Rating Criteria for Project Description Weighted at 35%	
2.1	Description of the proposed program goals, objectives and impact that includes the relationship to the need and intent of the Warm Handoff and Reentry Services Program <ul style="list-style-type: none"> <li>The completed Work Plan (Attachment A of the Warm Handoff and Reentry Services sub-proposal) is appropriate for the proposed project and aligns with the need and intent of the Warm Handoff and Reentry Services Program. The plan identifies the top three goals and objectives and how these will be achieved in terms of the activities, responsible staff/partner agencies, outcome measures, data sources and start and end dates.</li> </ul>
2.2	Description of the service types, sources of service, and method of delivery that will be made available to the target population in the proposed Warm Handoff and Reentry Services Program, including: <ul style="list-style-type: none"> <li>The plan for selecting the types and kinds of services to be provided to each participant (e.g., assessments).</li> <li>The projected number of the target population to be served.</li> <li>How the services will be delivered, including length and duration.</li> </ul>

	<ul style="list-style-type: none"> <li>• The roles, responsibilities and activities of the case managers, system navigators or other staff delivering services.</li> <li>• A list of any outside agencies and the services that those agencies will provide and/or connect to, has been submitted. Proposed interventions and resources to be made available to the target population are outlined. If providing housing-based services or linking to housing based-services, describe how the program supports the core components of Housing First.</li> </ul>
2.3	<p>Rationale for the proposed Warm Handoff and Reentry Services Program which includes:</p> <ul style="list-style-type: none"> <li>• The selection of evidence-based, promising, informed, or innovative practices, interventions, and services.</li> <li>• A description of relevant evidence or research to support the selection of the proposed program for the target population and the community.</li> </ul>

**Address the Rating Factor below in narrative form:**

<b>Rating Criteria for Project Organizational Capacity and Coordination</b> Weighted at 25%	
3.1	<p>Description of applicant's experience administering Warm Handoff and Reentry Services to the local target population, including:</p> <ul style="list-style-type: none"> <li>• Applicant's current capacity to serve the target population and provide access to treatment and case management.</li> <li>• How the proposed project, if funded, will increase capacity to serve the target population.</li> <li>• Description of readiness to proceed, if funded.</li> <li>• Key partners' letters of commitment describing involvement aligned with the proposed project, if applicable. If partner agency(ies) are to be selected after the grant is awarded, then specify the process and criteria for selecting those partner agency(ies).</li> </ul>
3.2	<p>Description of the plan for selecting, recruiting, and referring participants to the Warm Handoff and Reentry Services Program.</p> <ul style="list-style-type: none"> <li>• Include written agreements with partnering or referring agencies that will help ensure the projected number of participants are served, if applicable.</li> </ul>
3.3	<p>Description of the timeline for the execution of contract(s) and the implementation of services such that they are in place in a reasonable timeframe to support the project.</p>
3.4	<p>Description of outreach and community engagement efforts for the Warm Handoff and Reentry Services to include:</p> <ul style="list-style-type: none"> <li>• How people with lived experience or who are system impacted contribute to the project's design, implementation, and evaluation process.</li> <li>• How the applicant's administration (staff, leadership, board members, etc.) incorporates people with lived experience or who are system impacted.</li> <li>• The cultural competence of staff and partner agencies and how it is relevant to the proposed project.</li> <li>• The extent to which the program promotes collaboration with other partner agencies.</li> </ul>

**Address the Rating Factor below in narrative form:**

<b>Rating Criteria for Project Evaluation and Monitoring</b> Weighted at 10%	
4.1	Describe the plan to determine the staff and/or entity that will conduct the project evaluation and how monitoring activities will be incorporated in the various phases of the project; for example, start-up, implementation, service delivery period, etc.
4.2	Identify the process and outcome measures that are quantifiable and in line with the intent of the proposal and the objectives listed in the Work Plan.
4.3	Describe the preliminary plan for how to collect and evaluate baseline and outcome data related to the process and outcome measures identified in 4.2. Describe a plan for entering into data sharing agreements, if necessary.

**Address the rating factor below by completing the Warm Handoff and Reentry Services Budget Attachment (Instructions and link on the following page)**

<b>Rating Criteria for Project Budget</b> Weighted at 20%	
5.1	Provide complete and detailed budget information in each section of the Warm Handoff and Reentry Services Budget Attachment (link below) that includes: <ul style="list-style-type: none"><li>• A brief explanation supporting each expense.</li><li>• Expenses that are appropriate for the project's goals and planned activities.</li></ul>

### **Warm Handoff and Reentry Services Budget Attachment Instructions:**

As part of the sub-application process, sub-applicants are required to submit the **Warm Handoff and Reentry Services Budget Attachment**, which is an Excel Workbook that can be accessed using the link below.

Upon submission, the Warm Handoff and Reentry Services Budget Attachment will become Section 5 of the Warm Handoff and Reentry Services Sub-Proposal and will be rated as such based on the Program Budget rating criteria listed above.

Applicants are solely responsible for the accuracy and completeness of the information entered in the Budget Table and Budget Narrative Table. Detailed instructions for completing the Budget Attachment are listed on the Instructions tab of the Excel workbook.

**Warm Handoff and Reentry Services Budget Attachment - [Link](#)**

## Attachment A: Warm Handoff and Reentry Services Sub-Proposal Work Plan

Applicants for Warm Handoff and Reentry Services grant funds must complete a one to two page Project Work Plan. This Project Work Plan identifies measurable goals and objectives, activities and services, the responsible parties, data to be used to measure outcomes and a tentative timeline. Completed plans should (1) identify the top three project goal(s) and objectives; (2) identify how the goal(s) will be achieved in terms of the activities, responsible staff/partners, start and end dates, and outcome measures; and (3) provide goal(s), objectives, and measures with a clear relationship to the need and intent of the grant. To build the Adult Reentry Grant Program Warm Handoff and Reentry Services Project Work Plan, please use the form provided below. This form does NOT count toward the 9-page limit for the Proposal Narrative. Use Appendix D for information related to developing goals and objectives.

<b>(1) Goal:</b>			
Objectives (A., B., etc.):			
Outcome Measures:			
Project activities that will support the identified goal and objectives:	Responsible staff/ partners	Timeline	
		Start Date	End Date
List data and sources to be used to measure outcomes:			
<b>(2) Goal:</b>			
Objectives (A., B., etc.):			
Outcome Measures:			
Project activities that will support the identified goal and objectives:	Responsible staff/ partners	Timeline	
		Start Date	End Date
List data and sources to be used to measure outcomes:			

<b>(3) Goal:</b>			
Objectives (A., B., etc.):			
Outcome Measures:			
Project activities that will support the identified goal and objectives:	Responsible staff/ partners	Timeline	
		Start Date	End Date
List data and sources to be used to measure outcomes:			

## Appendices

Appendix A .....	Assembly Bill 128
Appendix B .....	Adult Reentry Grant Executive Steering Committee Roster
Appendix C .....	Welf. & Inst. Code, §§ 8255-8257.2
Appendix D .....	Glossary of Terms and Resources
Appendix E .....	Sample Grant Agreement
Appendix F .....	Certification of Compliance with BSCC Policies Regarding Debarment, Fraud, Theft, and Embezzlement
Appendix G .....	Assurance of Government Organization Commitment
Appendix H .....	Sample Governing Board Resolution
Appendix I .....	Local Evaluation Plan and Final Local Evaluation Report
Appendix J .....	Sample BSCC Comprehensive Monitoring Visit Tool

## Appendix A: Assembly Bill 128

# Assembly Bill 128

## Chapter 21

## The Budget Act of 2021

Board of State and Community Corrections .....	67,000,000
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Schedule:

(1) 4945-Corrections Planning and Grant Programs .....	67,000,000
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Provisions:

1. Of the amount appropriated in this item, \$67,000,000 shall be awarded by the Board of State and Community Corrections as competitive grants to community-based organizations to support offenders formerly incarcerated in state prison. Of the amount identified in this provision, up to 5 percent shall be available to the Board of State and Community Corrections for transfer to Schedule (1) of Item 5227-001-0001 for costs to administer the grant programs. Funds transferred pursuant to this provision are available for encumbrance or expenditure until June 30, 2024. Of this amount:

(a) \$33,500,000 shall be available for rental assistance. Priority shall be given to individuals released to state parole.

(b) \$33,500,000 shall be available to support the warm handoff and reentry of offenders transitioning from state prison to communities. Priority shall be given to individuals released to state parole.

(c) The board shall form an executive steering committee with members from relevant state agencies and departments with expertise in public health, housing, workforce development, and effective rehabilitative treatment for adult offenders, including, but not limited to, the Department of Housing and Community Development, the Office of Health Equity, county probation departments, representatives of reentry-focused community-based organizations, criminal justice impacted individuals, and representatives of housing-focused community-based organizations to develop grant program criteria and make recommendations to the board regarding grant award decisions.

2. Funds appropriated in this item are available for encumbrance or expenditure until June 30, 2024.

## Appendix B: Executive Steering Committee Roster

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### Adult Reentry Grant Cohort III

	Name	Title	Organization
1	Kelly Vernon (Chair)	Chief Probation Officer	Kings County Probation
2	America Velasco	Pre-Trial Coordinator	Solano County Superior Court
3	Armand King	Co-Founder	Paving Great Futures
4	Beth Hall	Member, Inmate Family Councils	Family of Incarcerated
5	Brendon Messina	Youth Advocate Coordinator	Yuba County Office of Education
6	Courtney Tacker	Director of Local Initiatives	California Homeless Coordinating Council
7	Chrystal Preciado	Business Owner	Private Citizen/Family Impacted
8	Crystal Riley	Supervising Deputy Probation Officer	Solano County Probation
9	Diana Peterson	Product Manager	Adobe Education Exchange Project
10	Janie Hodge	Executive Director	Paving the Way Foundation
11	Julyanna Mendez	Program Manager	Los Angeles Regional Reentry Partnership
12	Linda Fosler	Commissioner	Monterey County Behavioral Health Commission
13	Lois Perkins	Chief Executive Officer	Life Community Development
14	Shondra Caldwell	Student	Community Advocate
15	Sophia Lai	Director of Equity & Inclusion	San Francisco Department of Public Health

## Appendix C: Welf. & Inst. Code, §§ 8255-8257.2

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### WELFARE AND INSTITUTIONS CODE - WIC

#### DIVISION 8. MISCELLANEOUS [8050 - 8261]

*( Division 8 repealed and added by Stats. 1967, Ch. 1667. )*

#### CHAPTER 6.5. Housing First and Coordinating Council [8255 - 8257.2]

*( Chapter 6.5 added by Stats. 2016, Ch. 847, Sec. 2. )*

#### 8255.

For purposes of this chapter:

- (a) "Council" means the California Interagency Council on Homelessness, formerly known as the Homeless Coordinating and Financing Council established pursuant to Section 8257.
- (b) "Core components of Housing First" means all of the following:
- (1) Tenant screening and selection practices that promote accepting applicants regardless of their sobriety or use of substances, completion of treatment, or participation in services.
  - (2) Applicants are not rejected on the basis of poor credit or financial history, poor or lack of rental history, criminal convictions unrelated to tenancy, or behaviors that indicate a lack of "housing readiness."
  - (3) Acceptance of referrals directly from shelters, street outreach, drop-in centers, and other parts of crisis response systems frequented by vulnerable people experiencing homelessness.
  - (4) Supportive services that emphasize engagement and problem solving over therapeutic goals and service plans that are highly tenant-driven without predetermined goals.
  - (5) Participation in services or program compliance is not a condition of permanent housing tenancy.
  - (6) Tenants have a lease and all the rights and responsibilities of tenancy, as outlined in California's Civil, Health and Safety, and Government codes.
  - (7) The use of alcohol or drugs in and of itself, without other lease violations, is not a reason for eviction.
  - (8) In communities with coordinated assessment and entry systems, incentives for funding promote tenant selection plans for supportive housing that prioritize eligible tenants based on criteria other than "first-come-first-serve," including, but not limited to, the duration or chronicity of homelessness, vulnerability to early mortality, or high utilization of crisis services. Prioritization may include triage tools, developed through local data, to identify high-cost, high-need homeless residents.
  - (9) Case managers and service coordinators who are trained in and actively employ evidence-based practices for client engagement, including, but not limited to, motivational interviewing and client-centered counseling.
  - (10) Services are informed by a harm-reduction philosophy that recognizes drug and alcohol use and addiction as a part of tenants' lives, where tenants are engaged in nonjudgmental communication regarding drug and alcohol use, and where tenants are offered education regarding how to avoid risky behaviors and engage in safer practices, as well as connected to evidence-based treatment if the tenant so chooses.

(11) The project and specific apartment may include special physical features that accommodate disabilities, reduce harm, and promote health and community and independence among tenants.

(c) "Homeless" has the same definition as that term is defined in Section 91.5 of Title 24 of the Code of Federal Regulations.

(d) (1) "Housing First" means the evidence-based model that uses housing as a tool, rather than a reward, for recovery and that centers on providing or connecting homeless people to permanent housing as quickly as possible. Housing First providers offer services as needed and requested on a voluntary basis and that do not make housing contingent on participation in services.

(2) (A) "Housing First" includes time-limited rental or services assistance, so long as the housing and service provider assists the recipient in accessing permanent housing and in securing longer term rental assistance, income assistance, or employment.

(B) For time-limited, supportive services programs serving homeless youth, programs should use a positive youth development model and be culturally competent to serve unaccompanied youth under 25 years of age. Providers should work with the youth to engage in family reunification efforts, where appropriate and when in the best interest of the youth. In the event of an eviction, programs shall make every effort, which shall be documented, to link tenants to other stable, safe, decent housing options. Exit to homelessness should be extremely rare, and only after a tenant refuses assistance with housing search, location, and move-in assistance.

(e) "State programs" means any programs a California state agency or department funds, implements, or administers for the purpose of providing housing or housing-based services to people experiencing homelessness or at risk of homelessness, with the exception of federally funded programs with requirements inconsistent with this chapter.

*(Amended by Stats. 2021, Ch. 398, Sec. 3. (AB 1220) Effective January 1, 2022.)*

## 8256.

(a) Agencies and departments administering state programs created on or after July 1, 2017, shall collaborate with the California Interagency Council on Homelessness to adopt guidelines and regulations to incorporate core components of Housing First.

(b) By July 1, 2019, except as otherwise provided in subdivision (c), agencies and departments administering state programs in existence prior to July 1, 2017, shall collaborate with the council to revise or adopt guidelines and regulations that incorporate the core components of Housing First, if the existing guidelines and regulations do not already incorporate the core components of Housing First.

(c) (1) An agency or department that administers programs that fund recovery housing shall comply with the requirements of subdivision (b) by July 1, 2022.

(2) Until July 1, 2022, an agency or department that administers programs that fund recovery housing shall additionally do all of the following:

(A) In coordination with the California Interagency Council on Homelessness, consult with the Legislature, the Business, Consumer Services and Housing Agency, the California Health and Human Services Agency, the United States Department of Housing and Urban Development, and other stakeholders between July 1, 2020, and January 1, 2022, to identify ways to improve the provision of housing to individuals who receive funding from that agency or department, consistent with the applicable requirements of state law.

(B) Comply with the core components of Housing First, other than those components described in paragraphs (5) to (7), inclusive, of subdivision (b) of Section 8255.

- (C) Ensure that recovery housing programs meet the following requirements:
- (i) A recovery housing program participant shall sign an agreement upon entry that outlines the roles and responsibilities of both the participant and the program administrator to ensure individuals are aware of actions that could result in removal from the recovery housing program.
  - (ii) If a recovery housing program participant chooses to stop living in a housing setting with an abstinence focus, is discharged from the program, or is evicted from housing, the program administrator shall offer assistance in accessing other housing and services options, including options operated with harm-reduction principles. To the extent practicable, this assistance shall include connecting the individual with alternative housing providers, supportive services, and the local coordinated entry system, if applicable. This clause does not apply to an individual who leaves the program without notifying the program administrator.
  - (iii) The recovery housing program administrator shall track and report annually to the program's state funding source the housing outcome for each program participant who is discharged.
- (3) For purposes of this subdivision, "recovery housing" means sober living facilities and programs that provide housing in an abstinence-focused and peer-supported community for people recovering from substance use issues. Participation is voluntary, unless that participation is pursuant to a court order or is a condition of release for individuals under the jurisdiction of a county probation department or the Department of Corrections and Rehabilitation.
- (d) (1) Beginning on January 1, 2023, a grantee or entity operating any of the following state homelessness programs, as a condition of receiving state funds, shall enter the required data elements described in paragraph (8) on the individuals and families it serves into its local Homeless Management Information System, as required by the United States Department of Housing and Urban Development guidance described in paragraph (8), unless otherwise exempted by state or federal law:
- (A) The program referred to as Homekey, as described in Section 50675.1.1 of the Health and Safety Code.
  - (B) The Housing for a Healthy California Program established pursuant to Part 14.2 (commencing with Section 53590) of Division 31 of the Health and Safety Code.
  - (C) The No Place Like Home Program established pursuant to Part 3.9 (commencing with Section 5849.1) of Division 5.
  - (D) The Multifamily Housing Program (Chapter 6.7 (commencing with Section 50675) of Part 2 of Division 31 of the Health and Safety Code).
  - (E) The Veterans Housing and Homeless Prevention Act of 2014, as established by Article 3.2 (commencing with Section 987.001) of Chapter 6 of Division 4 of the Military and Veterans Code.
  - (F) The Bringing Families Home Program, as established by Article 6 (commencing with Section 16523) of Chapter 5 of Part 4 of Division 9.
  - (G) The CalWORKs Housing Support Program, as established by Article 3.3 (commencing with Section 11330) of Chapter 2 of Part 3 of Division 9.
  - (H) The Housing and Disability Income Advocacy Program, as established by Chapter 17 (commencing with Section 18999) of Part 6 of Division 9.
  - (I) The Community Colleges Homeless and Housing Insecure Pilot Project, as established by funds appropriated by the Budget Act of 2019.
  - (J) The Homeless Housing, Assistance, and Prevention Program established in Chapter 6 (commencing with Section 50216) of Part 1 of Division 31 of the Health and Safety Code.
- (2) Council staff, in consultation with respective administering state agencies or departments, shall specify the entry format and disclosure frequency for the programs

subject to this subdivision to submit the data elements as specified in paragraph (1) to inform and meet the council's statewide objectives and goals described in Section 8257.

(3) (A) The requirements of paragraph (1) shall additionally apply to all new state homelessness programs that commence on or after July 1, 2021.

(B) New state homelessness programs and new grantees of the existing state programs described in paragraph (1) may be granted an extension of up to one year from program launch to meet the requirements of this subdivision.

(4) For purposes of this subdivision, state homelessness programs are defined as those programs that are funded, in whole or in part, by the state with the express purpose of addressing or preventing homelessness or providing services to people experiencing homelessness. This definition shall be broadly construed for the purpose of carrying out the requirements of this subdivision.

(5) The requirements of paragraphs (1) and (3) do not supplant any existing requirements imposed on a grantee or entity operating a state program described in this subdivision that require the program to report data into their local Homeless Management Information Systems before January 1, 2023.

(6) (A) Any grantee or entity operating a program described in paragraph (1) or (3) that does not already collect and enter into the local Homeless Management Information System the data elements required under this subdivision shall, upon request, receive technical assistance and guidance from council staff and, as available, from federal partners, including, but not limited to, the United States Department of Housing and Urban Development.

(B) When a grantee or entity operating a program requests technical assistance, the council shall inform the respective administering state agency or department and offer the opportunity to partner or coordinate the provision of technical assistance.

(7) Any grantee or entity operating a program described in paragraph (1) shall, upon request, be granted an extension to meet the requirements in this subdivision, provided noncompliant grantees are making good faith progress towards meeting the requirements. An extension granted under this paragraph shall not extend beyond July 1, 2023. For purposes of this paragraph, "making good faith progress" includes, but is not limited to, engaging in technical assistance offered under paragraph (6) and establishing a plan to comply with this subdivision.

(8) For purposes of this subdivision, required data elements are the Universal Data Elements (Items 3.01–3.917) and the Common Data Elements (Items 4.02–4.20 and Item W5 of the Individual Federal Partner Program Elements) drawn from the United States Department of Housing and Urban Development Homeless Management Information System Data Standards. When necessary, due to federal changes to the items indicated in this paragraph, the required data elements may be amended to maintain alignment with federal standards.

(9) Beginning January 1, 2022, council staff shall provide aggregate data summaries collected in full pursuant to this subdivision to the respective administering state agencies or departments that oversee relevant programs within 45 days of receipt. Where feasible, council staff shall notify the respective administering state agencies or departments at least 14 days before sharing, publicly using, or referencing the data, including, but not limited to, using the data for any substantive analysis, summary statistics, or other findings.

*(Amended by Stats. 2021, Ch. 398, Sec. 4.5. (AB 1220) Effective January 1, 2022.)*

- (a) The Governor shall create an Interagency Council on Homelessness.
- (b) The council shall have all of the following goals:
  - (1) To oversee implementation of this chapter.
  - (2) To identify mainstream resources, benefits, and services that can be accessed to prevent and end homelessness in California.
  - (3) To create partnerships among state agencies and departments, local government agencies, participants in the United States Department of Housing and Urban Development's Continuum of Care Program, federal agencies, the United States Interagency Council on Homelessness, nonprofit entities working to end homelessness, homeless services providers, and the private sector, for the purpose of arriving at specific strategies to end homelessness.
  - (4) To promote systems integration to increase efficiency and effectiveness while focusing on designing systems to address the needs of people experiencing homelessness, including unaccompanied youth under 25 years of age.
  - (5) To coordinate existing funding and applications for competitive funding. Any action taken pursuant to this paragraph shall not restructure or change any existing allocations or allocation formulas.
  - (6) To make policy and procedural recommendations to legislators and other governmental entities.
  - (7) To identify and seek funding opportunities for state entities that have programs to end homelessness, including, but not limited to, federal and philanthropic funding opportunities, and to facilitate and coordinate those state entities' efforts to obtain that funding.
  - (8) To broker agreements between state agencies and departments and between state agencies and departments and local jurisdictions to align and coordinate resources, reduce administrative burdens of accessing existing resources, and foster common applications for services, operating, and capital funding.
  - (9) To serve as a statewide facilitator, coordinator, and policy development resource on ending homelessness in California.
  - (10) To report to the Governor, federal Cabinet members, and the Legislature on homelessness and work to reduce homelessness.
  - (11) To ensure accountability and results in meeting the strategies and goals of the council.
  - (12) To identify and implement strategies to fight homelessness in small communities and rural areas.
  - (13) To create a statewide data system or warehouse, which shall be known as the Homeless Data Integration System, that collects local data through Homeless Management Information Systems, with the ultimate goal of matching data on homelessness to programs impacting homeless recipients of state programs, such as the Medi-Cal program (Chapter 7 (commencing with Section 14000) of Part 3 of Division 9) and CalWORKs (Chapter 2 (commencing with Section 11200) of Part 3 of Division 9). Upon creation of the Homeless Data Integration System, all continuums of care, as defined in Section 578.3 of Title 24 of the Code of Federal Regulations, that are operating in California shall provide collected data elements, including, but not limited to, health information, in a manner consistent with federal law, to the Homeless Data Integration System.
- (A) Council staff shall specify the form and substance of the required data elements.

(B) Council staff may, as required by operational necessity, and in accordance with paragraph (8) of subdivision (d) of Section 8256, amend or modify data elements, disclosure formats, or disclosure frequency.

(C) To further the efforts to improve the public health, safety, and welfare of people experiencing homelessness in the state, council staff may collect data from the continuums of care as provided in this paragraph.

(D) Any health information or personal identifying information provided to, or maintained within, the Homeless Data Integration System shall not be subject to public inspection or disclosure under the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the Government Code).

(E) For purposes of this paragraph, "health information" includes "protected health information," as defined in Part 160.103 of Title 45 of the Code of Federal Regulations, and "medical information," as defined in subdivision (j) of Section 56.05 of the Civil Code.

(14) To set goals to prevent and end homelessness among California's youth.

(15) To improve the safety, health, and welfare of young people experiencing homelessness in the state.

(16) To increase system integration and coordinating efforts to prevent homelessness among youth who are currently or formerly involved in the child welfare system or the juvenile justice system.

(17) To lead efforts to coordinate a spectrum of funding, policy, and practice efforts related to young people experiencing homelessness.

(18) To identify best practices to ensure homeless minors who may have experienced maltreatment, as described in Section 300, are appropriately referred to, or have the ability to self-refer to, the child welfare system.

(19) To collect, compile, and make available to the public financial data provided to the council from all state-funded homelessness programs.

(c) (1) The council shall consist of the following members:

(A) The Secretary of the Business, Consumer Services and Housing Agency and the Secretary of the California Health and Human Services Agency, who both shall serve as cochairs of the council.

(B) The Director of Transportation.

(C) The Director of Housing and Community Development.

(D) The Director of Social Services.

(E) The Director of the California Housing Finance Agency.

(F) The Director or the State Medicaid Director of Health Care Services.

(G) The Secretary of Veterans Affairs.

(H) The Secretary of the Department of Corrections and Rehabilitation.

(I) The Executive Director of the California Tax Credit Allocation Committee in the Treasurer's office.

(J) The State Public Health Officer.

(K) The Director of the California Department of Aging.

(L) The Director of Rehabilitation.

(M) The Director of State Hospitals.

(N) The executive director of the California Workforce Development Board.

(O) The Director of the Office of Emergency Services.

(P) A representative from the State Department of Education, who shall be appointed by the Superintendent of Public Instruction.

(Q) A representative of the state public higher education system who shall be from one of the following:

(i) The California Community Colleges.

(ii) The University of California.

(iii) The California State University.

(2) The Senate Committee on Rules and the Speaker of the Assembly shall each appoint one member to the council from two different stakeholder organizations.

(3) The council may, at its discretion, invite stakeholders, individuals who have experienced homelessness, members of philanthropic communities, and experts to participate in meetings or provide information to the council.

(4) The council shall hold public meetings at least once every quarter.

(d) The council shall regularly seek guidance from and, at least twice a year, meet with an advisory committee. The cochairs of the council shall appoint members to this advisory committee that reflects racial and gender diversity, and shall include the following:

(1) A survivor of gender-based violence who formerly experienced homelessness.

(2) Representatives of local agencies or organizations that participate in the United States Department of Housing and Urban Development's Continuum of Care Program.

(3) Stakeholders with expertise in solutions to homelessness and best practices from other states.

(4) Representatives of committees on African Americans, youth, and survivors of gender-based violence.

(5) A current or formerly homeless person who lives in California.

(6) A current or formerly homeless youth who lives in California.

(7) This advisory committee shall designate one of the above-described members to participate in every quarterly council meeting to provide a report to the council on advisory committee activities.

(e) Within existing funding, the council may establish working groups, task forces, or other structures from within its membership or with outside members to assist it in its work. Working groups, task forces, or other structures established by the council shall determine their own meeting schedules.

(f) Upon request of the council, a state agency or department that administers one or more state homelessness programs, including, but not limited to, an agency or department represented on the council pursuant to subdivision (c), the agency or department shall be required to do both of the following:

(1) Participate in council workgroups, task forces, or other similar administrative structures.

(2) Provide to the council any relevant information regarding those state homelessness programs.

(g) The members of the council shall serve without compensation, except that members of the council who are, or have been, homeless may receive reimbursement for travel, per diem, or other expenses.

(h) The appointed members of the council or committees, as described in this section, shall serve at the pleasure of their appointing authority.

(i) The Business, Consumer Services and Housing Agency shall provide staff for the council.

(j) The members of the council may enter into memoranda of understanding with other members of the council to achieve the goals set forth in this chapter, as necessary, in order to facilitate communication and cooperation between the entities the members of the council represent.

(k) There shall be an executive officer of the council under the direction of the Secretary of Business, Consumer Services and Housing.

(l) The council shall be under the direction of the executive officer and staffed by employees of the Business, Consumer Services and Housing Agency.

*(Amended by Stats. 2021, Ch. 398, Sec. 5.5. (AB 1220) Effective January 1, 2022.)*

(a) It is the intent of the Legislature to obtain trustworthy information to connect funding allocated to prevent and end homelessness with established sheltering and housing resources and to provide state agencies with accurate information to allow for more accurate forecasting to target future investments. To advance these goals, the coordinating council shall, upon appropriation by the Legislature, do all of the following:

(1) Conduct, or contract with an entity to conduct, a statewide homelessness assessment that will do all of the following:

(A) Identify all programs a state agency funds, implements, or administers for the purpose of providing unsheltered outreach services, emergency shelter, housing or housing-based services to persons experiencing homelessness or at risk of homelessness and do all of the following:

(i) Identify homelessness interventions and service categories available statewide and in geographically diverse regions across the state.

(ii) Compile the amount of funding distributed to local jurisdictions and its stated intent by the administering entity.

(iii) Identify the intended uses for the funds identified pursuant to clause (ii) by type of intervention as stated by local jurisdictions requesting funding made available for housing- or homelessness-related services.

(iv) Identify conditions or premise of the funds identified pursuant to clause (ii) as it relates to leveraging nonstate dollars.

(v) If applicable, reasons for the unavailability of data.

(B) Obtain the following information for each program identified in subparagraph (A) to the extent that data is available in local Homeless Management Information Systems (HMIS), the Homeless Data Integration System (HDIS) or other readily available data sources:

(i) The number of permanent housing units that the program made available.

(ii) The amount of rental subsidies, vouchers, or other forms of financial support intended to prevent homelessness or to rehouse individuals that the program made available.

(iii) The number of emergency shelter beds, vouchers, or units that the program made available.

(iv) The wrap around services that the program offered.

(C) Collect data, to the extent data it is available, on the numbers and demographics of persons served through the identified services, including, but not limited to, a quantification of the disparities across age, race, ethnicity, and other demographics based on the following subpopulation categories to describe the homelessness population relative to the general population:

(i) Young adults.

(ii) Unaccompanied minors.

(iii) Single adults experiencing either chronic or nonchronic patterns of homelessness, of first-time homelessness.

(iv) Adults over 50 years of age.

(v) Veterans.

(vi) Families experiencing either chronic or nonchronic patterns of homelessness, or first-time homelessness.

(D) For each program identified pursuant to subparagraph (A) that provides housing or homelessness-related services, collect and analyze the following data:

(i) The number of persons served annually by service or intervention type by age, gender, and racial subgroupings.

- (ii) Typical service mix use to develop portrait of the “types” of system clients to better understand the holistic needs of people experiencing homelessness and to forecast future uses and policies of resources intended to address homelessness.
  - (iii) The service, services, or service mixes that are associated with individuals exiting homelessness.
  - (iv) The duration and frequency individuals accessed services, on average, and the length of time from program intake to the date the individual moves into permanent housing or resolves homelessness.
  - (v) Each type of housing and each type of intervention provided disaggregated by age, racial, and gender characteristics of recipients.
  - (vi) The number of individuals whose homelessness was prevented after accessing homelessness prevention services
  - (vii) Information about the people who accessed the resources identified in subparagraph (B) and disaggregated by demographic characteristics described in subparagraph (C).
  - (viii) Analyze the results of current permanent and interim housing programs by program type.
  - (ix) Additional data necessary to provide a comprehensive view of the homelessness response system.
- (E) Provide the reasons for lack of data availability, if applicable.
- (2) (A) For purposes of collecting data to conduct the assessment pursuant to paragraph (1), evaluate available data, including, but not limited to, HDIS, data from state agencies administering homelessness funds, statewide and local homeless point-in-time counts and housing inventory counts, and available statewide information on the number or rate of persons exiting state-funded institutional settings, including, but not limited to, state prisons and, to the extent possible, local jails, into homelessness.
- (B) The coordinating council may work with a technical assistance provider from the federal Department of Housing and Urban Development to complete the assessment.
- (C) For purposes of collecting data pursuant to paragraph (1), a local government may collaborate with the coordinating council or the entity conducting the statewide assessment to, if available, share existing data from existing local analyses of system needs or gaps to complement other data requested.
- (D) The coordinating council shall submit an interim report by July 1, 2022, to the Assembly Housing and Community Development Committee, the Assembly Committee on Budget, Senate Committee on Housing, and Senate Committee on Budget and Fiscal Review. The report submitted pursuant to this paragraph shall comply with Section 9795 of the Government Code.
- (E) The council shall report on the final assessment by December 31, 2022, to the Assembly Housing and Community Development Committee, the Assembly Committee on Budget, Senate Committee on Housing, and Senate Committee on Budget and Fiscal Review. The report submitted pursuant to this paragraph shall comply with Section 9795 of the Government Code.
- (b) For purposes of this section, all of the following definitions apply:
- (1) “Chronic homelessness” has the same definition as that in Section 578.3 of Title 24 of the Code of Federal Regulations, as that section read on January 1, 2020.
- (2) “State-funded institutional settings” include, but are not limited to, justice, juvenile justice, child welfare, and health care settings.
- (3) “Young adult” means a person 18 to 24 years of age, inclusive.
- (4) “Persons at risk of homelessness” means a person or family in the circumstances described in Section 11302(a)(5) of Title 42 of the United States Code.
- (5) “Homeless” has the same meaning as defined in Section 578.3 of Title 24 of the Code of Federal Regulations, as that section read on January 10, 2019.

8257.2.

(a) Notwithstanding any other law, for purposes of designing, collecting data for, and approving the assessment described in Section 8257.1, a state agency that has a member on the coordinating council shall, within 60 days of a request for data pertaining to that state agency, provide to the council, or the entity conducting the assessment, the requested data, including, but not limited to, the number or rate of persons exiting state-funded institutional settings into homelessness. State agencies shall be granted reasonable extensions beyond 60 days as necessary to produce high quality data. The state department or agency shall remove any personally identifying data provided pursuant to this subdivision, if any.

(b) The coordinating council shall provide the local data collected pursuant to Section 8257.1 to the respective administering state agencies overseeing those programs within 45 days of receipt.

(1) The coordinating council and the state agency receiving data pursuant to this subdivision shall work in collaboration to determine the format and timing of delivery of local data collected to comply with data security and privacy practices and availability of staff to execute requests.

(2) When feasible, the coordinating council shall notify the state agency receiving data pursuant to this subdivision at least seven days prior to sharing or publicly using or referencing the data, including, but not limited to, using the data for any substantive analysis summary statistics, or other findings.

(c) For purposes of this section, the following definitions apply:

(1) "Personally identifying information" has the same meaning as that in Section 1798.79.8 of the Civil Code.

(2) "State-funded institutional settings" include, but are not limited to, justice, juvenile justice, child welfare, and health care settings.

*(Added by Stats. 2021, Ch. 111, Sec. 28. (AB 140) Effective July 19, 2021.)*

## Appendix D: Glossary of Terms and Resources

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### Key Terms

Below are definitions and descriptors for key terms that are referenced throughout this RFP.

1. **Community-Based Organization**—for the purpose of this RFP process, a Community-Based Organization (CBO) is an organization that is located in the State of California that has been determined by the IRS to have 501(c)(3) status (i.e., nonprofit).
2. **Evidence-based / Promising Practices**—Evidence-based practices are programs and strategies that have been found effective at improving positive or preventing negative outcomes, using rigorous scientific research methods. Programs and strategies may be evidence-based across all populations, or only for particular cultures and identities. Promising practices are programs and strategies that have shown some positive results and potential for improving desired outcomes. They may have evidence from use in real-world settings, a strong theoretical framework, and/or expert opinion, but have not been fully replicated in scientific studies. Depending on the level of scientific evidence, these are sometimes referred to as “evidence-informed,” “research-supported,” or “emerging” practices.
3. **Financial Audit**—A financial audit provides assurances that an organization’s financial statements are free of material misstatement based upon the application of generally accepted accounting principles.
4. **Harm Reduction**—a set of practical strategies that reduce negative consequences of drug use. It incorporates a spectrum of strategies that move through stages of safer use, managed use, and abstinence. Harm reduction strategies meet drug users “where they’re at,” addressing conditions of use with the use itself. It can also be used to address other behavioral health concerns.

#### *Harm Reduction Principles:*

1. The individual has a voice in the process and identifies goals and a path to achieve them
2. Workers raise awareness of risk and strategies to reduce harm
3. The focus is on reducing harm, not consumption
4. There are no pre-defined outcomes
5. Abstinence may be a goal but alternatives to reduce risk are equally valued
6. The Individual’s decisions to engage in risky behaviors is accepted
7. Does not condone risk that can cause serious harm
8. The individual is expected to take responsibility for his or her own behavior
9. The individual is treated with dignity
10. Recovery is a non-linear process

11. Services are highly accessible: low barriers, informal atmosphere, extended hours<sup>1</sup>
5. **Partner Agencies**—collaborative partners on the project that include subcontractors, verbal referral agreements, organizations with whom you have a Memorandum of Understanding (MOU), governmental agencies with or without an official MOU. A partner agency may be an agency providing services or providing referrals.
  6. **Qualitative Data**—data/information that is based on written or spoken narratives. The purpose of qualitative data/information is to explain and gain insight and understanding of events through collection of narrative data/information.
  7. **Quantitative Data**—data/information that is based on numbers and mathematical calculations. The purpose of quantitative data is to explain, predict, and/or control events through focused collection of numerical data.
  8. **Rental Assistance**—activities and services that are intended to help eligible people establish or maintain affordable permanent housing.
  9. **Short-term or Emergency Housing Support**—those activities or services that provide temporary housing up to 90 days.
  10. **Target Population**—individuals 18 and over that have been formerly incarcerated in state prison with priority given to those recently released and/or on state parole.
  11. **Warm Handoff and Reentry Services**—activities and services that place a priority on services that lead to permanent housing and the provision of critical time intervention that meets the immediate needs of individuals upon their release from prison or placement by parole.

## Housing First Resources

Below are links to resources related to Housing First information and resources that applicants may find useful in developing a program and sub-proposal for the Adult Reentry Grant Program. This list is not meant to be exhaustive but may be a starting point for applicants:

1. Housing First Checklist: Assessing Projects and Systems for a Housing First Orientation [https://www.usich.gov/resources/uploads/asset\\_library/Housing\\_First\\_Checklist\\_FINAL.pdf](https://www.usich.gov/resources/uploads/asset_library/Housing_First_Checklist_FINAL.pdf)
2. What is Housing First? California Department of Housing and Community Development <http://hcd.ca.gov/grants-funding/active-funding/docs/Housing-First-Fact-Sheet.pdf>

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<sup>1</sup> Corporation for Supportive Housing <http://www.homelesshouston.org/wp-content/uploads/2014/10/2a-Harm-Reduction-9-2014.pdf>

3. Housing First in Permanent Supportive Housing  
<https://www.hudexchange.info/resources/documents/Housing-First-Permanent-Supportive-Housing-Brief.pdf>
4. Permanent Supportive Housing Evidence-Based Practices KIT  
<https://store.samhsa.gov/product/Permanent-Supportive-Housing-Evidence-Based-Practices-EBP-KIT/SMA10-4509>
5. Wikipedia Housing First  
[https://en.wikipedia.org/wiki/Housing\\_First](https://en.wikipedia.org/wiki/Housing_First)
6. Deploying Housing First Systemwide  
<https://www.usich.gov/solutions/housing/housing-first/>
7. Reentry and Housing  
<http://www.reentryandhousing.org/private-housing/>

## Evaluative Terms

### Local Evaluation Plan and Local Evaluation Report<sup>2</sup>

The purpose of the Local Evaluation Plan and the Local Evaluation Report is to identify whether the program achieved its goals and objectives. Outcome measures are designed to answer the question: “What results did the program produce?” Examples of outcome measures could include:

- Results of pre/post surveys (e.g., improvements in the number of high school graduates or reductions in law enforcement contacts).
- Implementation of programs aimed at increasing the number of youth enrolled in mentoring programs.
- Changes in policies that improve access to alcohol and substance use prevention services for youth.

### Goal versus Objective

Goals and objectives are necessary components of the Sub-Proposal, Project Work Plan, Local Evaluation Plan and Report. These common terms are sometimes used interchangeably because both refer to the intended results of program activities. Goals are longer-term than objectives, more broadly stated and govern the specific objectives to which program activities are directed.

In proposals, goals are defined by broad statements of what the program intends to accomplish, representing the long-term intended outcome of the program<sup>3</sup>.

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<sup>2</sup> Justice Research and Statistics Association, Juvenile Justice Evaluation Center. (2003, June). *Juvenile Justice Program Evaluation: An overview* (Second Edition) p. 7. Retrieved from <http://www.jrsa.org/pubs/juv-justice/program-evaluation.pdf>

<sup>3</sup> Justice Research and Statistics Association, Juvenile Justice Evaluation Center. (2003, June). *Juvenile Justice Program Evaluation: An overview* (Second Edition). Retrieved from <http://www.jrsa.org/njiec/publications/program-evaluation.pdf>. See also New York State Division of Criminal Justice Services. *A Guide to Developing Goals and Objectives for Your Program*. Retrieved from <http://www.criminaljustice.ny.gov/ofpa/goalwrite.htm>.

Examples of goal statements<sup>4</sup>:

- To reduce the number of people who commit serious and chronic offenses.
- To divert people from state correctional institutions for non-violent offenses.
- To restore the losses suffered by the victims of crimes.

Objectives are defined by statements of specific, measurable aims of program activities<sup>2</sup>. Objectives detail the tasks that must be completed to achieve goals<sup>3</sup>. Descriptions of objectives in the proposals should include three elements<sup>5</sup>:

- 1) Direction – the expected change or accomplishment (e.g., improve, maintain);
- 2) Timeframe – when the objective will be achieved; and
- 3) Target Population– who is affected by the objective.

Examples of program objectives<sup>6</sup>:

- By the end of the program, drug-addicted participants will recognize the long-term consequences of drug use.
- To place eligible participants in an intensive supervision program within two weeks of adjudication to ensure offender accountability and community safety.
- To ensure that participants who have harmed others, and have agreed to participate in the program, carry out all the terms of the mediation agreements they have worked out with their victims by program completion.

## Principles of Effective Intervention

During the past two decades, there has been renewed interest in examining correctional research. These efforts have been led by researchers such as Gendreau, Andrews, Cullen, Lipsey and others.<sup>7</sup> Much evidence has been generated, leading to the conclusion that many rehabilitation programs have, in fact, produced significant reductions in recidivism. The next critical issue became the identification of those characteristics most commonly associated with effective programs. Through the work of numerous scholars (Andrews et al., 1990<sup>8</sup>; Cullen and Gendreau, 2000<sup>9</sup>; Lipsey 1999<sup>10</sup>), several “principles of effective intervention” have been identified. These principles can be briefly categorized as the following:

- Assess Actuarial Risk/Needs

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<sup>4</sup> *Id.* at p. 4.

<sup>5</sup> Justice Research and Statistics Association, Juvenile Justice Evaluation Center. (2003, June). *Juvenile Justice Program Evaluation: An overview (Second Edition)* p. 5. Retrieved from <http://www.jrsa.org/njiec/publications/program-evaluation.pdf>.

<sup>6</sup> *Id.*

<sup>7</sup> For a thorough review of this research, see Cullen, F.T. and B.K. Applegate. 1998. *Offender rehabilitation: Effective correctional intervention*. Brookfield, Vt.: Ashgate Dartmouth.

<sup>8</sup> Andrews, D.A., I. Zinger, R.D. Hoge, J. Bonta, P. Gendreau and F.T. Cullen. 1990. Does correctional treatment work? A clinically relevant and psychologically informed meta-analysis. *Criminology* 28(3):369-404.

<sup>9</sup> Cullen, F.T. and P. Gendreau. 2000. Assessing correctional rehabilitation: Policy, practice, and prospects. In *Criminal justice 2000: Volume 3 – Policies, processes, and decisions of the criminal justice system*, ed. J. Horney, 109-175. Washington, D.C.: U.S. Department of Justice, National Institute of Justice.

<sup>10</sup> Lipsey, M.W. 1999. Can intervention rehabilitate serious delinquents? *The Annals of the American Academy of Political and Social Science*, 564(2):142-166.

- Enhance Intrinsic Motivation
- Target Interventions
  - Risk Principle
  - Need Principle
  - Responsivity Principle
  - Dosage
  - Treatment Principle
- Skill Train with Directed Practice
- Increase Positive Reinforcement
- Engage Ongoing Support in Natural Communities
- Measure Relevant Processes/Practices
- Provide Measurement Feedback

## Appendix E: Sample Grant Agreement

STATE OF CALIFORNIA DEPARTMENT OF GENERAL SERVICES

SCO ID:

### STANDARD AGREEMENT

STD 213 (Rev 03/2019)

AGREEMENT NUMBER

**BSCC XXX-22**

PURCHASING AUTHORITY NUMBER (If Applicable)

1. This Agreement is entered into between the Contracting Agency and the Contractor named below:

CONTRACTING AGENCY NAME

**BOARD OF STATE AND COMMUNITY CORRECTIONS**

CONTRACTOR NAME

**GRANTEE NAME**

2. The term of this Agreement is:

START DATE

**OCTOBER 1, 2022**

THROUGH END DATE

**APRIL 30, 2026**

3. The maximum amount of this Agreement is:

**\$000,000.00**

4. The parties agree to comply with the terms and conditions of the following exhibits and attachments, which are by this reference made a part of the Agreement.

EXHIBITS	TITLE	PAGES
Exhibit A	Scope of Work	4
Exhibit B	Budget Detail and Payment Provisions	4
Exhibit C	General Terms and Conditions (04/2017)	4
Exhibit D	Special Terms and Conditions	5
Attachment 1*	Adult Reentry Grant (ARG) Program Request for Proposals	*
Attachment 2	ARG Application for Funding	xx
Appendix A	ARG Executive Steering Committee Roster	1
Appendix B	Criteria for Non-Governmental Organizations Receiving ARG Funds	2

\* This item is hereby incorporated by reference and can be viewed at: [http://www.bscc.ca.gov/s\\_argrant](http://www.bscc.ca.gov/s_argrant)

IN WITNESS WHEREOF, THIS AGREEMENT HAS BEEN EXECUTED BY THE PARTIES HERETO.

### CONTRACTOR

CONTRACTOR NAME (if other than an individual, state whether a corporation, partnership, etc.)

**GRANTEE NAME**

CONTRACTOR BUSINESS ADDRESS

xxx

CITY

xxx

STATE

xx

ZIP

xxx

PRINTED NAME OF PERSON SIGNING

xxx

TITLE

xxx

CONTRACTOR AUTHORIZED SIGNATURE



DATE SIGNED

### STATE OF CALIFORNIA

CONTRACTING AGENCY NAME

**BOARD OF STATE AND COMMUNITY CORRECTIONS**

CONTRACTING AGENCY ADDRESS

2590 Venture Oaks Way, Ste 200

CITY

Sacramento

STATE

CA

ZIP

95833

PRINTED NAME OF PERSON SIGNING

RICARDO GOODRIDGE

TITLE

Deputy Director

CONTRACTING AGENCY AUTHORIZED SIGNATURE



DATE SIGNED

CALIFORNIA DEPARTMENT OF GENERAL SERVICES APPROVAL: EXEMPT PER SCM, VOLUME 1, CH. 4.06

## EXHIBIT A SCOPE OF WORK

### 1. GRANT AGREEMENT – Adult Reentry Grant

This Grant Agreement is between the State of California, Board of State and Community Corrections (hereafter referred to as BSCC) and Grantee Name (hereafter referred to as the Grantee).

### 2. PROJECT SUMMARY AND ADMINISTRATION

A. Project Summary here.....

B. Grantee agrees to administer the project in accordance with Attachment 1: ARG Program Request for Proposals (incorporated by reference) and Attachment 2: ARG Application for Funding, which is attached and hereto and made part of this agreement.

### 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 regarding the interpretation, performance, or payment for work performed under this Grant Agreement.

B. The Grantee's project officials shall be those identified as follows:

**Authorized Officer** with legal authority to sign:

Name: XXX  
Title: XXX  
Address: XXX  
Phone: XXX  
Email: XXX

**Designated Financial Officer** authorized to receive warrants:

Name: XXX  
Title: XXX  
Address: XXX  
Phone: XXX  
Email: XXX

**Project Director** authorized to administer the project:

Name: XXX  
Title: XXX  
Address: XXX  
Phone: XXX  
Email: XXX

C. Either party may change its project representatives upon written notice to the other party.

## EXHIBIT A SCOPE OF WORK

D. By signing this Grant Agreement, the Authorized Officer listed above warrants that he or she has full legal authority to bind the entity for which he or she signs.

### 4. DATA COLLECTION

Grantees will be required to comply with all data collection and reporting requirements as described in Attachment 1: ARG Program Request for Proposals and Attachment 2: ARG Application for Funding.

### 5. REPORTING REQUIREMENTS

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:

#### Progress Report Periods

1. October 1, 2022 to December 31, 2022
2. January 1, 2023 to March 31, 2023
3. April 1, 2023 to June 30, 2023
4. July 1, 2023 to September 30, 2023
5. October 1, 2023 to December 31, 2023
6. January 1, 2024 to March 31, 2024
7. April 1, 2024 to June 30, 2024
8. July 1, 2024 to September 30, 2024
9. October 1, 2024 to December 31, 2024
10. January 1, 2025 to March 31, 2025
11. April 1, 2025 to June 30, 2025
12. July 1, 2025 to September 30, 2025
13. October 1, 2025 to December 31, 2025

#### Due no later than:

February 15, 2023  
May 15, 2023  
August 15, 2023  
November 15, 2023  
February 15, 2024  
May 15, 2024  
August 15, 2024  
November 15, 2024  
February 18, 2025  
May 15, 2025  
August 15, 2025  
November 17, 2025  
February 17, 2026

*Note: Service delivery period ends December 31, 2025. The period of January 1, 2026 to April 30, 2026 is for completion of Local Evaluation Report and financial audit only.*

#### Other

Financial Audit Report  
Local Evaluation Report

#### Due no later than:

April 30, 2026  
April 30, 2026

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

## **EXHIBIT A**

### **SCOPE OF WORK**

#### **6. PROJECT 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 also required for all subcontractors and consultants.
- 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.

#### **7. CONFLICT OF INTEREST**

- A. Existing law prohibits any grantee, subgrantee, partner or like party who participated on the ARG Scoring Committee (See Appendix A) from receiving funds awarded under the ARG RFP. Applicants who are awarded grants under this RFP are responsible for reviewing the ARG Scoring Committee membership roster (see Appendix A) and ensuring that no grant dollars are passed through to any entity represented by the members of the ARG ESC.
- B. In cases of an actual conflict of interest with an ESC member, the Board may revoke the grant award and legal consequences could exist for the parties involved, including, but not limited to, repayment of the grant award.

#### **8. FINANCIAL AUDIT**

Grantees are required to provide the BSCC with a financial audit no later than the end of the contract term, April 30, 2026. The financial audit shall be performed by a Certified Public Accountant or a participating county or city auditor that is organizationally independent from

**EXHIBIT A**  
**SCOPE OF WORK**

the participating county's or city's project financial management functions. Expenses for this final audit may be reimbursed for actual costs up to \$25,000.

**EXHIBIT B**  
**BUDGET DETAIL AND PAYMENT PROVISIONS**

**1. STATEMENTS OF EXPENDITURES AND PAYMENTS**

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

<b>Quarterly Statement of Expenditure Periods:</b>	<b>Due No Later Than:</b>
1. October 1, 2022 to December 31, 2022	February 15, 2023
2. January 1, 2023 to March 31, 2023	May 15, 2023
3. April 1, 2023 to June 30, 2023	August 15, 2023
4. July 1, 2023 to September 30, 2023	November 15, 2023
5. October 1, 2023 to December 31, 2023	February 15, 2024
6. January 1, 2024 to March 31, 2024	May 15, 2024
7. April 1, 2024 to June 30, 2024	August 15, 2024
8. July 1, 2024 to September 30, 2024	November 15, 2024
9. October 1, 2024 to December 31, 2024	February 18, 2025
10. January 1, 2025 to March 31, 2025	May 15, 2025
11. April 1, 2025 to June 30, 2025	August 15, 2025
12. July 1, 2025 to September 30, 2025	November 17, 2025
13. October 1, 2025 to December 31, 2025	February 17, 2026

*Note: Service delivery period ends December 31, 2025. The period of January 1, 2026 to April 30, 2026 is for completion of Local Evaluation Report and financial audit only.*

<b>Final Expenditure Periods:</b>	<b>Due no later than:</b>
1. January 1, 2026 to March 31, 2026	May 15, 2026
2. April 1, 2026 to April 30, 2026	May 15, 2026

- B. All grant project expenditures (excluding costs associated with the completion of the Final Local Evaluation Report and the financial audit) and all obligated match contributions must be incurred by the end of the grant project period, December 31, 2025, and included on the final invoice due February 17, 2026. Project costs/match contributions incurred after December 31, 2025 will not be reimbursed/eligible for contribution.

- C. The Final Local Evaluation Report is due to BSCC by April 30, 2026. Expenditures incurred for the completion of the Final Local Evaluation Report during the period of January 1, 2026 to April 30, 2026 must be submitted during the Final Expenditure Periods, with the final invoice due May 15, 2026.

## **EXHIBIT B**

### **BUDGET DETAIL AND PAYMENT PROVISIONS**

Supporting fiscal documentation will be required for all expenditures claimed during the Final Invoicing Periods and must be submitted with the final invoice.

- D. The financial audit is due to BSCC by April 30, 2026. Expenditures incurred for the completion of the financial audit during the period of January 1, 2026 to April 30, 2026 must be submitted during the Final Expenditure Periods, with the final statement of expenditure due May 15, 2026. Supporting fiscal documentation will be required for all expenditures claimed during the Final Invoicing Periods and must be submitted with the final invoice.
- E. A statement of expenditures is due to the BSCC even if grant funds are not expended during the reporting period. Supporting documentation must be submitted for expenditures upon BSCC's request. All supporting documentation must be maintained by the grantee on site and be readily available for review during BSCC site visits.
- F. Any unspent funds remaining at the end of the agreement term, including any interest earned, must be returned to the BSCC within 30 days of the end of the grant agreement.

## **2. GRANT AMOUNT AND LIMITATION**

- A. 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.
- B. Under no circumstance will a budget item change be authorized that would cause the project to exceed the amount of the grant award identified in this Grant Agreement.

## **3. BUDGET CONTINGENCY CLAUSE**

- A. This grant agreement is valid through ARG funding generated from the General Fund. The 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 funding granted through the California Budget Act of 2021 (Assembly Bill 128, Chapter 21, Statutes of 2021). It is mutually agreed that if the Budget Act does not appropriate sufficient funds for the program, this Grant Agreement shall be of no further force and effect. In this event, the BSCC shall have no liability to pay any funds whatsoever to Grantee or to furnish any other considerations under this Agreement and Grantee shall not be obligated to perform any provisions of this Grant Agreement.
- B. If ARG funding is reduced or falls below estimates contained within the ARG Request for Proposals, the BSCC shall have the option to either cancel this Grant Agreement

## **EXHIBIT B**

### **BUDGET DETAIL AND PAYMENT PROVISIONS**

with no liability occurring to the BSCC or offer an amendment to this agreement to the Grantee to reflect a reduced amount.

- C. If BSCC cancels the agreement pursuant to Paragraph 3(B) or Grantee does not agree to an amendment in accordance with the option provided by Paragraph 3(B), it is mutually agreed that the Grant Agreement shall have no further force and effect. In this event, the BSCC shall have no liability to pay any funds whatsoever to Grantee or to furnish any other considerations under this Agreement and Grantee shall not be obligated to perform any provisions of this Grant Agreement except that Grantee shall be required to maintain all project records required by Paragraph 6 of Exhibit A for a period of three (3) years following the termination of this agreement.

#### **4. PROJECT COSTS**

- A. Grantee is responsible for ensuring that actual expenditures are for eligible project costs. "Eligible" and "ineligible" project costs are set forth in the July 2020 BSCC Grant Administration Guide, which can be found under Quick Links here:

[https://www.bscc.ca.gov/s\\_correctionsplanningandprograms/](https://www.bscc.ca.gov/s_correctionsplanningandprograms/)

The provisions of the BSCC Grant Administration Guide are incorporated by reference into this agreement and Grantee shall be responsible for adhering to the requirements set forth therein. To the extent any of the provisions of the BSCC Grant Administration Guide and this agreement conflict, the language in this agreement shall prevail.

- B. Grantee is responsible for ensuring that statements of expenditures submitted to the BSCC claim actual expenditures for eligible project costs.
- C. 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.
- D. Grant funds must be used to support new program activities or to augment existing funds that expand current program activities. Grant funds shall not replace (supplant) any federal, state and/or local funds that have been appropriated for the same purpose. Violations can result in recoupment of monies provided under this grantor suspension of future program funding through BSCC grants.

#### **5. PROMPT PAYMENT CLAUSE**

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

**EXHIBIT B**  
**BUDGET DETAIL AND PAYMENT PROVISIONS**

**6. 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 the Grantee has materially and substantially breached the terms and conditions of this Grant Agreement.
- B. The BSCC will not approve grantee expenditures for costs identified as ineligible for grant funding. If grant funds have been provided for costs subsequently deemed 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.
- C. 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.

**7. PROJECT BUDGET**

Budget Line Items	Grant Funds
1. Salaries and Benefits	\$0
2. Services and Supplies	\$0
3. Professional Services	\$0
4. Non-Governmental Organization (NGO) Subcontracts	\$0
5. Equipment/Fixed Assets	\$0
6. Data Collection and Progress Reporting	\$0
7. Financial Audit	\$0
8. Other (Travel, Training, etc.)	\$0
9. Indirect Costs	\$0
<b>TOTALS</b>	<b>\$0</b>

## EXHIBIT C GENERAL TERMS AND CONDITIONS

### General Terms and Conditions – GTC 04/2017

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 hold 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.

## EXHIBIT C GENERAL TERMS AND CONDITIONS

- 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 deny the contract's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status, nor shall they discriminate unlawfully against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status. Contractor shall insure that the evaluation and treatment of employees and applicants for employment are free of such discrimination. Contractor and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12900 et seq.), the regulations promulgated thereunder (Cal. Code Regs., tit. 2, §11000 et seq.), the provisions of Article 9.5, Chapter 1, Part 1, Division 3, Title 2 of the Government Code (Gov. Code §§11135-11139.5), and the regulations or standards adopted by the awarding state agency to implement such article. Contractor shall permit access by representatives of the Department of Fair Employment and Housing and the awarding state agency upon reasonable notice at any time during the normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or Agency shall require to ascertain compliance with this clause. 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. (See Cal. Code Regs., tit. 2, §11105.)
- 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 04/2017 (<https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language>) 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.

## EXHIBIT C GENERAL TERMS AND CONDITIONS

- 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 Codes 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:

## EXHIBIT C GENERAL TERMS AND CONDITIONS

- 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. (Gov. 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).)

## **EXHIBIT D**

### **SPECIAL TERMS AND CONDITIONS**

#### **1. GRANTEE'S GENERAL RESPONSIBILITY**

- A. Grantee agrees to comply with all terms and conditions of this Grant Agreement. 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.

Grantee is responsible for the performance of all project activities identified in Attachment 1: ARG Program Request for Proposals and Attachment 2: ARG Application for Funding.

Grantee shall immediately advise the BSCC of any significant problems or changes that arise during the course of the project.

Grantee shall immediately notify the BSCC if there is change in circumstances so that grantee no longer meets the eligibility criteria of the ARG Program Request for Proposals. Grantee must immediately notify the BSCC if there is a change in grantee's nonprofit status or loss of good standing in the State of California (e.g., suspension or rescission of legal status by the Secretary of State for any reason, including but not limited to, failing to file forms, paying required fees, or making tax payments).

#### **2. GRANTEE ASSURANCES AND COMMITMENTS**

- A. Compliance with Laws and Regulations

1) 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

2) Grantee shall fulfill all assurances, declarations, representations, and statements made by the Grantee in Attachment 1: ARG Program Request for Proposals, Attachment 2: ARG Application for Funding, documents, amendments, approved modifications, and communications filed in support of its request for grant funds.

- C. Permits and Licenses

3) 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.

4)

#### **3. POTENTIAL SUBCONTRACTORS**

- A. In accordance with the provisions of this Grant Agreement, the Grantee may subcontract for services needed to implement and/or support program activities. Grantee agrees that in the event of any inconsistency between this Grant Agreement and Grantee's agreement with a subcontractor, the language of this Grant Agreement will prevail.

- B. Nothing contained in this Grant Agreement or otherwise, shall create any contractual relation between the BSCC and any subcontractors, and no subcontract shall relieve the Grantee of his responsibilities and obligations hereunder. The Grantee agrees to be as

## **EXHIBIT D**

### **SPECIAL TERMS AND CONDITIONS**

fully responsible to the BSCC for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Grantee. The Grantee's obligation to pay its subcontractors is an independent obligation from the BSCC's obligation to make payments to the Grantee. As a result, the BSCC shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

- C. Grantee shall ensure that all subcontractors comply with the eligibility requirements stated in the ARG Program RFP and described in Appendix B.
- D. Grantee assures that for any subcontract awarded by the Grantee, such insurance and fidelity bonds, as is customary and appropriate, will be obtained.
- E. Grantee agrees to place appropriate language in all subcontracts for work on the project requiring the Grantee's subcontractors to:

#### **1) Books and Records**

Maintain adequate fiscal and project books, records, documents, and other evidence pertinent to the subcontractor'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 State Controller's Office, the Department of General Services, the Department of Finance, California State Auditor, 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 Subcontractor shall provide suitable facilities for access, monitoring, inspection, and copying of books and records related to the grant-funded project.

### **4. 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 including those maintained by subcontractors. Access to program records will be made available by both the grantee and the subcontractors for a period of three (3) years following the end of the grant period.

### **5. 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

## **EXHIBIT D**

### **SPECIAL TERMS AND CONDITIONS**

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 three years 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.

#### **6. DEBARMENT, FRAUD, THEFT OR EMBEZZLEMENT**

It is the policy of the BSCC to protect grant funds from unreasonable risks of fraudulent, criminal, or other improper use. As such, the Board will not enter into contracts or provide reimbursement to grantees that have been:

1. debarred by any federal, state, or local government entities during the period of debarment; or
2. convicted of fraud, theft, or embezzlement of federal, state, or local government grant funds for a period of three years following conviction.

Furthermore, the BSCC requires grant recipients to provide an assurance that there has been no applicable debarment, disqualification, suspension, or removal from a federal, state or local grant program on the part of the grantee at the time of application and that the grantee will immediately notify the BSCC should such debarment or conviction occur during the term of the Grant contract.

BSCC also requires that all grant recipients include, as a condition of award to a subgrantee or subcontractor, a requirement that the subgrantee or subcontractor will provide the same assurances to the grant recipient. If a grant recipient wishes to consider a subgrantee or subcontractor that has been debarred or convicted, the grant recipient must submit a written request for exception to the BSCC along with supporting documentation.

All Grantees must have on file with the BSCC a completed and signed Certification of Compliance with BSCC Policies on Debarment, Fraud, Theft and Embezzlement (Required as Appendix E of the original Proposal Package).

#### **7. MODIFICATIONS**

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 Attachment 1: ARG Program Request for Proposals and Attachment 2: ARG Application for Funding. Changes shall not be implemented by the project until authorized by the BSCC.

## **EXHIBIT D**

### **SPECIAL TERMS AND CONDITIONS**

#### **8. TERMINATION**

- A. This Grant Agreement may be terminated by the BSCC at any time after grant award and prior to completion of project upon action or inaction by the Grantee that constitutes a material and substantial breach of this Grant Agreement. Such action or inaction includes but is not limited to:
- 1) substantial alteration of the scope of the grant project without prior written approval of the BSCC;
  - 2) refusal or inability to complete the grant project in a manner consistent with Attachment 1: ARG Request for Proposals and Attachment 2: ARG Application for Funding, or approved modifications;
  - 3) failure to meet prescribed assurances, commitments, recording, accounting, auditing, and reporting requirements of the Grant Agreement.
  - 4) if grantee no longer meets the criteria of an eligible applicant. A grantee no longer meets the criteria of an eligible applicant if grantee's nonprofit status changes or grantee is no longer in good standing with the State of California. A loss of good standing may include suspension or rescission of legal status by the California Secretary of State for any reason, including but not limited to, failing to file forms, pay required fees, or making tax payments.
- B. Prior to terminating the Grant Agreement under this provision, the BSCC shall provide the Grantee at least 30 calendar days written notice stating the reasons for termination and effective date thereof. The Grantee may appeal the termination decision in accordance with the instructions listed in Exhibit D: Special Terms and Conditions, Number 9. Settlement of Disputes.

#### **9. SETTLEMENT OF DISPUTES**

- A. The parties shall deal in good faith and attempt to resolve potential disputes informally. If the dispute persists, the Grantee shall submit to the BSCC Corrections Planning and Grant Programs Division Deputy Director a written demand for a final decision regarding the disposition of any dispute between the parties arising under, related to, or involving this Grant Agreement. Grantee's written demand shall be fully supported by factual information. The BSCC Corrections Planning and Grant Programs Division Deputy Director shall have 30 days after receipt of Grantee's written demand invoking this Section "Disputes" to render a written decision. If a written decision is not rendered within 30 days after receipt of the Grantee's demand, it shall be deemed a decision adverse to the Grantee's contention. If the Grantee is not satisfied with the decision of the BSCC Corrections Planning and Grant Programs Division Deputy Director, the Grantee may appeal the decision, in writing, within 15 days of its issuance (or the expiration of the 30-day period in the event no decision is rendered), to the BSCC Executive Director, who shall have 45 days to render a final decision. If the Grantee does not appeal the decision of the BSCC Corrections Planning and Grant Programs Division Deputy Director, the decision shall be conclusive and binding regarding the dispute and the Contractor shall

## **EXHIBIT D**

### **SPECIAL TERMS AND CONDITIONS**

be barred from commencing an action in court, or with the Victims Compensation Government Claims Board, for failure to exhaust Grantee's administrative remedies.

- B. Pending the final resolution of any dispute arising under, related to or involving this Grant Agreement, Grantee agrees to diligently proceed with the performance of this Grant Agreement, including the providing of services in accordance with the Grant Agreement. Grantee's failure to diligently proceed in accordance with the State's instructions regarding this Grant Agreement shall be considered a material breach of this Grant Agreement.
- C. Any final decision of the State shall be expressly identified as such, shall be in writing, and shall be signed by the Executive Director, if an appeal was made. If the Executive Director fails to render a final decision within 45 days after receipt of the Grantee's appeal for a final decision, it shall be deemed a final decision adverse to the Grantee's contentions. The State's final decision shall be conclusive and binding regarding the dispute unless the Grantee commences an action in a court of competent jurisdiction to contest such decision within 90 days following the date of the final decision or one (1) year following the accrual of the cause of action, whichever is later.
- D. The dates of decision and appeal in this section may be modified by mutual consent, as applicable, excepting the time to commence an action in a court of competent jurisdiction.

#### **10. 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.

**APPENDIX A**  
**EXECUTIVE STEERING COMMITTEE ROSTER**

	Name	Title	Organization
11	Kelly Vernon (Chair)	Chief Probation Officer	Kings County Probation
1	America Velasco	Pre-Trial Coordinator	Solano County Superior Court
2	Armand King	Co-Founder	Paving Great Futures
3	Beth Hall	Member, Inmate Family Councils	Family of Incarcerated
4	Brendon Messina	Youth Advocate Coordinator	Yuba County Office of Education
5	Courtney Tacker	Director of Local Initiatives	California Homeless Coordinating Council
6	Chrystal Preciado	Business Owner	Private Citizen/Family Impacted
7	Crystal Riley	Supervising Deputy Probation Officer	Solano County Probation
8	Diana Peterson	Product Manager	Adobe Education Exchange Product
9	Janie Hodge	Executive Director	Paving the Way Foundation
10	Julyanna Mendez	Program Manager	Los Angeles Regional Reentry Partnership
12	Linda Fosler	Commissioner	Monterey County Behavioral Health Commission
13	Lois Perkins	Chief Executive Officer	Life Community Development
14	Shondra Caldwell	Student	Community Advocate
15	Sophia Lai	Director of Equity & Inclusion	San Francisco Department of Public Health

## APPENDIX B

### CRITERIA FOR NON-GOVERNMENTAL ORGANIZATIONS RECEIVING ARG FUNDS

The ARG Request for Proposals (RFP) includes requirements that apply to non-governmental, community-based organizations. Grantees are responsible for ensuring that all contracted third parties continually meet these requirements as a condition of receiving ARG funds. The RFP describes these requirements as follows:

Any Community Based Organization that receives ARG grant funds as an applicant must have been duly organized, in existence, and in good standing at least six (6) months prior to the effective date of its fiscal agreement with the BSCC or with the ARG grantee.

Any partnering NGO that receives Adult Reentry Grant Program funds as a subgrantee, or subcontractor must have been duly organized, in existence, and in good standing at least six months before entering into a fiscal agreement with the BSCC grantee)

- In either instance (applicant or partner) Non-governmental organizations entities that have recently reorganized or have merged with other qualified non-governmental entities that were in existence prior to the six-month date are also eligible, provided all necessary agreements have been executed and filed with the California Secretary of State prior to the start date of the grant agreement or sub-contract.
- In addition, all NGOs must meet the following additional requirements:
  - Be registered with the California Secretary of State's Office, if applicable;
  - Have a valid business license, if required by the applicable local jurisdiction;
  - Have a valid Employer Identification Number (EIN) or Taxpayer ID (if sole proprietorship);
  - Have any other state or local licenses or certifications necessary to provide the services requested (e.g., facility licensing by the Department of Health Care Services), if applicable; and
  - Have a physical address.

Non-Governmental Organizations (NGOs) include: community-based organizations (CBOs), faith-based organizations (FBOs), nonprofit organizations/501(c)(3)s, evaluators (except government institutions such as universities), grant management companies and any other non-governmental agency or individual. Note: These criteria do not apply to government organizations (e.g. counties, cities, school districts, etc.).

## APPENDIX B CRITERIA FOR NON-GOVERNMENTAL ORGANIZATIONS RECEIVING ARG FUNDS

In the table below, provide the name of the Grantee and list all contracted parties.

**Grantee:**

Name of Contracted Party	Address	Email / Phone	Meets All Requirements
			Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>

Grantees are required to update this list and submit it to BSCC any time a new third-party contract is executed after the initial assurance date. Grantees shall retain (on-site) applicable source documentation for each contracted party that verifies compliance with the requirements listed in the ARG RFP. These records will be subject to the records and retention language found in Appendices A and C of the Standard Agreement.

The BSCC will not disburse or reimburse for costs incurred by any third party that does not meet the requirements listed above and for which the BSCC does not have a signed grantee assurance on file.

**A signature below is an assurance that all requirements listed above have been met.**

<b>AUTHORIZED SIGNATURE</b> (This document must be signed by the person who is authorized to sign the Grant Agreement.)			
NAME OF AUTHORIZED OFFICER	TITLE	TELEPHONE NUMBER	EMAIL ADDRESS
STREET ADDRESS	CITY	STATE	ZIP CODE
APPLICANT'S SIGNATURE (Blue Ink Only) <div style="font-size: 2em; font-weight: bold; margin-top: 10px;">X</div>			DATE

## Appendix F: Certification of Compliance with BSCC Policies Regarding Debarment, Fraud, Theft, and Embezzlement

It is the policy of the BSCC to protect grant funds from unreasonable risks of fraudulent, criminal, or other improper use. As such, the Board will not enter into contracts or provide reimbursement to applicants that have been:

1. debarred by any federal, state, or local government entities during the period of debarment; or
2. convicted of fraud, theft, or embezzlement of federal, state, or local government grant funds for a period of three years following conviction.

Furthermore, the BSCC requires grant recipients to provide an assurance that there has been no applicable debarment, disqualification, suspension, or removal from a federal, state, or local grant program on the part of the grantee at the time of application and that the grantee will immediately notify the BSCC should such debarment or conviction occur during the term of the Grant contract.

BSCC also requires that all grant recipients include, as a condition of award to a subgrantee or subcontractor, a requirement that the subgrantee or subcontractor will provide the same assurances to the grant recipient. If a grant recipient wishes to consider a subgrantee or subcontractor that has been debarred or convicted, the grant recipient must submit a written request for exception to the BSCC along with supporting documentation.

By checking the following boxes and signing below, applicant affirms that:

☐ I/We are not currently debarred by any federal, state, or local entity from applying for or receiving federal, state, or local grant funds.

☐ I/We have not been convicted of any crime involving theft, fraud, or embezzlement of federal, state, or local grant funds within the last three years. We will notify the BSCC should such debarment or conviction occur during the term of the Grant contract.

☐ I/We will hold subgrantees and subcontractors to these same requirements.

A grantee may make a request in writing to the Executive Director of the BSCC for an exception to the debarment policy. Any determination made by the Executive Director shall be made in writing.

AUTHORIZED SIGNATURE (This document must be signed by the person who is authorized to sign the Grant Agreement.)			
NAME OF AUTHORIZED OFFICER	TITLE	TELEPHONE NUMBER	EMAIL ADDRESS
STREET ADDRESS	CITY	STATE	ZIP CODE
APPLICANT'S SIGNATURE (Blue Ink Only) <b>X</b>			DATE

## Appendix G: Assurance of Government Organizations Commitment

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### Letter of Commitment from Government Agencies

A letter of commitment is required from each government agency with which an Adult Reentry Grant Program grantee proposes to collaborate and for which active involvement is needed to support efforts as outlined in the grantee's ARG Program proposal.

The (Name of CBO) will be supported by active collaboration and involvement from the following government agencies for the Adult Reentry Grant Project funded through the Board of State and Community Corrections:

\_\_\_\_\_  
Name of Government Agency

\_\_\_\_\_  
Name and Title of Government Agency Head

\_\_\_\_\_  
Name of Government Agency

\_\_\_\_\_  
Name and Title of Government Agency Head

\_\_\_\_\_  
Name of Government Agency

\_\_\_\_\_  
Name and Title of Government Agency Head

\_\_\_\_\_  
Name of Government Agency

\_\_\_\_\_  
Name and Title of Government Agency Head

\_\_\_\_\_  
Name of Government Agency

\_\_\_\_\_  
Name and Title of Government Agency Head

\_\_\_\_\_ A Letter of Commitment to collaborate and be actively involved the (Name of CBO) Adult Reentry Grant Project from each of the above identified government agencies is attached.

\_\_\_\_\_ I assure that all government agencies with which the (Name of CBO) Adult Reentry Grant Program will be collaborating, and with which active involvement is needed in the implementation and/or successful outcome of the project, have been listed above.

**Or**

\_\_\_\_\_ I assure that no active involvement and/or collaboration is needed from any local governmental agency for the successful implementation and/or successful outcome of the (Name of CBO) Adult Reentry Grant Project.

**X**

\_\_\_\_\_  
*Applicant's Authorized Signature*

\_\_\_\_\_  
*Date*

## Appendix H: Sample Governing Board Resolution

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Before grant funds can be reimbursed, a grantee must either (1) submit a resolution from its Governing Board that delegates authority to the individual authorized to execute the grant agreement or (2) provide sufficient documentation indicating that the prospective grantee has been vested with plenary authority to execute grant agreements (e.g., a City Council, County Board of Supervisors, or Tribal Council delegating such authority to an individual or position title).

Below is assurance language that, **at a minimum**, must be included

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WHEREAS the ***(insert name of Applicant)*** desires to participate in Adult Reentry Grant Program funded through the California State General 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)*** be authorized on behalf of the ***(insert name of 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 grant funds received hereunder shall not be used to supplant expenditures controlled by this body.

BE IT FURTHER RESOLVED that the ***(insert name of Applicant)*** agrees to abide by the terms and conditions of the Grant Agreement as set forth by the BSCC.

Passed, approved, and adopted by the ***(insert name of Governing 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 I: Local Evaluation Plan and Report

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### Preliminary Guidelines for the Local Evaluation Plan

The Adult Reentry Grant (ARG) Request for Proposals requires each grantee to submit a Local Evaluation Plan (LEP) to ensure that projects funded by the BSCC can be evaluated to determine their impact and effectiveness. The LEP should be developed prior to service delivery by program staff using a collaborative process that involves all relevant project community partners and interested parties. Grantees are encouraged to identify a researcher who can assist in the collaborative process of developing the LEP and guide the local evaluation throughout the grant funding period. These guidelines were developed to assist grantees in creating a LEP that, at a minimum, addresses the information defined below.

Implementing practices and strategies that can be supported by data should be a consideration wherever possible. BSCC is responsible for verifying that grant money is spent efficiently and on effective programs. Data is just one mechanism by which to do that. Your data results may be used to add to the body of knowledge regarding what works with the target populations. Therefore, be cognizant to collect appropriate and consistent data.

BSCC will make public the LEP submitted by each grantee. Plans may be posted to the BSCC website and/or developed into a statewide summary report to be shared with the Administration, the Legislature, and the public.

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### Cover Page

The cover page provides a descriptive report title, and identifies the grantees, authors, contact information, project time period, and funding source.

### Project Background

- Provide information essential to understanding the project and the need for the project (history in the community, an explanation of activities and/or services, description of similar efforts in the region, description of how the activities and/or services address the need, etc.).
- For project components that involve participants:
  - Define the target population (e.g., gender, age, risk factors, prior involvement with the juvenile justice system).
  - Define the criteria used to determine participant eligibility of the target population.
  - Describe the process for determining which intervention(s) and/or services a participant needs and will receive.
- A description of the project goals and measurable objectives identified in the Project Work Plan of the proposal.

### Process Evaluation Methods and Design

- The research design for the process evaluation.
- For project components that involve participants include:
  - The plan to document activities within the project and/or services provided to each participant (e.g., maintaining a database, signup sheets).

- How participants' progress will be tracked (e.g., start dates, attendance, dropouts, successful completions, progress milestones).
- For project components that do not involve participants, the plan to document activities (e.g., rental subsidies, housing assistance, transitional housing).
- How activity progress will be tracked (e.g., start dates, cases initiated/resolved, inspections, eradications and/or remediations).
- Process variables and how they will be defined and measured (tools/instruments used to collect the data and frequency of collection).
- How the process data will be collected, and the data source(s) used.
- The project-oversight structure and overall decision-making process for the project.
- How the project components will be monitored, determined effective, and adjusted as necessary.
- The plan for documenting activities performed by staff and contracted providers, if applicable.
- Procedures ensuring that the project will be implemented to fidelity, when applicable.
- How quantitative and qualitative process data will be analyzed. Describe the statistical tools used to analyze quantitative data (e.g., descriptive statistics, chi-square) and methods used for analyzing qualitative data (identifying themes, content analysis, etc.). You do not need to state the analysis type for each evaluation activity separately.

## **Outcome Evaluation Method and Design**

- The research design for the outcome evaluation (e.g., pre-/post-test, mixed methods, comparison groups).
- A set of evaluation questions. These are the questions that the evaluation will answer. These shall include the goals and objectives from the original proposal and may also include more outcome-oriented questions.
- For project components that involve participants:
  - The estimated number of participants expected to receive each type of intervention/service.
  - The criteria for determining participant success in the project.
- The estimated number of activities expected to be accomplished.
- The criteria for determining activity completion and/or success in the project.
- Outcome variables and how they will be defined and measured (tools/instruments used to collect the data and frequency of collection).
- How the outcome data will be collected, the timing of data collection, and the data source(s) used.
- How quantitative and qualitative outcome data will be analyzed. Describe the statistical tools used to analyze quantitative data (e.g., descriptive statistics, chi-square) and methods used for analyzing qualitative data (identifying themes, content analysis, etc.). You do not need to state the analysis type for each evaluation activity separately.
- The strategy for determining whether outcomes are due to the project and not some other factor(s) unrelated to the project, including a description of a comparison group, when applicable.
- If multiple types of interventions will be employed, include a description of how the separate effects on outcome variables of each type of the intervention will be determined, if possible.

## **Project Logic Model**

Provide a visual representation of the project depicting the logical relationships between the input/resources, activities, outputs, outcomes and impacts of the project.

## **Appendices (if applicable)**

Include relevant supplementary evaluation and project materials in appendices. These may include, but are not limited to, data collection instruments, more detailed descriptions of activities and interventions, training materials, educational materials, operational definitions, additional analyses, and presentations.

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## **Preliminary Guidelines for Local Evaluation Report**

The Adult Reentry Grant (ARG) Request for Proposals requires each grantee to submit a 3-Year Local Evaluation Report (LER) to determine project results, document definitive evidence regarding the project's efficacy and overall impact and assess whether or not the project achieved its intended goals and objectives. The LER must be based on the Local Evaluation Plan (LEP) submitted at the start of the grant. Any modifications to the LEP must be explained. These guidelines were developed to assist grantees in writing a LER that at a minimum, addresses the required information defined below.

The LER will be the documentation for what your organization did with the support of grant funds. BSCC will use these reports to help verify that the grant money was invested wisely and to describe the impact the grant had on the participants. Assuming the projects have successful outcomes, other organizations may want to adopt the project strategies or interventions you have demonstrated to be effective. Therefore, the report should include enough information to allow other organizations to replicate them.

The BSCC will make public the LER submitted by each grantee. Reports may be posted to the BSCC website and/or developed into a statewide summary report to be shared with the Administration, the Legislature, and the public.

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## **Cover Page**

The cover page provides a descriptive report title, and identifies the grantees, authors, contact information, project time period, and funding source.

## **Executive Summary**

The Executive Summary summarizes the key components of the report so that readers have a brief overview of the project's efforts and results. It should provide a synopsis of the project explaining: the project purpose; goals and objectives, including the extent to which they were achieved; key findings; project accomplishments; and conclusions.

## **Project Background**

- Provide information essential to understanding the project and the need for the project (history in the community, an explanation of activities and/or services, description of similar efforts in the region, description of how the activities and/or services address the need, etc.).
- For project components that involve participants:

- Define the target population (e.g., gender, age, risk factors, prior involvement with the justice system).
  - Define the criteria used to determine participant eligibility of the target population.
  - Describe the process for determining which intervention(s) and/or services a participant needs and will receive.
- Provide a description of the goals and objectives identified in the Project Work Plan of the proposal.

### **Process Evaluation Method and Design**

- The research design for the process evaluation.
- For project components that involve participants, include:
  - How activities within the project and/or services provided to each participant were documented (e.g., maintaining a database, signup sheets).
  - How participants' progress was tracked (e.g., start dates, attendance, dropouts, successful completions, progress milestones).
- How components or activities conducted as part of the project were tracked/documented (e.g., code enforcement, investigations, system/equipment updates).
- How activity progress was tracked (ex: start dates, cases initiated/resolved, inspections, eradications and/or remediations, etc.).
- Process variables and how they were defined and measured (tools/instruments used to collect the data and frequency of collection).
- How the process data were collected and the data source(s) used.
- The project-oversight structure and overall decision-making process for the project.
- How the project components were monitored, determined effective, and adjusted as necessary.
- The method of documenting activities performed by staff and contracted providers, if applicable.
- Procedures ensuring that the project was implemented to fidelity, when applicable.
- How quantitative and qualitative process data were analyzed. Describe the statistical tools used to analyze quantitative data (e.g., descriptive statistics, chi-square) and your method used for analyzing qualitative data (identifying themes, content analysis, etc.).

### **Outcome Evaluation Method and Design**

- The research design for the outcome evaluation (e.g., pre-/post-test, mixed methods, comparison groups).
- A set of evaluation questions. These are the questions that the evaluation answered. These shall include the goals and objectives from the original proposal and may also include more outcome-oriented questions.
- For project components that involve participants:
  - The number of participants who received each type of intervention/service.
  - The criteria for determining participant success in the project.
- The number of activities accomplished.
- The criteria for determining activity completion and/or success in the project.
- Outcome variables and how they were defined and measured (tools/instruments used to collect the data and frequency of collection).

- How the outcome data was collected, the timing of data collection, and the data source(s) used.
- How quantitative and qualitative outcome data was analyzed. Describe the statistical tools used to analyze quantitative data (e.g., descriptive statistics, chi-square) and methods used for analyzing qualitative data (identifying themes, content analysis, etc.).
- The strategy for determining whether outcomes were due to the project and not some other factor(s) unrelated to the project, including a description of a comparison group, when applicable.
- If multiple types of interventions were employed, include a description of how these separate effects on outcome variables of each type of the intervention were determined, if possible.

## **Evaluation Results**

This section provides a description of the project outcomes. This section should include:

- The data related to the process evaluation. Describe any changes that were made as a result of the process evaluation findings.
- Total number of participants (unduplicated).
  - Include basic demographic information of your participants (e.g., age, gender, race/ethnicity, risk factors, prior involvement with the justice system).
  - When multiple services are available, include the number of individuals who received each of the services.
- Total number of activities and/or services.
- Progress toward goals:
  - Provide a summary of the degree to which these goals and objectives were achieved.
  - Describe factors that affected the progress of project goals. This may include factors which resulted in achieving goals more quickly or impeding your progress. If there were factors that impeded your progress, describe how they were addressed.
- Results of any process analyses and provide a detailed explanation related to the project's performance over the course of the grant.
- Results of any outcome analyses and provide a detailed explanation of findings as it relates to any other additional outcome measures.

## **Discussion of Results**

- Discuss the effectiveness of different strategies implemented in the project.
- Make useful recommendations with specific guidance for what to replicate or do differently.

## **Current Project Logic Model**

Provide a visual representation of the project depicting the logical relationships between the input/resources, activities, outputs, outcomes and impacts of the project.

## **Grantee Highlight**

A brief, one-page, visually appealing, highlight or success story that provides additional information related to the program's success over the last three years. This highlight may be

included in a statewide report. You may include optional graphs, charts, or photos<sup>13</sup>. While every effort will be made to include these in a statewide report, inclusion in the report is not guaranteed.

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<sup>13</sup> The BSCC will only accept photographs in which all persons depicted are over 18 years of age and have consented to both being photographed and to the use and release of their image. By submitting photographs to the BSCC, the submitter acknowledges that all approvals have been obtained from the subjects in the photograph(s) and that all persons are over 18 years of age. Further, by submitting the photographs, the submitter irrevocably authorizes the BSCC to edit, alter, copy, exhibit, publish or distribute the photographs for purposes of publicizing BSCC Grant Programs or for any other lawful purpose. All photographs submitted will be considered public records and subject to disclosure pursuant to the California Public Records Act.

## Appendix J: Sample BSCC Comprehensive Monitoring Visit Tool

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### Corrections Planning and Grant Programs Division SAMPLE COMPREHENSIVE MONITORING VISIT (CMV) TOOL

<b>Grantee:</b>	<b>Award Year:</b> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> (as applicable)
<b>Grant Program:</b>	<b>Federal Funds:</b> <input type="checkbox"/> <b>State Funds:</b> <input type="checkbox"/>
<b>Contract Number:</b>	<b>Grant Amount:</b>
<b>Project Title:</b>	
<b>Project Director:</b>	<b>Financial Officer:</b>
<b>Project Director Phone:</b>	<b>Financial Officer Phone:</b>
<b>Project Director E-Mail:</b>	<b>Financial Officer E-mail:</b>
<b>Field Representative:</b>	<b>Date of Visit:</b>

**Persons Interviewed During the Monitoring (Name, Title, Agency):**

**Project Sites Visited (Name, Address):**

**Project Summary:**

## I. ADMINISTRATIVE REVIEW

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### 1. Executed Agreement

The Grantee has a copy of the fully executed Standard Agreement in the official file (e-file is acceptable). Yes ☐ No ☐

### 2. BSCC Grant Administration Guide

The Grantee has a copy of the BSCC Grant Administration Guide readily available and staff know how to use it (e-file is acceptable). Yes ☐ No ☐

### 3. Organizational Chart

The Grantee has a current organizational chart for the department/unit/section responsible for programmatic oversight of the grant. Yes ☐ No ☐

### 4. Duty Statements

The Grantee maintains duty statements for grant-funded staff that list specific activities related to the grant. *Note: Standard job classifications usually are not acceptable, unless the position was created specifically for the grant.* Yes ☐ No ☐

### 5. Timesheets

5a. The Grantee maintains timesheets on all staff charged to the grant (including those claimed as match). *Note: Estimates and/or percentages are not acceptable.* Yes ☐ No ☐

5b. The Grantee maintains functional timesheets or conducts time studies for split-funded positions (including those claimed as match). *Note: Estimates and/or percentages are not acceptable.* Yes ☐ No ☐ N/A ☐

### 6. Staff Positions

All authorized positions are filled and performing grant-related duties. Yes ☐ No ☐

*If no, list all unfilled positions and explanations for vacancies in the Administrative Review Comments section.*

### 7. Anticipated Changes

Are there any anticipated changes to staff or the project? Yes ☐ No ☐  
*If yes, explain in the Administrative Review Comments section.*

### 8. Subcontracts

8a. Does this grant provide for subcontracted services? Yes ☐ No ☐  
*If yes, list subcontracts awarded in the Administrative Review Comments section.*

8b. Copies of the subcontract awards are contained within the official project file. Yes ☐ No ☐ N/A ☐

8c. Subcontracts contain the required language from the BSCC contract (e.g., access to program and fiscal records, access to facility, access to program participants, Non-Discrimination clause, Civil Rights compliance). Yes ☐ No ☐ N/A ☐

8d. Subcontracts appear to be in compliance with conflict of interest laws that prohibit individuals or organizations that participated on the Executive Steering Committee for this grant. Yes ☐ No ☐ N/A ☐

## 9. Budget Modifications

9a. Copies of project budget modifications are maintained in the official file.

Yes ☐ No ☐ N/A ☐

9b. Were there any substantial modifications made that were not approved by the BSCC?

Yes ☐ No ☐

*If yes, explain in the Administrative Review Comments section.*

## 10. Fidelity Bond

The Grantee maintains a Fidelity Bond (applicable for non-governmental entities only).

Yes ☐ No ☐ N/A ☐

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### Field Representative Comments for Administrative Review Section:

*Number comments to correspond to the Administrative Review items.*

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## II. CIVIL RIGHTS REVIEW

*(for all federal grants; as applicable to state-funded programs)*

### 1. Equal Employment Opportunity Plan

1a. The Grantee has an Equal Employment Opportunity Plan (EEOP) on file for review.

Yes ☐ No ☐

1b. If yes, on what date did the Grantee prepare the EEOP?

### 2. EEOP Short Form

2a. If applicable: has the Grantee submitted an EEOP Short Form to the Office for Civil Rights (OCR), U.S. Department of Justice (DOJ) (i.e., 50 or more employees and \$750,000 or more in federal funds)?

Yes ☐ No ☐ N/A ☐

2b. If yes, on what date did the Grantee submit the EEOP Short Form?

### 3. Notification to Program Participants

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.)? *Explain in Civil Rights Review Comments section.*

### 4. Notification to Employees

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.)?

*Explain in Civil Rights Review Comments section.*

### 5. Complaints

There are 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.

Yes ☐ No ☐ N/A ☐

### 6. Discrimination on the Basis of Disability

If the Grantee has 50 or more employees and receives DOJ funding of \$25,000 or more, has the grantee:

6a. Adopted grievance procedures (for both employees and program participants) that incorporate due process standards and provide for prompt and equitable resolution of complaints alleging a violation of the DOJ regulations which prohibit discrimination on the basis of a disability in employment practices and the delivery of services?

Yes ☐ No ☐ N/A ☐

6b. Designated a person to coordinate compliance with prohibitions against disability discrimination?

Yes ☐ No ☐ N/A ☐

6c. Notified participants, beneficiaries, employees, applicants, and others that the grantee does not discriminate on the basis of disability?

Yes ☐ No ☐ N/A ☐

## 7. Discrimination on the Basis of Sex

If the Grantee operates an education program or activity, have they taken the following actions?

7a. Adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations which prohibit discrimination on the basis of sex?

Yes ☐ No ☐ N/A ☐

7b. Designated a person to coordinate compliance with the prohibitions against sex discrimination?

Yes ☐ No ☐ N/A ☐

7c. 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?

Yes ☐ No ☐ N/A ☐

## 8. Findings

The Grantee has 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.

Yes ☐ No ☐ N/A ☐

## 9. Limited English Proficiency

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.

## 10. Training

Training is conducted for the Grantee's employees on the requirements under federal civil rights laws.

Yes ☐ No ☐ N/A ☐

## 11. Religious Activities

If the grantee conducts religious activities as part of its program or services, do they:

11a. Provide services to everyone regardless of religion or religious belief?

Yes ☐ No ☐ N/A ☐

11b. 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?

Yes ☐ No ☐ N/A ☐

11c. Ensure participation in religious activities is voluntary for beneficiaries of federally-funded programs?

Yes ☐ No ☐ N/A ☐

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**Field Representative Comments for Civil Rights Review Section:**  
*Number comments to correspond to the Civil Rights Review items.*

### **III. FISCAL REVIEW**

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**1. Budget File**

The Grantee maintains an official budget file for the project. **Yes** ☐ **No** ☐

**2. Fiscal Policies and Procedures**

2a. The Grantee maintains written procedures for the fiscal policies related to the grant and they are accessible by grants management staff. **Yes** ☐ **No** ☐

2b. The Grantee can explain its agency's claims, payments, and reimbursement processes as they relate to this grant (i.e., agency checks and balances). **Yes** ☐ **No** ☐

**3. Invoices**

3a. Financial invoices are current, and spending is on track. **Yes** ☐ **No** ☐

3b. Copies of the BSCC invoices for reimbursement are within the official file. **Yes** ☐ **No** ☐

3c. The fiscal/accounting records reviewed during the visit contained adequate supporting documentation for all claims on invoices, including match. **Yes** ☐ **No** ☐

3d. Salaries and benefits can be easily tied back to reimbursement invoices. **Yes** ☐ **No** ☐

3e. The Grantee maintains supporting documentation or a calculation methodology for indirect costs or overhead claimed (e.g., an approved Indirect Cost Rate Proposal). **Yes** ☐ **No** ☐ **N/A** ☐

3f. Expenditures appear to meet contract eligibility, as defined in the BSCC Grant Administration Guide. **Yes** ☐ **No** ☐

**4. Tracking**

4a. BSCC contract funds are deposited into separate fund accounts or coded to distinguish grant funds from other fund sources. **Yes** ☐ **No** ☐

4b. The Grantee maintains a tracking system for purchases, including receipts and disbursements, related to the grant program. **Yes** ☐ **No** ☐

4c. Tracking reports are reviewed by management and/or program staff. **Yes** ☐ **No** ☐

4d. The Grantee can provide general ledgers documenting the entries for receipts and disbursements. **Yes** ☐ **No** ☐

## 5. Equipment/Fixed Assets

5a. Did the Grantee purchase or lease equipment/fixed assets with grant funds?

Yes ☐ No ☐

5b. The Grantee received prior approval from BSCC for purchases of equipment and/or fixed assets that were more than \$3,500 per item.

Yes ☐ No ☐ N/A ☐

5c. The equipment/fixed assets were listed in the budget or in a Budget Modification.

Yes ☐ No ☐ N/A ☐

5d. The Grantee maintains an inventory list of equipment/fixed assets purchased with grant funds.

Yes ☐ No ☐ N/A ☐

5e. The Grantee maintains proof of receipt of equipment/fixed assets.

Yes ☐ No ☐ N/A ☐

## 6. Supplanting

The Grantee can verify that expenditures submitted for grant reimbursement (including salaries and benefits) are not also claimed/reimbursed under another separate agreement or funding stream (supplanting).

Yes ☐ No ☐

## 7. Match

7a. The Grantee is in compliance with the match requirement.

Yes ☐ No ☐ N/A ☐

7b. If the Grantee is currently under-matched, is there a plan to meet the contractually obligated match amount?

## 8. Project Income

Does the Grantee generate income from grant funds (e.g., fundraisers, registration fees, etc.)?

Yes ☐ No ☐ N/A ☐

## 9. Subcontracts

9a. Does the Grantee require subcontract agencies to submit source documentation with their billing invoice?

Yes ☐ No ☐ N/A ☐

9b. What type of documentation detail does the agency keep for subcontractor service delivery billing (to include list of positions funded, documented staff hours, list of services delivered, client sign-in logs, time/duration of services, other invoice detail, etc.)?

**Describe in the Fiscal Review Comments section.**

9c. Is the source documentation sufficient to justify charges?

Yes ☐ No ☐ N/A ☐

9d. Does the Grantee conduct desk audits of subcontract agencies?

Yes ☐ No ☐ N/A ☐

9e. Does the Grantee conduct site visits to subcontract agencies?

Yes ☐ No ☐ N/A ☐

## 10. Audits

10a. What type of audit report will the project submit?

Single City/County Audit Report ☐

Program Specific Audit ☐

Other ☐

10b. The Grantee has audit reports covering the agency's internal control structure within the last two years.

Yes ☐ No ☐

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## Field Representative Comments for Fiscal Review Section:

*Number comments to correspond to Fiscal Review items.*

### IV. PROGRAM REVIEW

*Note: Some of the information collected in this section will be used to foster discussion and assist with technical assistance, not necessarily to determine compliance.*

#### 1. Governing Body

1a. Does the grant require formation of some type of governing body (steering committee, coordinating council, etc.) to guide grant activities?

Yes ☐ No ☐ N/A ☐

1b. If so, has this body been formed and is it meeting as required?

Yes ☐ No ☐ N/A ☐

1c. Are all of the required members participating?

Yes ☐ No ☐ N/A ☐

#### 2. Evidence-Based Interventions

2a. List all interventions being used by the grantee.

*List in the Program Review Comments section.*

2b. Which interventions do the grantee identify as “evidence-based?” Why? Based on what information? *Explain in the Program Review Comments section.*

2c. Does the Grantee have a quality assurance or fidelity monitoring process in place to ensure that interventions are implemented as intended?

Yes ☐ No ☐

#### 3. Assessments

3a. If providing direct services, how are participants assessed for risk, need and responsivity? *Explain in the Program Review Comments section.*

3b. How is that information used? *Explain in the Program Review Comments section.*

#### 4. Staff Training

4a. Do all project staff receive an orientation and/or training pertinent to the grant project?

Yes ☐ No ☐

4b. Are there opportunities for ongoing training for staff affiliated with the grant?

Yes ☐ No ☐

#### 5. Policies & Procedures

5a. Did the Grantee develop a written Policies & Procedures Manual or Program Manual specific to the grant project?

Yes ☐ No ☐

5b. Are they accessible to staff?

Yes ☐ No ☐

#### 6. Case Management/Tracking

6a. Does the Grantee maintain an automated or web-based case management and/or data collection system to track clients served by the grant?

Yes ☐ No ☐ N/A ☐

6b. If not, how are services and/or clients tracked?

*Explain in the Program Review Comments section.*

**7. Source Documentation**

The Grantee maintains appropriate source documentation (e.g., case records, case files, sign-in sheets, etc.) for the clients served. **Yes** ☐ **No** ☐ **N/A** ☐

**8. Progress Reports**

8a. Progress Reports are current. **Yes** ☐ **No** ☐

8b. Program records reviewed at the site visit provided sufficient detail to support information reported in Progress Reports. **Yes** ☐ **No** ☐

*If no, explain in the Program Review Comments section.*

**9. Problems**

The Grantee has experienced operational or service delivery problems.

*If yes, explain in the Program Review Comments section.* **Yes** ☐ **No** ☐

**10. Sustainability**

Does the grantee have a sustainability plan to continue service delivery after grant funds expire?

**Yes** ☐ **No** ☐

*Describe in the Program Review Comments section.*

**11. Other Requirements Reviewed**

Per this site visit review, programmatic requirements specific to this grant program are being met.

**Yes** ☐ **No** ☐

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**Field Representative Comments for the Program Review Section:**

*Number comments to correspond to Program Review items.*

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**V. DATA COLLECTION AND EVALUATION**

**1. Evaluator**

Does the Grantee subcontract for its data collection and evaluation services?

**Yes** ☐ **No** ☐ **N/A** ☐

*If yes, list name of organization and describe the relationship in the Data Collection and Evaluation Comments section.*

**2. Evaluation Plan**

Is the Grantee on track with the activities and milestones described in its Evaluation Plan?

**Yes** ☐ **No** ☐ **N/A** ☐

**3. Preliminary Evidence**

3a. Do the data collection efforts show any preliminary evidence that could impact the project? **Yes**

☐ **No** ☐ **N/A** ☐

3b. Has the Grantee used this information to make improvements or changes to the project?

**Yes** ☐ **No** ☐ **N/A** ☐

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**Field Representative Comments for Data Collection and Evaluation Section:**  
*Number comments to correspond to Data Collection and Evaluation Review items.*

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**VI. MONITORING SUMMARY**

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**1. Outcome of Visit**

1a. Does the project generally meet BSCC grant requirements? **Yes** ☐ **No** ☐

1b. If no, will a Compliance Improvement Plan be submitted? **Yes** ☐ **No** ☐

1c. Describe here:

**2. Technical Assistance**

2a. Does the Grantee have any technical assistance needs? **Yes** ☐ **No** ☐

2b. Describe here:

SAMPLE