



# Proposition 47 Grant Program Request for Proposals - Cohort 2

**Grant Purpose:** Mental Health Services, Substance Use Disorder Treatment and Diversion Programs for People in the Criminal Justice System.

**Grant Period:** August 15, 2019 to May 15, 2023

**Eligible Applicants:**

- Public Agencies in Partnership with the Communities they Serve

**Released:** January 18, 2019

**Notice of Intent to Apply Due:** February 18, 2019

**Proposal Due Date:** March 18, 2019



BOARD OF STATE & COMMUNITY CORRECTIONS  
2590 VENTURE OAKS WAY, SUITE 200  
SACRAMENTO CA 95833  
[WWW.BSCC.CA.GOV](http://WWW.BSCC.CA.GOV)



## Table of Contents

### **PART I: BACKGROUND AND GRANT INFORMATION**

Contact Information .....	1
Grant Purpose .....	1
Proposal Due Date and Submission Instructions .....	1
Notice of Intent to Apply .....	2
Bidders' Conferences .....	2
Background .....	3
Proposition 47 Executive Steering Committee .....	3
Conflicts of Interest.....	4
Guiding Principles for the Proposition 47 Grant .....	5
Description of the Grant .....	6
Funding .....	13
Proposition 47 Local Advisory Committee.....	15
Local Government Impacts .....	16
Promising, Data-Driven and Innovative Approaches.....	16
Data Collection and Evaluation .....	17
General Grant Requirements .....	18
Overview of the RFP Process .....	22

### **ATTACHMENTS**

Attachment A: Proposition 47 .....	27
Attachment B: Assembly Bill 1056 .....	29
Attachment C: Glossary of Key Terms .....	35
Attachment D: Proposition 47 Local Advisory Committee Membership Roster .....	42

Attachment E: Proposition 47 Local Advisory Committee Letter of Agreement.....	43
Attachment F: Local Government Impact Letters .....	44
Attachment G: Sample Grant Agreement.....	45
Attachment H: Sample Governing Board Resolution .....	62
Attachment I: Proposition 47 Project Work Plan.....	63
Attachment K: Grantee Assurance for Third Party Non-Governmental Organizations ..	65
Attachment L: Proposition 47 Budget Table .....	67
Appendix A: Proposition 47 Executive Steering Committee Roster .....	68

## **PART II: PROPOSAL INSTRUCTIONS**

Proposal Checklist.....	70
Applicant Information Form Instructions .....	71
Section I. Applicant Information Form .....	72
Section II. Proposal Narrative.....	74
Section III. Budget Section .....	80

**CONFIDENTIALITY NOTICE:** All documents submitted as a part of the Proposition 47 proposal are considered to be public documents and may be subject to a request via the California Public Records Act. The BSCC, as a state agency, may have to disclose these documents to the public. The BSCC cannot ensure the confidentiality of any information submitted in or with this proposal. (Gov. Code, §§ 6250 et seq.)

# **PART I:**

## **BACKGROUND AND GRANT INFORMATION**

## Contact Information

This Request for Proposals (RFP) provides the information necessary to prepare a proposal to the Board of State and Community Corrections (BSCC) for grant funds available through the Proposition 47 Grant Program.

The BSCC staff cannot assist the public agency applicant or partners with the actual preparation of the proposal. Any technical questions concerning the RFP, the proposal process or programmatic issues must be submitted by email to: [Prop47@bscc.ca.gov](mailto:Prop47@bscc.ca.gov).

The BSCC will accept and respond to questions about this RFP from January 18, 2019 to February 28, 2019. Questions and answers will be posted on the BSCC website up to March 4, 2019.

## Grant Purpose

Pursuant to Proposition 47, this grant is to provide mental health services, substance use disorder treatment and diversion programs for people in the criminal justice system. The grant program may also provide housing-related assistance and other community-based supportive services, including job skills training, case management and civil legal services. The grant can fund programs that serve adults and/or juveniles.

## Proposal Due Date and Submission Instructions

Public agency applicants must submit one original signed proposal and one electronic copy of the original signed proposal.

The signed proposal must be received by the BSCC by **5:00 p.m. on March 18, 2019**. Submit the original signed proposal with one binder clip in the top left corner. Do not submit the proposal in a binder, spiraled, or any other variation.

1. Mail one original signed proposal to the following address:

Board of State and Community Corrections  
Corrections Planning and Grant Programs Division  
2590 Venture Oaks Way, Suite 200  
Sacramento, CA 95833  
Attn: Proposition 47 Grant

2. Email one legible electronic copy of the signed proposal to: [Prop47@bscc.ca.gov](mailto:Prop47@bscc.ca.gov).

**Note:** While the BSCC expects both the original hard copy and electronic version to be received by the date and time listed above, the application will not automatically be disqualified so long as either the hard copy or electronic version is received by the due date and as long as both are received in a reasonable time and are identical. If the BSCC does not receive either the original hard copy or the electronic version until after the due date and time, the proposal will not be considered, regardless of postmark date.

## Notice of Intent to Apply

Public agency applicants interested in applying for the Proposition 47 Grant are asked but not required to submit a non-binding Notice of Intent to Apply. Notices will aid the BSCC in planning for its proposal review process.

The notice should include the following information:

- Name of the Lead Agency (see page 6 for definition of Lead Agency);
- Name and title of the head of the Lead Agency;
- Contact information for interested public; and
- A brief statement indicating the agency's intent to submit a proposal.

The notice does not require an official signature and is requested solely for the purpose of BSCC planning for the proposal review process. Public agency applicants may submit the Notice of Intent to Apply in any format, please ensure the submitted notice addresses the above bulleted items.

Failure to submit a Notice of Intent to Apply is not grounds for disqualification. Further, prospective public agency applicants that submit a Notice of Intent to Apply and decide later not to apply will not be penalized.

Please submit your non-binding Notice of Intent to Apply by February 18, 2019 via email or U.S. mail, using one of the following submission options:

**Email Responses:**      [Prop47@bscc.ca.gov](mailto:Prop47@bscc.ca.gov)  
(Subject line: Notice of Intent to Apply)

**U.S. Mail Responses:**      Board of State and Community Corrections  
Corrections Planning and Grants Programs Division  
2590 Venture Oaks Way, Suite 200  
Sacramento, CA 95833  
Attn: BSCC Proposition 47

## Bidders' Conferences

The BSCC plans to hold two Bidders' Conferences in advance of the proposal due date in Sacramento and Los Angeles. The purpose of these conferences is to provide clarity on the RFP instructions and respond to questions. Bidders' Conference locations are listed below:

January 24, 2019. 9:00 am  
Board of State and Community Corrections  
2590 Venture Oaks Way  
Sacramento, CA 95833

January 28, 2019. 9:30 am  
Ronald F. Deaton Civic Auditorium  
100 West 1st Street,  
Los Angeles, CA 90012

*Note: The Sacramento Bidders' Conference will be livestreamed at [www.bscc.ca.gov](http://www.bscc.ca.gov).*

## Background

Proposition 47 was a voter-approved initiative on the November 2014 ballot. As stated in the ballot measure its purpose is:

The people enact the Safe Neighborhoods and Schools Act to ensure that prison spending is focused on violent and serious offenses, to maximize alternatives for nonserious, nonviolent crime, and to invest the savings generated from this act into prevention and support programs in K–12 schools, victim services, and mental health and drug treatment (*Attachment A*).

As further stated in the proposition, the BSCC's responsibilities are to:

Administer a grant program to public agencies aimed at supporting mental health treatment, substance abuse treatment, and diversion programs for people in the criminal justice system, with an emphasis on programs that reduce recidivism of people convicted of less serious crimes, such as those covered by this measure, and those who have substance abuse and mental health problems. (Gov. Code, § 7599.2, subd. (a)(3).)

Assembly Bill 1056 (Statutes of 2015, Chapter 438) added additional priorities to the grant program including housing-related assistance and community-based supportive services such as job skills training, case management and civil legal services (*Attachment B*).

## Proposition 47 Executive Steering Committee

To ensure successful program design and implementation, the BSCC uses Executive Steering Committees (ESCs) to inform decision making related to the Board's programs. BSCC's ESCs typically 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 for final disposition. 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.

AB 1056 added requirements for the Proposition 47 ESC membership. It required the ESC to include a balanced and diverse membership from relevant state and local government entities, community-based treatment and service providers, and the formerly incarcerated community. The ESC was also required to have expertise in homelessness and housing, behavioral health and substance abuse treatment, and effective rehabilitative treatment for adults and juveniles.

The Proposition 47 ESC included a cross-section of subject matter experts on mental health and substance use disorder treatment, diversion programs, reentry, housing and other areas, including individuals who were directly impacted by the criminal justice system. Information about the ESC, including a list of members, can be found on the BSCC [website](#) and on *Appendix A*.

The guiding principles and content developed by the Proposition 47 ESC remain in place for this second round of Proposition 47 funding. BSCC will use a Scoring Panel to read, score and develop funding recommendations for the BSCC Board.

### Conflicts of Interest

Existing law prohibits any non-governmental sub-grantee, partner, or like party who participates on the Scoring Panel from receiving funds from the Proposition 47 grants awarded under this RFP. Public agency applicants are encouraged to communicate this conflict of interest consideration to known and potential non-governmental organizations who may have expressed interest in serving on the Scoring Panel. Such participation will prohibit that non-governmental agency from receiving any Prop 47 funds awarded through this RFP. Scoring Panel membership will be posted to the BSCC [website](#) no later than April 2019.

Public agency applicants who are awarded grants under this RFP are responsible for reviewing the Scoring Panel membership roster and ensuring that no grant dollars are passed through to any non-governmental entity represented by the members of the Proposition 47 Scoring Panel.

## Guiding Principles for the Proposition 47 Grant

In developing this RFP, the ESC agreed on the guiding principles listed below. These guiding principles reflect the priorities and values of the ESC. They will be woven throughout the RFP and incorporated into the rating criteria. Public agency applicants should develop proposals that reflect these principles.

### Guiding Principles for the Proposition 47 Grant

- Value community partnerships and collaborations.
- Encourage culturally competent services and approaches that foster the principles of restorative justice.
- Define target populations, especially those populations that are traditionally underserved.
- Identify and address known barriers to serving target populations.
- Prioritize client-focused/client-centered and holistic programs and approaches, including healing strategies and trauma informed care.
- Include community-based organizations with diverse staffing, including those who are system-impacted individuals, or who have varying educational levels and life experiences.
- Demonstrate capacity building for service providers at every level.
- Be mindful of regional equity and geographic diversity, including smaller and rural counties.
- Collect program data and measure/evaluate outcomes, and publish and share information.
- Encourage community engagement, where members of the community participate in the identifying, informing, and shaping of policies, goals, services, and solutions.

## Description of the Grant

### Eligible Applicants

Applicants must be public agencies. (Pen. Code, §6046.3, subd. (a)(3).) A public agency is defined as:

Public agency means a county, city, whether a general law city or a chartered city, or city and county, the duly constituted governing body of an Indian reservation or Rancheria, a school district, municipal corporation, district, political subdivision, or any board, commission, or agency thereof, entities that are legislative bodies of a local agency pursuant to subdivision (c) or (d) of Section 54952 of the Government Code, a housing authority organized pursuant to Part 2 (commencing with Section 34200) of Division 24 of the Health and Safety Code, a state agency, public district, or other political subdivision of the state, or any instrumentality thereof, which is authorized to engage in or assist in the development or operation of housing for persons and families of low or moderate income. (Pen. Code, §6046.1, subd. (c).)

New and existing Proposition 47 Grantees may apply for this round of funding. Existing grantees may request funding to continue their current approach or for a new unrelated approach.

### Definition of Lead Agency

For the purposes of this RFP, the public agency will be considered the “**Lead Agency.**” In order to be eligible, a Lead Agency must:

- Subcontract with one or more non-governmental, community organizations for a **minimum of 50 percent** of the total grant award in order to demonstrate a shared partnership rooted in community engagement and economic equity. Additional points will be awarded to applicants that pass-through 60 percent or 70 percent.

Lead agencies (e.g., individual agencies or departments within a city, county or other jurisdiction) may not submit more than one proposal.

Non-lead agencies (including community-based organizations, faith-based organizations, non-governmental or governmental entities, etc.) may serve as a partner on more than one proposal.

Two or more public agencies may partner to submit a joint proposal, but one must be designated as Lead Agency for contracting purposes. Joint proposals must comply with all other eligibility criteria. A public agency may not apply on both an individual and a joint proposal.

## **Criteria for Non-Governmental Organizations Receiving Grant Funds**

Any non-governmental organization that receives Proposition 47 grant funds (as either a direct grantee, subgrantee, or subcontractor) must:

- Be duly organized, in existence, and in good standing at least six months before entering into a fiscal agreement with a BSCC grantee;
  - Non-governmental organizations (NGO) 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 effective date of the BSCC grantee and NGO fiscal agreement.
- 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), non-profit 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.).

In addition to the administrative criteria listed above, any non-governmental, community organization that receives Proposition 47 grant funds must have a proven track record working with the target population and the capacity to support data collection and evaluation efforts.

## **Eligible Activities**

Proposition 47 grant funds must be used for mental health services, substance use disorder treatment, diversion programs, or some combination thereof. In addition to these required services and programs, applicants are encouraged to provide supplemental housing-related services and other community-based supportive services, such as job skills training, case management, and civil legal services (as detailed below).

Assembly Bill 1056 mandated in part that the Executive Steering Committee:

- (1) Prioritize proposals that advance principles of restorative justice while demonstrating a capacity to reduce recidivism.
- (2) Prioritize proposals that leverage other federal, state, and local funds or other social investments, such as the following sources of funding:

- (A) The Drug Medi-Cal Treatment Program (22 Cal. Code Regs. 51341.1, 51490.1, and 51516.1).
  - (B) The Mental Health Services Act, enacted by Proposition 63 at the November 2, 2004, general election, as amended.
  - (C) Funds provided for in connection with the implementation of Chapter 15 of the Statutes of 2011.
  - (D) The Community Corrections Performance Incentives Act (Stats. 2009, Ch. 608; Chapter 3 (commencing with Section 1228) of Title 8 of Part 2).
  - (E) The tax credits established pursuant to Sections 12209, 17053.57, and 23657 of the Revenue and Taxation Code.
  - (F) The federal Department of Housing and Urban Development funds, such as the Emergency Solutions Grant program (42 U.S.C. Sec. 11371 et seq.).
  - (G) The federal Department of Veterans Affairs Supportive Services for Veteran Families program (38 U.S.C. Sec. 2044).
  - (H) Social Innovation Funds established by the Corporation for National and Community Service pursuant to Section 12653k of Title 42 of the United States Code.
  - (I) The Edward Byrne Memorial Justice Assistance Grant Program (42 U.S.C. Sec. 3750 et seq.).
- (3) Prioritize proposals that provide for all of the following:
- (A) Mental health services, substance use disorder treatment services, misdemeanor diversion programs, or some combination thereof.
  - (B) Housing-related assistance that utilizes evidence-based models, including, but not limited to, those recommended by the federal Department of Housing and Urban Development. Housing-related assistance may include, but is not limited to, the following:
    - (i) Financial assistance, including security deposits, utility payments, moving-cost assistance, and up to 24 months of rental assistance.
    - (ii) Housing stabilization assistance, including case management, relocation assistance, outreach and engagement, landlord recruitment, housing navigation and placement, and credit repair.
  - (C) Other community-based supportive services, such as job skills training, case management, and civil legal services.
- (4) Prioritize proposals that leverage existing contracts, partnerships, memoranda of understanding, or other formal relationships to provide one or more of the services prioritized in paragraph (3).
- (5) Prioritize proposals put forth by a public agency in partnership with a philanthropic or nonprofit organization.
- (6) Prioritize proposals that promote interagency and regional collaborations.

Pen. Code, § 6046.3, subd. (b).

Examples of Substance Use Disorder Treatment and Diversion Programs can be found in *Attachment C*.

**Existing Services or Programs**

Public agency applicants will be allowed to EITHER implement new services or programs OR expand existing services or programs.

**Ineligible Grant Expenditures**

Grant funds may be used to supplement existing funds dedicated to the project but may not replace (supplant) funds that have been appropriated for the same purpose.

Proposition 47 grant funds may not be used for:

- the acquisition of real property, or
- programs or services provided in a custodial setting (with the exception of outreach and reentry planning)<sup>1</sup>.

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

---

<sup>1</sup> For the purposes of this RFP, a locked facility (e.g. jail, prison, etc.) is considered a custodial setting. The intent of this RFP is to prohibit the use of grant funds for programs or services provided in a custodial setting with the exception of outreach and reentry planning.

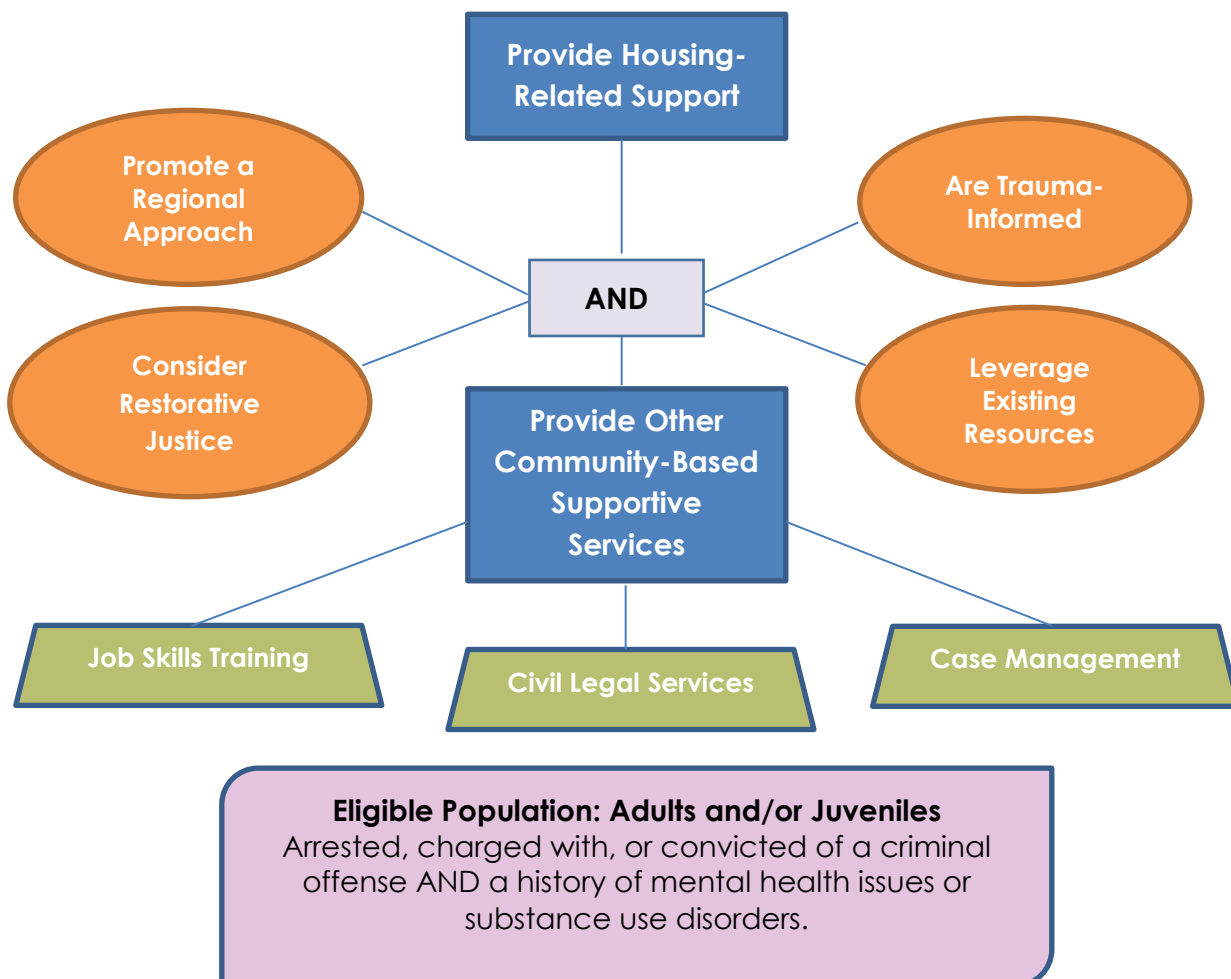
The following flowchart provides a visual representation of required and eligible services under the Proposition 47 Grant Program:

## BSCC PROPOSITION 47 GRANT

### REQUIRED for ALL APPLICANTS



### With PRIORITY given to projects that also:



## **Service Delivery Approach**

Public agency applicants will be required to describe the service delivery approach, i.e. who will deliver the services and how, and why it is most appropriate for the community and target population. Key questions to consider include:

- What are the needs of your community and how does your project provide services reflective of the racially and ethnically diverse communities served?
- How does your project ensure services will be provided in locations accessible to the community?
- How does your project ensure services will be tailored to meet an individual's holistic needs, e.g. wraparound services?
- How does your project provide services in a culturally competent manner?
- How does your approach ensure that services and programs adhere to the principles of trauma-informed care?
- How does your project provide services in a collaborative manner with the community, governmental and nongovernmental agencies?
- How does your project take steps to advance the principles of Restorative Justice and reduce recidivism in your community?
- How will this project change or improve the lives of participants?

Definitions for Trauma-Informed Care, Recidivism, and Restorative Justice can be found in *Attachment C*.

## **Target Population**

As mandated by AB 1056, services and programs proposed in response to this RFP must be designed to serve people who:

- have been arrested, charged with, or convicted of a criminal offense AND have a history of mental health issues or substance use disorders.

For purposes of this RFP, a person has a history of mental health issues or substance use disorders if the person:

- has a mental health issue or substance use disorder that limits one or more of their life activities;
- has received services for a mental health issue or substance use disorder;
- has self-reported to a provider that they have a history of mental health issues, substance use disorders, or both; or
- has been regarded as having a mental health issue or substance use disorder.

Public agency applicants are required to describe how they will ensure that this target population is the one to be served by the proposed program. This could include a description of the program's referral, screening, assessment and documentation processes.

### Grant Agreement and Timelines

Successful proposals will be under contract from August 15, 2019 to May 15, 2023. The timeline for the Proposition 47 grants is shown in the following table:

Implementation	Service Delivery	Service Delivery	Service Delivery	Data Evaluation
4 Months	Year 1	Year 2	Year 3	4 Months
August 15, 2019 - December 31, 2019	January 1, 2020 - December 31, 2020	January 1, 2021 - December 31, 2021	January 1, 2022 - December 31, 2022	January 1, 2023 – May 15, 2023
<p>Implementation period provided to allow for local procurement, 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>Data analysis and evaluation period to compile and analyze data gathered from three full years of service delivery.</p> <p>Only expenses incurred for evaluation efforts may be incurred during these last four months. No new service delivery expenses may be incurred.</p>

## Funding

Proposition 47 created the Safe Neighborhoods and Schools Fund. State savings that result from the implementation of Proposition 47 are deposited annually into this fund. AB 1056 established the Second Chance Fund where these savings are deposited for a competitive grant program.

Grant awards from this RFP will be funded from Prop 47 savings deposits in Fiscal Years (FY) 2019-20 and 2020-21. The FY 2019-20 savings estimate is \$48,217,250 after accounting for BSCC administrative costs. The actual savings is not yet known. The FY 2020-21 savings estimate has not been determined yet. For planning purposes, this RFP assumes that the FY 2020-21 savings will be the same as the FY 2019-20 estimate. Adjustments to available funding will be coordinated with successful applicants as the actual FY 2019-2020 and FY 2020-21 amounts are known and deposited.

In summary, for purposes of this RFP, it is estimated that approximately \$96,434,500 will be available for grant awards. This funding is contingent on:

- 1) the amount of funds available in the Safe Neighborhoods and Schools Fund for FY 2019-2020 and FY 2020-21;
- 2) a grantee's adherence to the Proposition 47 RFP requirements and applicable statutes; and
- 3) a grantee's ability to demonstrate that annual implementation goals and objectives (as listed on the Proposition 47 Project Work Plan) have been met.

The BSCC may select additional proposals for awards from the ranked list if the deposits into the Second Chance Fund significantly increases the BSCC's grant fund allocation.

### Funding Categories and Corresponding Funding Thresholds

Recognizing that different-sized jurisdictions have different capacities, resources, and needs, there are two categories within which public agency applicants will compete. Maximum funding thresholds have been set within each category. These categories were established so that projects of a smaller scope do not compete against projects of a larger scope.

To determine which category your application falls into, see the table below:

Project Category	For Public Agency Applicants requesting:	Prop. 47 Funds Allocated to this Category
1) Smaller Scope	Up to <b>\$1 million</b> for the entire grant period	\$18,616,627
2) Larger Scope	More than \$1 million and up to <b>\$6 million</b> for the entire grant period.	\$77,817,873
	Special set-aside: The County of Los Angeles may submit a single application for up to \$18,616,627 for the entire grant period.	
<b>Total</b>		<b>\$96,434,500</b>

Only one application may be submitted on behalf of the County of Los Angeles and its subsidiary departments and agencies. Other cities and eligible non-county, public entities within Los Angeles County may still submit individual applications in either the Small or Large category.

Public agency applicants will indicate which category they are applying under and build a budget accordingly. Public agency applicants are strongly encouraged to apply for only the amount of funding needed to meet their program goals within the entire grant period. The Scoring Panel will score proposals based in part on the reasonableness of the proposed budget.

**Note:** Applicants must earn at least 65 percent of the total weighted score in order to be considered for funding (see Rating Factors, page 23). If there are not sufficient qualified applicants in one category to exhaust all funds, those funds will be recommended for qualified applicants in the other category.

### **Financial Leveraging**

This RFP does not have a match requirement. However, public agency applicants must demonstrate how they will leverage other federal, state, and local funds or other social investments, such as the following (per Assembly Bill 1056):

- A. The Drug Medi-Cal Treatment Program (22 Cal. Code Regs. 51341.1, 51490.1, and 51516.1).
- B. The Mental Health Services Act, enacted by Proposition 63 at the November 2, 2004, general election, as amended.
- C. Funds provided for in connection with the implementation of Chapter 15 of the Statutes of 2011.
- D. The Community Corrections Performance Incentives Act (Stats. 2009, Ch. 608; Chapter 3 (commencing with Section 1228) of Title 8 of Part 2).
- E. The tax credits established pursuant to Sections 12209, 17053.57, and 23657 of the Revenue and Taxation Code.
- F. The federal Department of Housing and Urban Development funds, such as the Emergency Solutions Grant program (42 U.S.C. Sec. 11371 et seq.).
- G. The federal Department of Veterans Affairs Supportive Services for Veteran Families program (38 U.S.C. Sec. 2044).
- H. Social Innovation Funds established by the Corporation for National and Community Service pursuant to Section 12653k of Title 42 of the United States Code.
- I. The Edward Byrne Memorial Justice Assistance Grant Program (42 U.S.C. Sec. 3750 et seq.).

### **Supplanting**

BSCC grant funds shall be used to support new program activities or to augment existing funds that expand current program activities. BSCC grant funds shall not be used to replace existing funds.

Supplanting is strictly prohibited for all BSCC grants. When leveraging outside funds, public agency applicants must be careful not to supplant. 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.

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.

### **Proposition 47 Local Advisory Committee**

In order to apply for Proposition 47 funding, the Lead Agency must develop a Proposition 47 Local Advisory Committee that includes local stakeholders who have experience and expertise in the prospective programs and/or services to be implemented by the proposal. This advisory committee will, at a minimum, advise on:

- How to identify and prioritize the most pressing needs to be addressed (to include target population, target area, etc.);
- How to identify the strategies, programs and/or services to be undertaken to address those needs;
- The development of the grant project;
- Ongoing implementation of the grant project.

The Proposition 47 Local Advisory Committee must include a broad range of stakeholders from within the communities, organizations, departments, etc. impacted by the proposal. Examples include: behavioral health professionals, educators, community-based and faith-based organizations, individuals impacted by the justice system, law enforcement, probation, prosecutors, defense attorneys, courts, social service providers, advocacy groups, housing providers, housing navigators and citizens.

Lead Agencies should consider state and local conflict of interest laws when selecting members of the Proposition 47 Local Advisory Committee. The Lead Agency is advised to check with its counsel about potential conflicts. The Lead Agency may use an existing body, but it must include individuals with the appropriate experience and expertise and address all the requirements listed in this section.

The Lead Agency must host regular community meetings to invite ongoing feedback and non-confidential updates from the Proposition 47 Local Advisory Committee and the community.

Throughout the duration of the grant, Lead Agencies must maintain documentation of:

- public outreach efforts soliciting committee membership and publicizing community meeting information;
- attendance at both committee and community meetings; and
- agendas and minutes of committee and community meetings.

As a part of the application, each Lead Agency will be required to complete a Membership Roster and include Letters of Agreement for the Proposition 47 Local Advisory Committee (see *Attachments D and E*).

## Local Government Impacts

The Proposition 47 grant encourages community engagement, innovation and financial leveraging as avenues for communities to develop projects that best fit their needs. In supporting this approach, proposed projects may have unforeseen or unintended impacts on local government agencies that prevent projects from operating as intended (e.g. a significant increase in referrals to county behavioral health, lack of coordination between local agencies that provide similar services, duplication of services, etc.).

As a part of the application, each Lead Agency will be required to acknowledge any anticipated impacts (see *Attachment F*).

## Promising, Data-Driven and Innovative Approaches

Public agency applicants seeking funding through this grant process are required to use data and research to drive decision-making in the development, implementation and evaluation of their overall projects.

The BSCC is committed to supporting a focus on better outcomes in the criminal justice system and for those involved in it. For the purpose of this RFP, public agency applicants should focus on the following three basic principles:

- 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 you selected used by another jurisdiction with documented positive results? Is there published research on the intervention you are choosing to implement showing its effectiveness? Is the intervention or strategy being used by another jurisdiction 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 in another jurisdiction, are there procedures in place to ensure that that you are following the model closely (so that you are more likely to achieve the desired outcomes)?*
- 3. Is there a plan to collect evidence or data that will allow for an evaluation of whether the intervention or strategy worked?** *For example, will the intervention or strategy you selected allow for the collection of data or other evidence so that outcomes can be measured at the conclusion of the project? Do you have processes in place to identify, collect and analyze that data/evidence?*

Public agency applicants are encouraged to develop an overall project that incorporates these principles, but is tailored to fit the needs of the communities they serve. Innovation and creativity are encouraged, but projects that have not been validated must demonstrate a promising approach using existing data and research such as best practices in the field.

Plans to measure the effectiveness of a project should include the use of both qualitative and quantitative research. While quantitative research is based on numbers and mathematical calculations, qualitative research is based on written or spoken narratives. The purpose of quantitative research is to explain, predict and/or control events through focused collection of numerical data, while the purpose of qualitative research is to explain and gain insight and understanding of events through intensive collection of narrative data.

## Data Collection and Evaluation

Projects selected for funding will be required to submit a Local Evaluation Plan, a Two-Year Preliminary Evaluation Report, and a Final Local Evaluation Report. See *Attachment C* for key definitions related to project evaluation.

Public agency applicants are strongly encouraged to identify research partners early on and include them in the development of the proposal, so that the goals and objectives listed in the Proposition 47 Project Work Plan are measurable.

### **Required Set-Aside for Evaluation Efforts**

Grantees are required to set aside at least 5 percent (or \$25,000, whichever is greater) but not more than 10 percent of the total grant award for data collection and evaluation efforts, to include the development of the Local Evaluation Plan, Two-Year Preliminary Evaluation Report, and Final Local Evaluation Report.

Public agency applicants are strongly encouraged to use outside evaluators to ensure objective and impartial evaluations. Specifically, public agency applicants are encouraged to partner with state universities or community colleges for evaluations.

### **Local Evaluation Plan**

The purpose of the Local Evaluation Plan is to ensure that projects funded by the BSCC can be evaluated. Grantees will be expected to include a detailed description of how the public agency applicant will assess the effectiveness of the proposed program in relationship to each of its goals and objectives. A relationship between the goals and objectives identified in the Proposition 47 Project Work Plan should be apparent in the Local Evaluation Plan.

The Local Evaluation Plan 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 project objectives clearly stated. Public agency applicants should also address process and outcome evaluations. Once submitted, any modifications to the Local Evaluation Plan must be approved in advance by the BSCC. The Local Evaluation Plan is due no later than December 31, 2019.

### **Two-Year Preliminary Evaluation Report**

The purpose of the Two-Year Preliminary Local Evaluation Report is to assess whether grantees are making sufficient progress toward the goals and objectives described in the original proposal. Second, it will allow the grantee to ensure that the methodology described in the Local Evaluation Plan is still appropriate for measuring the intended impact. As noted in the “Funding” section, second and third year funding is contingent on the grantee’s ability

to demonstrate that annual implementation goals and objectives have been met. The Two-Year Preliminary Evaluation Report is due no later than August 15, 2021.

### **Final Local Evaluation Report**

Following project completion, grantees are required to complete a Local Evaluation Report. The Local Evaluation Report must be in a format prescribed by the BSCC. Within the Local Evaluation Report, an Executive Summary must be included that adheres to the format prescribed by the BSCC specifically for the Executive Summary.

The purpose of the Final Local Evaluation Report is to determine whether the overall project (including each individual component) was effective in meeting the goals laid out in the Local Evaluation Plan. To do this, the grantee must assess and document the effectiveness of the activities that were implemented within each individual project component. These activities should have been identified in the previously submitted Local Evaluation Plan. The Final Local Evaluation Report is due no later than May 15, 2023.

### **Evaluation Dissemination**

The BSCC will make public the Local Evaluation Plan, Two-Year Preliminary Local Evaluation Report and 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.

## **General Grant Requirements**

### **Grant Agreement**

Public agency 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 *Attachment G* for the State of California: Contract and General Terms and Conditions.

The Grant Agreement start date is expected to be August 15, 2019. Contracts are considered fully executed only after they are signed by both the Grantee and the BSCC. Work, services and encumbrances cannot begin prior to the Grant Agreement start date. Work, services and encumbrances that occur after the start date but prior to contract execution may not be reimbursed. Grantees are responsible for maintaining their Grant Agreement, all invoices, records and relevant documentation for at least three years after the final payment under the contract.

### **Governing Board Resolution**

Successful public agency applicants will be required to submit a Resolution from their

Governing Boards before the grant award can be finalized and funds awarded. A signed resolution is not required at the time of proposal submission, but public agency applicants are advised that no financial invoices will be processed for reimbursement until the Governing Board Resolution has been received by the BSCC. A sample Governing Board Resolution can be found in *Attachment H*.

### **Audit**

Although state-funded grants do not have an audit requirement, unless specifically stated in state law or regulations, the BSCC reserves the right to call for a program or financial audit at any time between the execution of the contract and three (3) years following the end of the grant period.

The California State Auditor, the California Department of Finance – Office of State Audits & Evaluations, the California State Controller's Office, 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.

### **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.

- **Units of Government**

Units of government may follow either their own written travel and per diem policy or the State's policy. Units of government that plan to use cars from a state, county, city, district car pool, or garage may budget either the mileage rate established by the car pool or garage, or the state mileage rate, not to exceed the loaning agency rate.

- **Non-Governmental Organizations (NGOs)**

An NGO 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.

### **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 *Attachment K* certifying they are in compliance with the BSCC's policies on debarment, fraud, theft, and embezzlement.

## **Invoices**

Disbursement of grant funds occurs on a reimbursement basis for costs incurred during a reporting period. Grantees must submit invoices with supporting documentation to the BSCC according to the terms of their grant agreement (typically quarterly) within 45 days following the end of the reporting period via the online process. Grantees must maintain adequate supporting documentation for all costs claimed on invoices for reimbursement.

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

## **Quarterly Progress Reports**

Grant award recipients are required to provide relevant program information and data by submitting quarterly progress reports to the BSCC. Applicable forms and instructions will be available to grantees on the BSCC's website. 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 and Proposition 47 Project Work Plan could be subject to the withholding of funds.

As a part of the progress reports, grantees will be required to complete the BSCC Data Template. The purpose of the BSCC Data Template is to gather individual level data on the impacts of Proposition 47. **The BSCC will not request or retain personal identifying information through this process.**

Examples of potential prompts include:

- Age
- Race/Ethnicity
- Gender
- Recidivism
- Program enrollment/completion/exit without completion
- Screening for mental illness and/or substance use disorder
- Treatment received
- Services received

The BSCC will provide a template and instructions to grantees. The BSCC Data Template will be submitted on a quarterly basis with the Progress Reports.

### **Grantee Orientation**

Following the start of the grant period, BSCC staff will conduct a Grantee Orientation in Sacramento (September 2019, 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, Day-to-Day Contact, individual tasked with Data Collection and Evaluation and a minimum of one Community Partner must attend.

Grant recipients may use their Proposition 47 grant funds for travel-related expenditures such as airfare, mileage, meals, lodging and other per diem costs. Public agency applicants should include anticipated costs in the budget section of the proposal under the "Other" category. Award recipients will be provided additional details regarding the Grantee Orientation in September 2019.

## Overview of the RFP Process

### Technical Compliance Review

BSCC staff will conduct a technical review of each proposal to determine if it is in compliance with all technical requirements prior to being forwarded to the Scoring Panel.

It is the BSCC's intent to avoid having otherwise worthy proposals eliminated from consideration due to relatively minor and easily corrected errors or omissions. Applicants will, therefore, have an opportunity to respond to deficiencies identified during the technical review process, which will take place immediately following the proposal due date. If necessary, applicants will be allowed to make non-substantive changes that bring the proposal into technical compliance.

### Disqualification

The following will result in an automatic disqualification:

- The original hard copy or electronic version of the proposal are not received by 5:00 p.m. on March 18, 2019.
- The Lead Agency Applicant is not a public agency as defined in Penal Code Section 6046.1 (d).
- The proposal does not address mental health services, substance use disorder treatment, diversion or some combination thereof, as required by Proposition 47.
- Services (with the exception of outreach and reentry planning) will be provided in a custodial setting.

Disqualification means that the proposal will not move forward to the Scoring Panel for the Proposal Rating Process.

### Notification

Once BSCC staff complete the technical compliance review process, BSCC staff will contact applicants only under the following circumstances:

- a. The applicant has been disqualified due to one of the circumstances listed in the box above.
- b. The Proposal contains minor technical deficiencies.

### Proposal Rating Process

Once a Proposal passes the Technical Compliance Review, it will advance to the Scoring Panel for the Proposal Rating Process. The Scoring Panel will read and assign points to each Proposal in accordance with the prescribed rating factors listed in the table below.

Scoring Panel members will base their points on how well a public agency applicant addresses the items listed under each rating factor within the Proposal Narrative and Budget Section. Following the Proposal Rating Process, the Scoring Panel will convene for a Final Rater Review meeting where they will develop funding recommendations for consideration by the BSCC Board.

At the conclusion of this process, public agency applicants will be notified of the Board's funding recommendations. It is anticipated that the Board will act on the recommendations at its meeting in June or July 2019. Public agency applicants and partners are not to contact members of the Scoring Panel or the BSCC Board to discuss proposals.

### Rating Factors

The rating factors that will be used and the maximum points allocated to each factor are shown in the table below. Each rating factor will be scored on a scale of 1-5. Each rating factor then will be weighted in the overall score as shown in the column titled Percentage of Total Value to arrive at the Maximum Point Value.

	Rating Factors	Point Range	Percent of Total Value	Maximum Points	Weighted Score*
1	Project Need	1-5	15%	8	32
2	Community Engagement	1-5	20%	10	40
3	Project Description	1-5	25%	13	52
4	Project Evaluation Plan	1-5	10%	5	20
5	Guiding Principles	1-5	10%	5	20
6	Budget Section	1-5	20%	10	40
	<b>Total</b>		<b>100%</b>	<b>51</b>	<b>204</b>
*Once Maximum Points are calculated for each rating factor, the score will be multiplied by four. This will allow for a larger point spread between applicants.					
<b>Additional Points:</b> Applicants are required to dedicate a minimum of 50 percent of grant funds requested to subcontracts with non-governmental, community organizations. Additional points will be added to the final score if an applicant dedicates 60 percent or more, as follows:					
60-69 percent of grant funds = 2 additional points 70+ percent of grant funds = 4 additional points					
<b>Total Possible Score with Additional Points</b>					<b>208</b>

### Five Point Range Scale

Poor 1	Fair 2	Satisfactory 3	Good 4	Excellent 5
The response addresses the criteria in a very inadequate way.	The response addresses the criteria in a non-specific or unsatisfactory way.	The response addresses the criteria in an adequate way.	The response addresses the criteria in a substantial way.	The response addresses the criteria in an outstanding way.

### Minimum Scoring Threshold

Proposals must meet both an individual and an overall minimum score threshold in order to be considered for funding.

Applicants must earn a minimum of **50 percent** of the Maximum Points in the *Community Engagement, Project Description* and *Budget Section* Rating Factors, as follows:

- Community Engagement: Minimum score of 5.0
- Project Description: Minimum score of 6.5
- Budget Section: Minimum score of 5.0

In addition to the individual minimum scoring thresholds for these three sections, applicants must earn an overall weighted score of **133** or higher in order to be considered for funding (65 percent of 204).

### Funding Decisions

As explained on page 13, applicants will compete for funds within either the Small or Large Scope category. BSCC will move down the ranked lists to fund all qualified applicants (i.e. proposals that meet the scoring threshold requirements) in each category until all funds in that category are exhausted. Applicants that fall at the cut-off point may be offered a partial award if there are not sufficient remaining funds to make a full award.

If there are not sufficient qualified applicants to exhaust all funds in one category, those funds will be recommended for qualified applicants in the other category. Any funds remaining after all possible qualified applicants have been funded will be held for the next Proposition 47 Request for Proposal.

In the case of a tied score, the applicant with the highest score in the Project Description section will be awarded funds. If the tie remains, the applicant with the highest combined point total across the Community Engagement and Budget Section will be awarded.

### Summary of Key Dates

The table below shows a timeline with key dates related to implementation of the Proposition 47 Grant.

Activity	Date
Release Request for Proposals	January 18, 2019
Notice of Intent to Apply Due to the BSCC	February 18, 2019
Proposals Due to the BSCC	March 18, 2019
Proposal Rating Process and Development of Funding Recommendations	March-June 2019
BSCC Board Considers Funding Recommendations	June or July 2019
Notices to Public Agency Applicants	June or July 2019
New Grants Begin (planned)	August 15, 2019
Mandatory New Grantee Orientation	September 2019 (Date to be determined)

# **ATTACHMENTS**

**Proposition 47 – In Pertinent Part**

THE SAFE NEIGHBORHOODS AND SCHOOLS ACT

SEC. 4. Chapter 33 (commencing with Section 7599) is added to Division 7 of Title 1 of the Government Code, to read:

*Chapter 33. Creation of Safe Neighborhoods and Schools Fund*

*7599. (a) A fund to be known as the “Safe Neighborhoods and Schools Fund” is hereby created within the State Treasury and, notwithstanding Section 13340 of the Government Code, is continuously appropriated without regard to fiscal year for carrying out the purposes of this chapter.*

*(b) For purposes of the calculations required by Section 8 of Article XVI of the California Constitution, funds transferred to the Safe Neighborhoods and Schools Fund shall be considered General Fund revenues which may be appropriated pursuant to Article XIII B.*

*7599.1. Funding Appropriation.*

*(a) On or before July 31, 2016, and on or before July 31 of each fiscal year thereafter, the Director of Finance shall calculate the savings that accrued to the state from the implementation of the act adding this chapter (“this act”) during the fiscal year ending June 30, as compared to the fiscal year preceding the enactment of this act. In making the calculation required by this subdivision, the Director of Finance shall use actual data or best available estimates where actual data is not available. The calculation shall be final and shall not be adjusted for any subsequent changes in the underlying data. The Director of Finance shall certify the results of the calculation to the Controller no later than August 1 of each fiscal year.*

*(b) Before August 15, 2016, and before August 15 of each fiscal year thereafter, the Controller shall transfer from the General Fund to the Safe Neighborhoods and Schools Fund the total amount calculated pursuant to subdivision (a).*

*c) Moneys in the Safe Neighborhoods and Schools Fund shall be continuously appropriated for the purposes of this act. Funds transferred to the Safe Neighborhoods and Schools Fund shall be used exclusively for the purposes of this act and shall not be subject to appropriation or transfer by the Legislature for any other purpose. The funds in the Safe Neighborhoods and Schools Fund may be used without regard to fiscal year.*

*7599.2. Distribution of Moneys from the Safe Neighborhoods and Schools Fund.*

*(a) By August 15 of each fiscal year beginning in 2016, the Controller shall disburse moneys deposited in the Safe Neighborhoods and Schools Fund as follows:*

*(1) Twenty-five percent to the State Department of Education, to administer a grant program to public agencies aimed at improving outcomes for public school pupils in kindergarten and grades 1 to 12, inclusive, by reducing truancy and supporting students who are at risk of dropping out of school or are victims of crime.*

*(2) Ten percent to the California Victim Compensation and Government Claims Board, to make grants to trauma recovery centers to provide services to victims of crime pursuant to Section 13963.1 of the Government Code.*

*(3) Sixty -five percent to the Board of State and Community Corrections, to administer a grant program to public agencies aimed at supporting mental health treatment, substance abuse treatment, and diversion programs for people in the criminal justice system, with an emphasis on programs that reduce recidivism of people convicted of less serious crimes, such as those covered by this measure, and those who have substance abuse and mental health problems.*

*(b) For each program set forth in paragraphs (1) to (3), inclusive, of subdivision (a), the agency responsible for administering the programs shall not spend more than 5 percent of the total funds it receives from the Safe Neighborhoods and Schools Fund on an annual basis for administrative costs.*

*(c) Every two years, the Controller shall conduct an audit of the grant programs operated by the agencies specified in paragraphs (1) to (3), inclusive, of subdivision (a) to ensure the funds are disbursed and expended solely according to this chapter and shall report his or her findings to the Legislature and the public.*

*(d) Any costs incurred by the Controller and the Director of Finance in connection with the administration of the Safe Neighborhoods and Schools Fund, including the costs of the calculation required by Section 7599.1 and the audit required by subdivision (c), as determined by the Director of Finance, shall be deducted from the Safe Neighborhoods and Schools Fund before the funds are disbursed pursuant to subdivision (a).*

*(e) The funding established pursuant to this act shall be used to expand programs for public school pupils in kindergarten and grades 1 to 12, inclusive, victims of crime, and mental health and substance abuse treatment and diversion programs for people in the criminal justice system. These funds shall not be used to supplant existing state or local funds utilized for these purposes.*

*(f) Local agencies shall not be obligated to provide programs or levels of service described in this chapter above the level for which funding has been provided.*

**Assembly Bill No. 1056**

[Approved by Governor October 02, 2015. Filed with Secretary of State October 02, 2015.]

AB 1056, Atkins. Second Chance Program.

(1) Existing law, until January 1, 2020, establishes the Social Innovation Financing Program, and requires the Board of State and Community Corrections to administer the program. Existing law, among other things, authorizes the board, upon appropriation of funds by the Legislature for deposit into the Recidivism Reduction Fund, to award grants in amounts of not less than \$500,000 and not more than \$2,000,000 to each of 3 counties, selected as specified, for the purpose of entering into a pay for success or social innovation financing contract, pursuant to which private investors agree to provide financing to service providers to achieve social outcomes agreed upon in advance and the government agency that is a party to the contractual agreement agrees to pay a return on the investment to the investors if successful programmatic outcomes are achieved by the service provider. Existing law limits the total amount of the grants awarded to \$5,000,000. Existing law requires each county receiving an award to report annually to the Governor and Legislature on the status of its program. Existing law requires the board to compile the county reports and submit a summary report to the Governor and the Legislature annually.

This bill would extend the operation of that program and the reporting requirements until January 1, 2022.

This bill would also require the board to administer a competitive grant program that focuses on community-based solutions for reducing recidivism. The bill would establish minimum criteria for the grant program and would require the board to establish an executive steering committee, as specified, to make recommendations regarding the design, efficacy, and viability of proposals and to make recommendations on guidelines for the submission of proposals for the grant program, including threshold or scoring criteria, or both. Among other things, the bill would require those guidelines to prioritize proposals that advance principles of restorative justice while demonstrating a capacity to reduce recidivism, and that leverage certain other federal, state, and local funds or social investments. The bill would define recidivism, for the purposes of these provisions, as a conviction of a new felony or misdemeanor committed within 3 years of release from custody or committed within 3 years of placement on supervision for a previous criminal conviction.

(2) The Safe Neighborhoods and Schools Act establishes within the State Treasury the Safe Neighborhoods and Schools Fund to receive moneys transferred from the General Fund in an amount equal to the savings resulting from the implementation of the act, as specified. The act requires that 65% of the moneys in the Safe Neighborhoods and Schools Fund be allocated the Board of State and Community Corrections to administer a grant program to public agencies aimed at supporting specified types of programs, including diversion programs, for people in the criminal justice system with an emphasis on programs that reduce recidivism, as specified.

This bill would create the Second Chance Fund in the State Treasury for the purpose of funding the above-described recidivism reduction program. The bill would require the Controller, upon order of the Director of Finance, to transfer the moneys available to the Board of State and Community Corrections from the Safe Neighborhoods and Schools Fund into the Second Chance Fund. The bill would also authorize the Second Chance Fund to receive moneys from any other federal, state, or local grant, or from any private donation. The bill would prohibit the board from using the moneys in the fund to supplant existing programs and from spending more than 5% per year of the total moneys in the fund for administrative purposes.

The bill would require the board to administer these provisions, and moneys in the fund would be continuously appropriated to the board for expenditure for these purposes. By creating a continuously appropriated fund, this bill would make an appropriation.

(3) The Safe Neighborhoods and Schools Act provides that its provisions may be amended by a statute, passed by a  $\frac{2}{3}$  vote of each house of the Legislature and signed by the Governor, that is consistent with and furthers the intent of the act.

This bill would declare that its provisions further the intent of the Safe Neighborhoods and Schools Act.

## **BILL TEXT**

THE PEOPLE OF THE STATE OF CALIFORNIA DO ENACT AS FOLLOWS:

### **SECTION 1.**

The Legislature finds and declares all of the following:

(a) California voters approved Proposition 47, known as the Safe Neighborhoods and Schools Act of 2014. The measure was enacted to ensure that prison spending is focused on violent and serious offenses, to maximize alternatives for nonviolent and nonserious crime, and to invest the resulting savings into prevention and support programs.

(b) Research has shown that people in the criminal justice system disproportionately suffer from mental health issues and substance use disorders. Nationally, over one-half of all people in prisons or jails have experienced a mental health issue within the last year, and over one-half of women and 44 percent of men in jail have a drug or alcohol dependency.

(c) People in the criminal justice system and formerly incarcerated individuals have difficulty securing housing and employment following their incarceration. These challenges are compounded for people living with mental health issues or substance use disorders. As a result, many formerly incarcerated people, especially those with mental health issues or substance abuse disorders experience homelessness. Experiencing homelessness greatly increases the likelihood that a formerly incarcerated person will recidivate.

(d) Offering people in the criminal justice system and formerly incarcerated individuals meaningful access to mental health services, substance use treatment services, housing, housing-related job assistance, job skills training, and other community-based supportive services has been shown to decrease the likelihood of future contact with law enforcement and the criminal justice system.

(e) Prioritizing the state savings realized by the implementation of the Safe Neighborhoods and Schools Act of 2014 for projects that combine mental health services, substance use treatment services, housing, housing-related job assistance, job skills training, and other community-based supportive services will help the state meaningfully reduce recidivism.

(f) By prioritizing projects that offer comprehensive interventions, the Legislature intends for public agencies, nonprofits, and other community-based providers of services to people in the criminal justice system and formerly incarcerated individuals to leverage additional federal, state, and local funds for social investment resources.

(g) The Legislature intends to promote the use of restorative justice principles in addressing recidivism.

## **SEC. 2.**

Section 97013 of the Government Code is amended to read:

### **97013.**

(a) Each county receiving an award shall report annually to the board on the status of its ongoing social innovation financing program. The report shall also contain an accounting of the moneys awarded.

(b) The board shall compile the county reports and submit a summary report to the Governor and Legislature annually.

(c) A report made pursuant to this section shall be made in accordance with the requirements of Section 9795.

(d) This section shall remain in effect only until January 1, 2022, and as of that date is repealed, unless a later enacted statute, that is enacted before January 1, 2022, deletes or extends that date.

## **SEC. 3.**

Section 97015 of the Government Code is amended to read:

### **97015.**

This title shall remain in effect only until January 1, 2022, and as of that date is repealed, unless a later enacted statute, that is enacted before January 1, 2022, deletes or extends that date.

## **SEC. 4.**

Article 5 (commencing with Section 6046) is added to Chapter 5 of Title 7 of Part 3 of the Penal Code, to read:

### **Article 5. Second Chance Program**

#### **6046.**

(a) The purpose of this article is to build safer communities by investing in community-based programs, services, and initiatives for formerly incarcerated individuals in need of mental health and substance use treatment services.

(b) The program established pursuant to this article shall be restricted to supporting mental health treatment, substance use treatment, and diversion programs for persons in

the criminal justice system, with an emphasis on programs that reduce recidivism of persons convicted of less serious crimes, such as those covered by the Safe Neighborhoods and Schools Act of 2014, and those who have substance use and mental health problems.

(c) The Board of State and Community Corrections shall administer a grant program established pursuant to this article.

#### **6046.1.**

For the purposes of this article, the following definitions shall apply:

(a) “Board” means the Board of State and Community Corrections.

(b) “Fund” means the Second Chance Fund established pursuant to Section

#### **6046.2.**

(c) “Public agency” means a county, city, whether a general law city or a chartered city, or city and county, the duly constituted governing body of an Indian reservation or rancheria, a school district, municipal corporation, district, political subdivision, or any board, commission, or agency thereof, entities that are legislative bodies of a local agency pursuant to subdivision (c) or (d) of Section 54952 of the Government Code, a housing authority organized pursuant to Part 2 (commencing with Section 34200) of Division 24 of the Health and Safety Code, a state agency, public district, or other political subdivision of the state, or any instrumentality thereof, which is authorized to engage in or assist in the development or operation of housing for persons and families of low or moderate income.

(d) “Recidivism” means a conviction of a new felony or misdemeanor committed within three years of release from custody or committed within three years of placement on supervision for a previous criminal conviction.

#### **6046.2.**

(a) The Second Chance Fund is hereby created in the State Treasury. The board shall be responsible for administering the fund. Moneys in the fund are hereby continuously appropriated without regard to fiscal year for the purposes of this article.

(b) (1) The Controller, upon order of the Director of Finance, shall transfer moneys available to the Board of State and Community Corrections pursuant to paragraph (3) of subdivision (a) of Section 7599.2 of the Government Code into the Second Chance Fund.

(2) The Second Chance Fund may receive moneys from any other federal, state, or local grant, or from any private donation or grant, for the purposes of this article.

(c) The board shall not spend more than 5 percent annually of the moneys in the fund for administrative costs.

#### **6046.3.**

(a) The board shall administer a competitive grant program to carry out the purposes of this article that focuses on community-based solutions for reducing recidivism. The grant program shall, at minimum, do all of the following:

(1) Restrict eligibility to proposals designed to serve people who have been arrested, charged with, or convicted of a criminal offense and have a history of mental health or substance use disorders.

(2) Restrict eligibility to proposals that offer mental health services, substance use disorder treatment services, misdemeanor diversion programs, or some combination thereof.

(3) Restrict eligibility to proposals that have a public agency as the lead applicant.

(b) The board shall form an executive steering committee that includes, but is not limited to, a balanced and diverse membership from relevant state and local government entities, community-based treatment and service providers, and the formerly incarcerated community. The committee shall have expertise in homelessness and housing, behavioral health and substance abuse treatment, and effective rehabilitative treatment for adults and juveniles. The committee shall make recommendations regarding the design, efficacy, and viability of proposals, and make recommendations on guidelines for the submission of proposals, including threshold or scoring criteria, or both, that do all of the following:

(1) Prioritize proposals that advance principles of restorative justice while demonstrating a capacity to reduce recidivism.

(2) Prioritize proposals that leverage other federal, state, and local funds or other social investments, such as the following sources of funding:

(A) The Drug Medi-Cal Treatment Program (22 Cal. Code Regs. 51341.1, 51490.1, and 51516.1).

(B) The Mental Health Services Act, enacted by Proposition 63 at the November 2, 2004, general election, as amended.

(C) Funds provided for in connection with the implementation of Chapter 15 of the Statutes of 2011.

(D) The Community Corrections Performance Incentives Act (Stats. 2009, Ch. 608; Chapter 3 (commencing with Section 1228) of Title 8 of Part 2).

(E) The tax credits established pursuant to Sections 12209, 17053.57, and 23657 of the Revenue and Taxation Code.

(F) The federal Department of Housing and Urban Development funds, such as the Emergency Solutions Grant program (42 U.S.C. Sec. 11371 et seq.).

(G) The federal Department of Veterans Affairs Supportive Services for Veteran Families program (38 U.S.C. Sec. 2044).

(H) Social Innovation Funds established by the Corporation for National and Community Service pursuant to Section 12653k of Title 42 of the United States Code.

(I) The Edward Byrne Memorial Justice Assistance Grant Program (42 U.S.C. Sec. 3750 et seq.).

(3) Prioritize proposals that provide for all of the following:

(A) Mental health services, substance use disorder treatment services, misdemeanor diversion programs, or some combination thereof.

(B) Housing-related assistance that utilizes evidence-based models, including, but not limited to, those recommended by the federal Department of Housing and Urban Development. Housing-related assistance may include, but is not limited to, the following:

(i) Financial assistance, including security deposits, utility payments, moving-cost assistance, and up to 24 months of rental assistance.

(ii) Housing stabilization assistance, including case management, relocation assistance, outreach and engagement, landlord recruitment, housing navigation and placement, and credit repair.

(C) Other community-based supportive services, such as job skills training, case management, and civil legal services.

(4) Prioritize proposals that leverage existing contracts, partnerships, memoranda of understanding, or other formal relationships to provide one or more of the services prioritized in paragraph (3).

(5) Prioritize proposals put forth by a public agency in partnership with a philanthropic or nonprofit organization.

(6) Prioritize proposals that promote interagency and regional collaborations.

(7) Consider ways to promote services for people with offenses identical or similar to those addressed by the Safe Neighborhoods and Schools Act of 2014, without precluding assistance to a person with other offenses in his or her criminal history.

(8) Consider geographic diversity.

(9) Consider appropriate limits for administrative costs and overhead.

(10) Consider proposals that provide services to juveniles.

(11) Permit proposals to expand the capacity of an existing program and prohibit proposals from using the fund to supplant funding for an existing program.

## **SEC. 5.**

The Legislature finds and declares that this act furthers the intent of the Safe Neighborhoods and Schools Act enacted by Proposition 47 at the November 4, 2014, general election.

## Attachment C: Glossary of Key Terms

### **Cultural Competence**

Cultural competence<sup>2</sup> is a set of congruent behaviors, attitudes, and policies that come together in a system, agency or among professionals and enable that system, agency or those professions to work effectively in cross-cultural situations.

The word **culture** is used because it implies the integrated pattern of human behavior that includes thoughts, communications, actions, customs, beliefs, values and institutions of a racial, ethnic, religious or social group. The word **competence** is used because it implies having the capacity to function effectively. Five essential elements contribute to a system's institution's, or agency's ability to become more culturally competent which include:

1. Valuing diversity
2. Having the capacity for cultural self-assessment
3. Being conscious of the dynamics inherent when cultures interact
4. Having institutionalized culture knowledge
5. Having developed adaptations to service delivery reflecting an understanding of cultural diversity

These five elements should be manifested at every level of an organization including policy making, administrative, and practice. Further these elements should be reflected in the attitudes, structures, policies and services of the organization.

### **Diversion Programs**

In the context of criminal law, diversion refers to diverting an individual out of the criminal justice system by having them complete a diversion program rather than be incarcerated or serve another alternative sentence. Criminal charges are typically dropped when an individual successfully completes a diversion program. The purpose of a diversion program is to effect rehabilitation while avoiding the stigma of a criminal conviction.

A diversion program allows the individual to avoid prosecution by completing various requirements for the program. These requirements could include:

1. Education aimed at preventing future offenses by the offender;
2. Restitution to victims of the offense;
3. Completion of community service hours;
4. Avoiding situations for a specified period of time in the future that may lead to committing another such offense.

Diversion programs are usually only available to individuals charged with misdemeanors and nonviolent felonies involving drugs or alcohol. In some jurisdictions, diversion may be available to individuals charged with domestic violence, child abuse or neglect, traffic-related

---

<sup>2</sup> Cross, T., Bazron, B., Dennis, K., & Isaacs, M., (1989). *Towards A Culturally Competent System of Care, Volume I*. Washington, DC: Georgetown University Child Development Center, CASSP Technical Assistance Center.

offenses, or even writing bad checks. Diversion programs are primarily governed by state laws, which vary by state.

## **Project Evaluation:**

### **Process Evaluation<sup>3</sup>**

The purpose of the process evaluation is to assess how program activities are being carried out in accordance with goals and objectives. Process measures are designed to answer the question: “What is the program actually doing and is this what we planned it to do?” Examples of process measures could include:

- Project staff have been recruited, hired and trained according to the proposal.
- Activities/strategies have been implemented on time according to the proposal.
- Number of interagency agreements entered into by the program compared to the number planned.
- Number of trainings conducted.
- Number of neighborhood meetings conducted.

### **Outcome Evaluation<sup>4</sup>**

The purpose of the outcome evaluation is to identify whether the program “worked” in terms of achieving its goals and objectives. Outcome measures are designed to answer the question: “What results did the program produce?” Examples of outcome measures include:

- Results of pre/post surveys (e.g., changes in the reported confidence/trust in law enforcement among community members).
- Implementation of regular, ongoing community forums where law enforcement/community dialogue takes place.
- Changes in policies at the Lead Agency level to reflect procedural justice principles.

In an evidence-based practice approach, outcome evaluations must include not only the measures but also analysis of the extent to which the measured results can be attributed to the program rather than to coincidence or alternative explanations.

## **Goals and Objectives**

Goals and objectives are terms in common use, 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>5</sup>.

---

<sup>3</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/njiec/publications/program-evaluation.pdf>.

<sup>4</sup> *Id* at pp. 7-8.

<sup>5</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>6</sup>:

- To reduce the number of serious and chronic juvenile offenders.
- To divert nonviolent juvenile offenders from state juvenile correctional institutions.
- To restore the losses suffered by the victims of crimes.

Objectives are defined by statements of specific, measurable aims of program activities<sup>7</sup>. Objectives detail the tasks that must be completed to achieve goals<sup>8</sup>. Descriptions of objectives in the proposals should include three elements<sup>9</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>10</sup>:

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

## **Housing Models (Examples)**

### **1. Housing First**

Housing First is an approach that centers on providing homeless people with housing quickly and then providing services as needed. What differentiates a Housing First approach from other strategies is that there is an immediate and primary focus on helping individuals and families quickly access and sustain permanent housing. This approach has the benefit of being consistent with what most people experiencing homelessness want and seek help to achieve. Housing First programs share critical elements:

- There is a focus on helping individuals and families access and sustain rental housing *as quickly as possible and the housing is not time-limited*;
- A variety of services are delivered primarily following a housing placement to promote housing stability and individual well-being;
- Such services are time-limited or long-term depending upon individual need; and

---

<sup>6</sup> *Id.* at p. 4.

<sup>7</sup> National Center for Justice Planning. Overview of Strategic Planning. *Where Do We Want to Be? Goals and Objectives*. Retrieved from <http://ncjp.org/strategic-planning/overview/where-do-we-want-be/goals-objectives>.

<sup>8</sup> *Id.*; see *supra* fn 1.

<sup>9</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/njjec/publications/program-evaluation.pdf>.

<sup>10</sup> *Id.*

- Housing is not contingent on compliance with services – instead, participants must comply with a standard lease agreement and are provided with the services and supports that are necessary to help them do so successfully.

*Source: National Alliance to End Homelessness*

## **2. Permanent Supportive Housing**

Supportive housing is an evidence-based housing intervention that combines non-time-limited affordable housing assistance with wrap-around supportive services for people experiencing homelessness, as well as other people with disabilities. Research has proven that supportive housing is a cost-effective solution to homelessness, particularly for people experiencing chronic homelessness. Study after study has shown that supportive housing not only resolves homelessness and increases housing stability, but also improves health and lowers public costs by reducing the use of publicly-funded crisis services, including shelters, hospitals, psychiatric centers, jails, and prisons.

*Source: U.S. Interagency Council on Homelessness*

## **3. Bridge Housing**

The Bridge Housing model is transitional housing used as a short-term stay when an individual has been offered and accepted a permanent housing intervention, but access to that permanent housing is still being arranged.

*Source: Department of Veterans Affairs*

## **4. Rapid Rehousing**

Rapid re-housing is an intervention designed to help individuals and families quickly exit homelessness and return to permanent housing. Rapid re-housing assistance is offered without preconditions — like employment, income, absence of criminal record, or sobriety — and the resources and services provided are tailored to the unique needs of the household.

Rapid re-housing has the following core components:

### **a. Housing Identification**

- Recruit landlords to provide housing opportunities for individuals and families experiencing homelessness.
- Address potential barriers to landlord participation such as concern about short term nature of rental assistance and tenant qualifications.
- Assist households to find and secure appropriate rental housing.

### **b. Rent and Move-In Assistance**

- Provide assistance to cover move-in costs, deposits, and the rental and/or utility assistance (typically six months or less) necessary to allow individuals and families to move immediately out of homelessness and to stabilize in permanent housing.

### **c. Rapid Re-Housing Case Management and Services**

- Help individuals and families experiencing homelessness identify and select among various permanent housing options based on their unique needs, preferences, and financial resources.
- Help individuals and families experiencing homelessness address issues that may impede access to housing (such as credit history, arrears, and legal issues).
- Help individuals and families negotiate manageable and appropriate lease agreements with landlords.
- Make appropriate and time-limited services and supports available to families and individuals to allow them to stabilize quickly in permanent housing.
- Monitor participants' housing stability and be available to resolve crises, at a minimum during the time rapid re-housing assistance is provided.
- Provide or assist the household with connections to resources that help them improve their safety and well-being and achieve their long-term goals. This includes providing or ensuring that the household has access to resources related to benefits, employment, and community-based services (if needed and appropriate), so that they can sustain rent payments independently when rental assistance ends.
- Ensure that services provided are client-directed, respectful of individuals' right to self-determination, and voluntary. Unless basic program-related case management is required by statute or regulation, participation in services should not be required to receive rapid re-housing assistance.

*Source: U.S. Interagency Council on Homelessness*

## **5. Transitional Housing**

Transitional Housing: a project that is designed to provide housing and appropriate supportive services to homeless persons to facilitate movement to independent living. The housing is short-term, typically less than 24 months. In addition to providing safe housing for those in need, other services are available to help participants become self-sufficient.

Source: U.S. Department of Housing and Urban Development

## **6. Sober Living Homes**

A supportive alcohol and drug free living environment for individuals attempting to maintain abstinence from alcohol or drugs in their life. Such programs do not mandate treatment but strongly encourage participation in 12-step support groups. These group living environments offer transitional space for people living incarceration, formal addiction treatment centers or other residential placement. They typically employ house rules which may include curfews, house chores or duties and other rules related to conduct. The participant is generally responsible for their rent and encouraged to work and engage in all other normal life functions from within a peer-supported environment.

## **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>11</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>12</sup>; Cullen and Gendreau, 2000<sup>13</sup>; Lipsey 1999<sup>14</sup>), several “principles of effective intervention” have been identified. These principles can be briefly categorized as the following:

- Assess Actuarial Risk/Needs
- 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

### **Recidivism**

Recidivism is defined as conviction of a new felony or misdemeanor committed within three years of release from custody or committed within three years of placement on supervision for a previous criminal conviction.<sup>15</sup>

### **Restorative Justice**

Restorative justice is an evolving response to wrongdoing that respects the dignity and equality of each person, builds understanding, and promotes social harmony through the healing of survivors, those who have committed wrongdoing and communities.

Restorative justice provides an opportunity for survivors to obtain reparation, feel safer and seek healing; allows those who have committed wrongdoing to gain insight into the causes and effects of their behavior, to take responsibility in a meaningful way and seek healing; and enables communities to understand the underlying causes of wrongdoing, to promote community well-being and to prevent crime.

---

<sup>11</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>12</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>13</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>14</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.

<sup>15</sup> Cal. Penal Code § 6046.2(d)). “Committed” refers to the date of offense, not the date of conviction.

### **Substance Use Disorder Treatment (Examples)**

According to the Substance Abuse and Mental Health Services Administration, a treatment system for substance use disorders could be comprised of multiple service components, including, but not limited to the following:

- Individual and group counseling
- Inpatient and residential treatment
- Intensive outpatient treatment
- Partial hospital programs
- Case or care management
- Medication
- Recovery support services
- 12-Step fellowship
- Peer supports

Other services that may qualify could include:

- Withdrawal management
- Culturally rooted community healing practices

### **Trauma-Informed Care**<sup>16</sup>

According to the Substance Abuse and Mental Health Services Administration, “A program, organization, or system that is trauma-informed:

- Realizes the widespread impact of trauma and understands potential paths for recovery;
- Recognizes the signs and symptoms of trauma in clients, families, staff, and others involved with the system;
- Responds by fully integrating knowledge about trauma into policies, procedures, and practices; and
- Seeks to actively resist re-traumatization

SAMHSA’s concept of trauma-informed care is guided by six key principles:

- Safety
- Trustworthiness and transparency
- Peer support
- Collaboration and mutuality
- Empowerment, voice and choice
- Cultural, historical, and gender issues.

---

<sup>16</sup> Substance Abuse and Mental Health Services Administration, U.S. Department of Health and Human Services. *Trauma-informed Approach and Trauma-Specific Interventions*. Retrieved July 22, 2016, from <http://www.samhsa.gov/nctic/trauma-interventions>

**Attachment D: 2019-2023 Proposition 47 Local Advisory Committee Membership Roster**

**Lead Public Agency:**

Individual Name	Job Title	Agency/Organization

## Attachment E: Proposition 47 Local Advisory Committee Letter of Agreement

*Note: This letter is to be signed by Lead Agency and all members of the Proposition 47 Local Advisory Committee. Photocopies of signatures are acceptable. Include additional signature lines as necessary.*

(Date)

This is a letter of agreement between **(Lead Agency)** and all organizations listed herein for the purposes of applying for the Proposition 47 Grant. All organizations listed herein agree to participate on the local **Proposition 47 Local Advisory Committee** led by **(Lead Agency)** using a collaborative approach. This advisory body will, at a minimum, advise the Lead Agency on:

- How to identify and prioritize the most pressing needs to be addressed (to include target population, target area, etc.);
- How to identify the strategies, programs and/or services to be undertaken to address those needs;
- The development of the grant project; and
- Ongoing implementation of the grant project.

*(Note: Applicants may provide additional information; e.g., explain the detail of collaboration, list the services or support, provide dates and timelines, etc.)*

Signed in mutual agreement,

### LEAD PUBLIC AGENCY SIGNATURE

X \_\_\_\_\_  
Signature  
**Name, Title**  
**Name of Lead Agency**  
**Address**

### PROPOSITION 47 LOCAL ADVISORY COMMITTEE MEMBER SIGNATURES

X \_\_\_\_\_  
Signature  
**Name, Title**  
**Name of Partner Organization**  
**Address**

X \_\_\_\_\_  
Signature  
**Name, Title**  
**Name of Partner Organization**  
**Address**

## Attachment F: Local Government Impact Letters

The Proposition 47 grant encourages community engagement, innovation and financial leveraging as avenues for communities to develop projects that best fit their needs. In supporting this approach, proposed projects may have unforeseen or unintended impacts on local government agencies that prevent projects from operating as intended (e.g. a significant increase in referrals to county behavioral health, lack of coordination between local agencies that provide similar services, duplication of services, etc.).

To acknowledge any anticipated impacts, each Lead Agency is required to:

- Identify each public agency that reasonably could be expected to be impacted by this grant project;
- Submit a Letter of Agreement signed by both the Lead Agency and the impacted public agency that includes the following:
  - The name of the Proposition 47 project and a brief project description;
  - A description of how the Proposition 47 project might impact the public agency; and
  - An explanation of how the Lead Agency and the impacted public agency will work together to address stated impacts.

Note: If the Lead Agency concludes that the Proposition 47 project will not impact any other local government agency, the Lead Agency must include a letter to that effect.

## Attachment G: Sample Grant Agreement

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES

### STANDARD AGREEMENT

STD 213 (Rev 10-2018)

AGREEMENT NUMBER

**BSCC XXX-19**

PURCHASING AUTHORITY NUMBER (If

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**

2. The term of this Agreement is:

START DATE

**AUGUST 15, 2019**

THROUGH END DATE

**MAY 15, 2023**

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	3
Exhibit B	Budget Detail and Payment Provisions	4
Exhibit C	General Terms and Conditions (04/2017)	4
ExhibitD	Special Terms and Conditions	4
Attachment 1	2019 Prop 47 Request for Proposal*	*
Attachment 2	2019 Prop 47 Application for Funding	xx
Appendix A	Prop 47 Executive Steering Committee	1
Appendix B	Criteria for Non-Governmental Organizations Receiving Prop 47 Funds	

\* This item is hereby incorporated by reference and can be viewed at:

*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

CITY

STATE

ZIP

PRINTED NAME OF PERSON SIGNING

TITLE

CONTRACTOR AUTHORIZED SIGNATURE

DATE SIGNED



### CONTRACTING AGENCY

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

MARY JOLLS

TITLE

Deputy Director

CONTRACTING AGENCY AUTHORIZED SIGNATURE

DATE SIGNED



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

**SAMPLE - EXHIBIT A  
SCOPE OF WORK**

**1. GRANT AGREEMENT – PROPOSITION 47 GRANT PROGRAM**

This Grant Agreement is between the State of California, Board of State and Community Corrections, hereafter referred to as BSCC and x, hereafter referred to as Grantee or Contractor.

**2. PROJECT SUMMARY AND ADMINISTRATION**

A. Project summary here...

B. Grantee agrees to administer the project in accordance with Attachment 1: 2019 Prop 47 Request for Proposal (incorporated by reference) and Attachment 2: 2019 Prop 47 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 in connection with 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:

Title:

Address:

Phone:

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

Name:

Title:

Address:

Phone:

Email:

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

Name:

Title:

Address:

Phone:

Email:

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

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.

**SAMPLE - EXHIBIT A**  
**SCOPE OF WORK**

**4. DATA COLLECTION**

Grantees will be required to comply with all of the data collection and reporting requirements as described in Attachment 1: 2019 Prop 47 Request for Proposal and Attachment 2: 2019 Prop 47 Application for Funding.

**5. PROGRESS REPORTS AND EVALUATIONS**

**A. Quarterly Progress Reports**

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**

**Due no later than:**

- |  |                    |
|--|--------------------|
| 1. August 15, 2019 to December 31, 2019  | February 15, 2020  |
| 2. January 1, 2020 to March 31, 2020     | May 15, 2020       |
| 3. April 1, 2020 to June 30, 2020        | August 15, 2020    |
| 4. July 1, 2020 to September 30, 2020    | November 15, 2020  |
| 5. October 1, 2020 to December 31, 2020  | February 15, 2021  |
| 6. January 1, 2021 to March 31, 2021     | May 15, 2021       |
| 7. April 1, 2021 to June 30, 2021        | August 15, 2021    |
| 8. July 1, 2021 to September 30, 2021    | November 15, 2021  |
| 9. October 1, 2021 to December 31, 2021  | February 15, 2022  |
| 10. January 1, 2022 to March 31, 2022    | May 15, 2022       |
| 11. April 1, 2022 to June 30, 2022       | August 15, 2022    |
| 12. July 1, 2022 to August 15, 2022      | September 30, 2022 |
| 13. October 1, 2022 to December 31, 2022 | February 15, 2023  |

**B. Evaluation Reports**

**Due no later than:**

- |   |                   |
|---|-------------------|
| 1. Local Evaluation Plan                  | December 31, 2019 |
| 2. Two-Year Preliminary Evaluation Report | August 15, 2021   |
| 3. Final Local Evaluation Report          | May 15, 2023      |

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

**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.

**SAMPLE - EXHIBIT A**  
**SCOPE OF WORK**

- C. Personnel and payroll records shall include the time and attendance reports for all individuals reimbursed under the grant, whether they are employed full-time or part-time. Time and effort reports are required for consultants (subcontractors).
- 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. In cases of an actual conflict of interest with an Scoring Panel 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.

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

**1. INVOICING AND PAYMENTS (Grantees to select Monthly or Quarterly)**

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

<b>Grant Cycle Monthly Invoicing Periods</b>	<b>Due no later than:</b>
1. August 15, 2017 to September 30, 2019	November 15, 2019
2. October 1, 2019 to October 31, 2019	December 15, 2019
3. November 1, 2019 to November 30, 2019	January 15, 2020
4. December 1, 2019 to December 31, 2019	February 15, 2020
5. January 1, 2020 to January 31, 2020	March 15, 2020
6. February 1, 2020 to February 28, 2020	April 15, 2020
7. March 1, 2020 to March 31, 2020	May 15, 2020
8. April 1, 2020 to April 30, 2020	June 15, 2020
9. May 1, 2020 to May 31, 2020	July 15, 2020
10. June 1, 2020 to June 30, 2020	August 15, 2020
11. July 1, 2020 to July 31, 2020	September 15, 2020
12. August 1, 2020 to August 31, 2020	October 15, 2020
13. September 1, 2020 to September 30, 2020	November 15, 2020
14. October 1, 2020 to October 31, 2020	December 15, 2020
15. November 1, 2020 to November 30, 2020	January 15, 2021
16. December 1, 2020 to December 31, 2020	February 15, 2021
17. January 1, 2021 to January 31, 2021	March 15, 2021
18. February 1, 2021 to February 28, 2021	April 15, 2021
19. March 1, 2021 to March 31, 2021	May 15, 2021
20. April 1, 2021 to April 30, 2021	June 15, 2021
21. May 1, 2021 to May 31, 2021	July 15, 2021
22. June 1, 2021 to June 30, 2021	August 15, 2021
23. July 1, 2021 to July 31, 2021	September 15, 2021
24. August 1, 2021 to August 31, 2021	October 15, 2021
25. September 1, 2021 to September 30, 2021	November 15, 2021
26. October 1, 2021 to October 31, 2021	December 15, 2021
27. November 1, 2021 to November 30, 2021	January 15, 2022
28. December 1, 2021 to December 31, 2021	February 15, 2022
29. January 1, 2022 to January 31, 2022	March 15, 2022
30. February 1, 2022 to February 29, 2022	April 15, 2022
31. March 1, 2022 to March 31, 2022	May 15, 2022
32. April 1, 2022 to April 30, 2022	June 15, 2022
33. May 1, 2022 to May 31, 2022	July 15, 2022
34. June 1, 2022 to June 30, 2022	August 15, 2022
35. July 1, 2022 to July 31, 2022	September 15, 2022
36. August 1, 2022 to August 31, 2022	October 15, 2022
37. September 1, 2022 to September 30, 2022	November 15, 2022
38. October 1, 2022 to October 31, 2022	December 15, 2022

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

39. November 1, 2022 to November 30, 2022	January 15, 2023
40. December 1, 2022 to December 31, 2022	February 15, 2023
41. January 1, 2023 to January 31, 2023	March 15, 2023
42. February 1, 2023 to February 15, 2023	April 15, 2023

**Evaluation Invoicing Period\***

**Due no later than**

43. February 16, 2023 to March 31, 2023	May 15, 2023
44. April 1, 2023 to May 15, 2023	June 30, 2023

*\*Note: Only expenditures associated with completion of the Final Local Evaluation Report may be included on invoices due for the Evaluation Invoicing Period.*

- B. All grant project expenditures (excluding Final Local Evaluation Report costs) and all obligated leverage contributions must be incurred by the end of the grant project cycle, February 15, 2023, and included on the final invoice due April 15, 2023. Project costs/match contributions incurred after February 15, 2022 will not be reimbursed/eligible for contribution.
- C. The Final Local Evaluation Report is due to the BSCC by May 15, 2023. Only those expenditures incurred solely for the completion of the Final Local Evaluation Report will be reimbursed during the Evaluation Invoicing Period (invoices 43, 44, due dates listed above). All fiscal supporting documentation for expenditures related to the Final Local Evaluation Report must be submitted to the BSCC by the due date of the final invoice due on June 30, 2022.
- D. An invoice 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.
- A. **Quarterly Invoicing:** 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

**Grant Cycle Quarterly Invoicing Periods**

**Due no later than:**

1. August 15, 2019 to December 31, 2019	February 15, 2020
2. January 1, 2020 to March 31, 2020	May 15, 2020
3. April 1, 2020 to June 30, 2020	August 15, 2020
4. July 1, 2020 to September 30, 2020	November 15, 2020
5. October 1, 2020 to December 31, 2020	February 15, 2021
6. January 1, 2021 to March 31, 2021	May 15, 2021
7. April 1, 2021 to June 30, 2021	August 15, 2021
8. July 1, 2021 to September 30, 2021	November 15, 2021
9. October 1, 2021 to December 31, 2021	February 15, 2022
10. January 1, 2022 to March 31, 2022	May 15, 2022
11. April 1, 2022 to June 30, 2022	August 15, 2022
12. July 1, 2022 to August 15, 2022	September 30, 2022
13. October 1, 2022 to February 15, 2023	March 31, 2022, 2023

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

**Evaluation Invoicing Period\***

14. February 16, 2023 to May 15, 2023

**Due no later than**

June 30, 2023

*Note: Only expenditures associated with completion of the Final Local Evaluation Report may be included on the final invoice due June 30, 2023.*

- B. All grant project expenditures (excluding Final Local Evaluation Report costs) and all obligated leverage contributions must be incurred by the end of the grant project cycle, February 15, 2023, and included on the final invoice due March 31, 2023. Project costs/match contributions incurred after February 15, 2023 will not be reimbursed/eligible for contribution.
- C. The Final Local Evaluation Report is due to the BSCC by May 15, 2023. Only those expenditures incurred solely for the completion of the Final Local Evaluation Report will be reimbursed during the Evaluation Invoicing Period, February 16, 2023 to May 15, 2023. All fiscal supporting documentation for expenditures related to the Final Local Evaluation Report must be submitted to the BSCC by the due date of the final invoice due on June 30, 2023.
- D. An invoice 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.

**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. In no event shall changes be authorized for the Indirect Costs/Administrative Overhead line item that would result in that item exceeding ten percent (10%) of the grant award.

**3. BUDGET CONTINGENCY CLAUSE**

- A. This grant agreement is valid and enforceable only if sufficient funds are made available through the annual transfer of savings generated by Proposition 47 from the General Fund to the Safe Neighborhoods and Schools Fund and subsequent transfer from the Safe Neighborhoods and Schools Fund to the Second Chance Fund. (Gov. Code, § 7599.1 & Pen. Code, § 6046.2.) On or before July 31<sup>st</sup> of each fiscal year the Department of Finance will calculate the state savings associated with Proposition 47 and certify the calculation to the State Controller who shall transfer those funds to the Safe Neighborhoods and Schools Fund. (Gov. Code, § 7599.1.) 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 transferred to the Safe Neighborhoods and Schools Fund and subsequent transfer to the Second Chance Fund.
- B. If Proposition 47 funding for any fiscal year is reduced or falls below estimates contained within the Proposition 47 Request for Proposals, the BSCC shall have the

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

option to either cancel this Grant Agreement 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. The Grantee agrees to comply with the provisions BSCC Grant Administration Guide requirements as posted on the BSCC website (currently the BSCC Grant Administration Guide July 2016) including any updated version that may be posted during term of the grant agreement. The BSCC will notify grantees whenever an updated version is posted. The BSCC Grant Administration Guide is available at <http://www.bscc.ca.gov/downloads/BSCC%20Grant%20Admin%20Guide%20July%202016.pdf>.
- B. 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.
- C. Grantee is responsible for ensuring that invoices submitted to the BSCC claim actual expenditures for eligible project costs.
- D. 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.
- E. 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.

**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.

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

- B. At such time as the balance of state funds allocated to the Grantee reaches five percent (5%), the BSCC may withhold that amount as security, to be released to the Grantee upon compliance with all grant provision, including:
- 1) submittal and approval of the final invoice;
  - 2) submittal and approval of the final progress report; and
  - 3) submittal and approval of any additional required reports.
- C. The BSCC will not reimburse Grantee 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.
- D. In the event that grant funds are withheld from the Grantee, the BSCC's Executive Director or designee shall notify the Grantee of the reasons for withholding and advise the Grantee of the time within which the Grantee may remedy the failure or violation leading to the withholding.

**7. PROJECT BUDGET**

Budget Line Item	A. Grant Funds	B. Leveraged Funds	C. Total Project Value (A+B)	Percentage of Funds
1. Salaries and Benefits (Lead Agency only)				
2. Services and Supplies (Lead Agency only)				
3. Professional Services & Public Agency Subcontracts				
4. Community-Based Organization Subcontracts (minimum 50%)				
5. Indirect Costs (Lead Agency only)				
6. Data Collection and Evaluation (minimum 5% of requested grant funds or \$25,000, whichever is greater)				
7. Fixed Assets/Equipment (Lead Agency only)				
8. Other (Travel, Training, etc.) (Lead Agency only)				
<b>TOTALS</b>				

**SAMPLE - EXHIBIT C**  
**GENERAL TERMS AND CONDITIONS (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 save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by Contractor in the performance of this Agreement.
6. **DISPUTES:** Contractor shall continue with the responsibilities under this Agreement during any dispute.
7. **TERMINATION FOR CAUSE:** The State may terminate this Agreement and be relieved of any payments should the Contractor fail to perform the requirements of this Agreement at the time and in the manner herein provided. In the event of such termination the State may proceed with the work in any manner deemed proper by the State. All costs to the State shall be deducted from any sum due the Contractor under this Agreement and the balance, if any, shall be paid to the Contractor upon demand.
8. **INDEPENDENT CONTRACTOR:** Contractor, and the agents and employees of Contractor, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of the State.
9. **RECYCLING CERTIFICATION:** The Contractor shall certify in writing under penalty of perjury, the minimum, if not exact, percentage of post consumer material as defined in the Public Contract Code Section 12200, in products, materials, goods, or supplies offered or sold to the State regardless of whether the product meets the requirements of Public Contract Code Section 12209. With respect to printer or duplication cartridges that

**SAMPLE - EXHIBIT C**  
**GENERAL TERMS AND CONDITIONS (04/2017)**

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 (<http://www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx>) are hereby incorporated by reference and made a part of this Agreement by this reference as if attached hereto.

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

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

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

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

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

**SAMPLE - EXHIBIT C**  
**GENERAL TERMS AND CONDITIONS (04/2017)**

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

- B. In submitting a bid to a public purchasing body, the bidder offers and agrees that if the bid is accepted, it will assign to the purchasing body all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act (Chapter 2 (commencing with Section 16700) of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, materials, or services by the bidder for sale to the purchasing body pursuant to the bid. Such assignment shall be made and become effective at the time the purchasing body tenders final payment to the bidder. Government Code Section 4552.
- C. If an awarding body or public purchasing body receives, either through judgment or settlement, a monetary recovery for a cause of action assigned under this chapter, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the public body any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the public body as part of the bid price, less the expenses incurred in obtaining that portion of the recovery. Government Code Section 4553.
- D. Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under this part if the assignor has been or may have been injured by the violation of law for which the cause of action arose and (a) the assignee has not been injured thereby, or (b) the assignee declines to file a court action for the cause of action. See Government Code Section 4554.

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

- A. The contractor recognizes the importance of child and family support obligations and shall fully comply with all applicable state and federal laws relating to child and family support enforcement, including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with section 5200) of Part 5 of Division 9 of the Family Code; and
- B. The contractor, to the best of its knowledge is fully complying with the earnings assignment orders of all employees and is providing the names of all new employees to the New Hire Registry maintained by the California Employment Development Department.

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

**18. PRIORITY HIRING CONSIDERATIONS:** If this Contract includes services in excess of \$200,000, the Contractor shall give priority consideration in filling vacancies in positions

**SAMPLE - EXHIBIT C**  
**GENERAL TERMS AND CONDITIONS (04/2017)**

funded by the Contract to qualified recipients of aid under Welfare and Institutions Code Section 11200 in accordance with Pub. Contract Code §10353.

**19. SMALL BUSINESS PARTICIPATION AND DVBE PARTICIPATION REPORTING REQUIREMENTS:**

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

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

**SAMPLE 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.
- B. Grantee is responsible for the performance of all project activities identified in Attachment 1: 2019 Prop 47 Request for Proposal and Attachment 2: 2019 Prop 47 Application for Funding.
- C. Grantee shall immediately advise the BSCC of any significant problems or changes that arise during the course of the project.

**2. GRANTEE ASSURANCES AND COMMITMENTS**

- A. Compliance with Laws and Regulations  
This Grant Agreement is governed by and shall be interpreted in accordance with the laws of the State of California. Grantee shall at all times comply with all applicable State laws, rules and regulations, and all applicable local ordinances.
- B. Fulfillment of Assurances and Declarations  
Grantee shall fulfill all assurances, declarations, representations, and statements made by the Grantee in Attachment 1: 2019 Prop 47 Request for Proposal, Attachment 2: 2019 Prop 47 Application for Funding, documents, amendments, approved modifications, and communications filed in support of its request for grant funds.
- C. Permits and Licenses  
Grantee agrees to procure all permits and licenses necessary to complete the project, pay all charges and fees, and give all notices necessary or incidental to the due and lawful proceeding of the project work.

**4. POTENTIAL SUBCONTRACTORS**

- A. In accordance with the provisions of this Grant Agreement, the Grantee may subcontract with consultants 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 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.

**SAMPLE EXHIBIT D**  
**SPECIAL TERMS AND CONDITIONS**

- C. Grantee shall ensure that all subcontractors comply with all requirements of this Grant Agreement, including the eligibility requirements stated in the Proposition 47 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.

## **5. 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 project period.

## **6. ACCOUNTING AND AUDIT REQUIREMENTS**

- A. Grantee agrees that accounting procedures for grant funds received pursuant to this Grant Agreement shall be in accordance with generally accepted government accounting principles and practices, and adequate supporting documentation shall be maintained in such detail as to provide an audit trail. Supporting documentation shall permit the tracing of transactions from such documents to relevant accounting records, financial reports and invoices.
- B. The BSCC reserves the right to call for a program or financial audit at any time between the execution of this Grant Agreement and 3 years following the end of the grant period. At any time, the BSCC may disallow all or part of the cost of the

**SAMPLE EXHIBIT D**  
**SPECIAL TERMS AND CONDITIONS**

activity or action determined to not be in compliance with the terms and conditions of this Grant Agreement, or take other remedies legally available.

- C. Pursuant to Government Code Section 7599.2 (c), grantees are subject to audits by the State Controller's Office and must comply with requirements and instructions provided by that office.

**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 Application for Funding. Changes shall not be implemented by the project until authorized by the BSCC.

**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: 2019 Prop 47 Request for Proposal, Attachment 2: 2019 Prop 47 Application for Funding, or approved modifications;
  - 3) failure to provide the required local match share of the total project costs; and
  - 4) failure to meet prescribed assurances, commitments, recording, accounting, auditing, and reporting requirements of the Grant Agreement.
- 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 8. 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

**SAMPLE EXHIBIT D**  
**SPECIAL TERMS AND CONDITIONS**

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 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.

**9. UNION ACTIVITIES**

For all agreements, except fixed price contracts of \$50,000 or less, the Grantee acknowledges that applicability of Government Code §§16654 through 16649 to this Grant Agreement and agrees to the following:

- A. No State funds received under the Grant Agreement will be used to assist, promote or deter union organizing.
- B. Grantee will not, for any business conducted under the Grant Agreement, use any State property to hold meetings with employees or supervisors, if the purpose of such meetings is to assist, promote or deter union organizing, unless the State property is equally available to the general public for holding meetings.
- C. If Grantee incurs costs or makes expenditures to assist, promote or deter union organizing, Grantee will maintain records sufficient to show that no reimbursement from State funds has been sought for these costs, and that Grantee shall provide those records to the Attorney General upon request.

**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.

## Attachment H: Sample Governing Board Resolution

Before grant funds can be reimbursed, a prospective 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 municipal ordinance or county ordinance/charter delegating such authority to a city manager or county executive officer).

Below is sample language for a resolution. Applicants are encouraged to submit the resolution with their application.

---

WHEREAS the ***(insert name of Lead Agency)*** desires to participate in the Proposition 47 Grant 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 Lead Agency)*** 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: \_\_\_\_\_

## Attachment I: Proposition 47 Project Work Plan

Each public agency applicant must develop a 1-page Project Work Plan as part of this RFP process. This Project Work Plan identifies measurable goals and objectives, activities and services, the responsible parties, and a timeline.

To build the Proposition 47 Project Work Plan, applicants should copy and paste the following tables into a separate document. List only the top three goals of the project.

<b>(1) Goal:</b>			
Objectives:			
Project activities that support the identified goal and objectives	Responsible staff/ partners	Timeline	
		Start Date	End Date

<b>(2) Goal:</b>			
Objectives:			
Project activities that support the identified goal and objectives	Responsible staff/ partners	Timeline	
		Start Date	End Date

<b>(3) Goal:</b>			
Objectives:			
Project activities that support the identified goal and objectives	Responsible staff/ partners	Timeline	
		Start Date	End Date

## Attachment J: List of Partner Agencies/Organizations

**Lead Public Agency:**

**Other Public Agency Partners**

	Name of Agency	2-3 sentence description of services to be provided
1		
2		
3		
4		
5		

**Non-Governmental, Community-Based Partners (if known)**

	Name of Organization	2-3 sentence description of services to be provided
1		
2		
3		
4		
5		

*Add additional rows as needed.*

## Attachment K: Grantee Assurance for Third Party Non-Governmental Organizations

The Proposition 47 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 any Proposition 47 funds. Pages 6-7 of the RFP describes these requirements as follows:

Any non-governmental organization that receives Proposition 47 grant funds (as either a direct grantee, subgrantee, or subcontractor) must:

- Be duly organized, in existence, and in good standing at least six months before entering into a fiscal agreement with a BSCC grantee;
  - Non-governmental organizations (NGO) 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 effective date of the BSCC grantee and NGO fiscal agreement.
- 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), non-profit 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.).

In addition to the administrative criteria listed above, any non-governmental, community-based organization that receives Proposition 47 grant funds must have a proven track record working with the target population and the capacity to support data collection and evaluation efforts.

1. In the table below, provide the name of the Lead Public Agency (the Grantee) and list all contracted parties (if known).

**Lead Public Agency:**

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 RFP. These records will be subject to the records and retention language found in the Standard Agreement.

The BSCC will not 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 on pages 6-7 of the Proposition 47 RFP 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) X			DATE

## Attachment L: Proposition 47 Budget Table

The Proposition 47 Budget Table is a stand-alone Microsoft Excel attachment. The Budget Table is located on the BSCC [website](#). A completed Budget Table must reflect all grant and leveraged funds that are requested. The Budget Table has built-in auto tally features to assist applicants in the accurate reporting of budget line items.

## Appendix A: Proposition 47 Executive Steering Committee Roster

### Proposition 47 Executive Steering Committee

Scott Budnick, Co-Chair, BSCC Board Member, President, Anti-Recidivism Coalition, Los Angeles

Leticia Perez, Co-Chair, BSCC Board Member, Kern County Supervisor

John Bauters, Policy Director, Californians for Safety & Justice, Alameda County

Christine Brown-Taylor, Reentry Manager, San Diego County Sheriff's Department

Charity Chandler, Director of Contracts Administration, AIDS Healthcare Foundation, Los Angeles County

Isaiah Crompton, Founder and Executive Director, Isaiah's Sober Living, Kern County

Shelley Curran, Director of Criminal Justice Services, Judicial Council of California, San Francisco

George Eskin, Consultant/Retired Judge, Santa Barbara County

Dr. Mark Ghaly, Director, Community Health & Integrated Programs, L.A. County Dept. of Health Services

Frank Guzman, Staff Attorney, National Center for Youth Law, Alameda County

Stephanie James, Chief Probation Officer, San Joaquin County

John Jones, Life Coach, Communities United for Restorative Youth Justice, Alameda County

Richard Kuhns, Executive Director, Shasta, Modoc, Trinity and Siskiyou Counties Housing Authority

Ronald Lane, Deputy Chief Administrative Officer, San Diego County

Samuel Nuñez, Executive Director, Fathers & Families of San Joaquin, San Joaquin County

Vonya Quarles, Executive Director, Starting Over, Inc., San Bernardino County

Thomas Renfree, Executive Director, County Behavioral Health Directors Assoc. of California, Sacramento

Javier Stauring, Executive Director/Co-Founder, Healing Dialogue and Action, Los Angeles

# **PART II:**

# **PROPOSAL INSTRUCTIONS**

## Proposal Checklist

**Name of Public Agency Applicant:**

A complete Proposition 47 Proposal packet must contain the following (to be submitted in the order listed):

Required:	Check once Complete (√)
Proposal Checklist (signed by the applicant)	
Section I. Applicant Information Form (with original signature in blue ink)	
Section II. Proposal Narrative (up to and not exceeding 15 pages)	
Section III. Budget Narrative (up to and not exceeding 6 pages)	
Required Attachments:	
▪ Proposition 47 Local Advisory Committee Member Roster ( <i>Attachment D</i> )	
▪ Proposition 47 Local Advisory Committee Letter(s) of Agreement ( <i>Attachment E</i> )	
▪ Letter(s) of Agreement for Impacted Local Government Agencies ( <i>Attachment F</i> )	
▪ Proposition 47 Project Work Plan ( <i>Attachment I</i> )	
▪ List of Partner Agencies/Organizations ( <i>Attachment J</i> )	
▪ Grantee Assurance for Third Party Non-Governmental Organizations ( <i>Attachment K</i> )	
▪ Proposition 47 Budget Table ( <i>Attachment L</i> )	
Optional:	
▪ Governing Board Resolution ( <i>Attachment H</i> ) <i>Note: The Governing Board Resolution is due prior to Grant Award Agreement, <u>not</u> at time of proposal submission.</i>	
Assurance:	
Proposition 47 Grant Funds will not be used for the acquisition of real property or for programs or services provided in a custodial setting.	

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

X \_\_\_\_\_  
*Public Agency Applicant Authorized Signature (see Applicant Information Form, next page)*

## Applicant Information Form Instructions

### Instructions for completing the Applicant Information Form:

- A. Public Agency Applicant:** Complete the required information for the public agency submitting the proposal. If submitting a joint proposal, list other public agencies participating.
- B. Tax Identification Number:** Provide tax identification number.
- C. Project Title:** Provide the selected title of the project.
- D. Required Services:** Indicate which of the required Proposition 47 areas this proposal will address (mental health services, substance disorder treatment, diversion programs, or some combination thereof).
- E. Additional Services:** Indicate whether the proposal will offer housing-related assistance and/or other supportive community-based services.
- F. Project Summary:** Provide a brief summary (three to four sentences) of the proposal. Note: this information may be posted to the BSCC's website for informational purposes.
- G. Grant Funds Requested:** Identify the amount of grant funds requested.
- H. Pass-Through:** Of the amount listed in Item G., identify the amount of grant funds that will be sub-contracted to non-governmental community organizations. Also list this amount as a percentage of the total grant funds requested.
- I. Financial Leveraging:** Identify the total amount of funds this proposal will leverage using other (non-Prop 47) sources (see "Funding" section).
- J. Project Director:** Provide the name, title and contact information for the individual responsible for oversight of the project. This person must be an employee of the Lead Agency.
- K. Financial Officer:** Provide the name, title and contact information for the individual responsible for the fiscal management of the project (e.g., invoices, expenditure documentation and audit). This person must be an employee of the Lead Agency.
- L. Day-to-Day Programmatic Contact:** Provide the name, title and contact information for the individual who serves as the primary contact person for the grant. This person must be an employee of the Lead Agency.
- M. Day-to-Day Fiscal Contact:** Provide the name, title and contact information for the individual who serves as the primary contact person for the grant. This person must be an employee of the Lead Agency.
- N. Authorized Signature:** Complete the required information for the person authorized to sign for the Public Agency Applicant. This individual must read the assurances under this section, then sign and date in the appropriate fields.

## Section I. Applicant Information Form

A. PUBLIC AGENCY APPLICANT		B. TAX IDENTIFICATION NUMBER	
NAME OF PUBLIC AGENCY		TAX IDENTIFICATION #:	
STREET ADDRESS	CITY	STATE	ZIP CODE
MAILING ADDRESS (if different)	CITY	STATE	ZIP CODE
<b>IF A JOINT PROPOSAL, LIST OTHER (NON-LEAD) PUBLIC AGENCIES:</b>			
<b>C. PROJECT TITLE</b>			
<b>D. REQUIRED SERVICES (Check all that apply)</b>		<b>E. ADDITIONAL SERVICES (Check all that apply)</b>	
<input type="checkbox"/> MENTAL HEALTH SERVICES <input type="checkbox"/> SUBSTANCE USE DISORDER TREATMENT <input type="checkbox"/> DIVERSION PROGRAMS		<input type="checkbox"/> HOUSING-RELATED SERVICES <input type="checkbox"/> OTHER COMMUNITY-BASED SUPPORTIVE SERVICES	
<b>F. PROJECT SUMMARY (Provide a clear and concise summary of the proposed project)</b>			
<b>G. GRANT FUNDS REQUESTED</b>	<b>H. Amount of Funds Sub-Contracted to Community Organizations</b>	<b>I. Total Amount of Other Funds to be Leveraged</b>	
\$	\$ percent	\$	
<b>J. PROJECT DIRECTOR</b>			
NAME	TITLE	TELEPHONE NUMBER (Direct Line)	
STREET ADDRESS		FAX NUMBER	
CITY	STATE	ZIP CODE	EMAIL ADDRESS
<b>K. FINANCIAL OFFICER</b>			
NAME	TITLE	TELEPHONE NUMBER (Direct Line)	
STREET ADDRESS		FAX NUMBER	
CITY	STATE	ZIP CODE	EMAIL ADDRESS
PAYMENT MAILING ADDRESS (if different)	CITY	STATE	ZIP CODE
<b>L. DAY-TO-DAY PROGRAMMATIC CONTACT</b>			
NAME	TITLE	TELEPHONE NUMBER (Direct Line)	
STREET ADDRESS		FAX NUMBER	
CITY	STATE	ZIP CODE	EMAIL ADDRESS

<b>M. DAY-TO-DAY FISCAL CONTACT</b>			
NAME	TITLE	TELEPHONE NUMBER (Direct Line)	
STREET ADDRESS		FAX NUMBER	
CITY	STATE	ZIP CODE	EMAIL ADDRESS
<b>N. AUTHORIZED SIGNATURE</b>			
By signing this application, I hereby certify that I am vested by the Public Agency 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 (Direct Line)	
STREET ADDRESS		FAX NUMBER	
CITY	STATE	ZIP CODE	EMAIL ADDRESS
APPLICANT'S SIGNATURE ( <b>Blue Ink Only</b> )			DATE
X			

**CONFIDENTIALITY NOTICE:** All documents submitted as a part of the Proposition 47 proposal are considered to be public documents and may be subject to a request via the California Public Records Act. The BSCC, as a state agency, may have to disclose these documents to the public. The BSCC cannot ensure the confidentiality of any information submitted in or with this proposal. (Gov. Code, §§ 6250 et seq.)

## Section II. Proposal Narrative

**Instructions:** The Proposal Narrative must be submitted in Arial 12-point font with one-inch margins on all four sides. The narrative must be double-spaced and cannot exceed **15 pages** in length. Non-narrative elements of the proposal, such as a flow chart may be single-spaced.

For the Proposal Narrative, address each of the sections below. Each section should be titled according to its section header (i.e. Project Need, Community Engagement, Project Description, etc.). Within each section, address the bulleted items in a cohesive, comprehensive narrative format. Do not include website links.

Applicants may include a one-page bibliography containing citations, if it conforms to common research formats (e.g. American Psychological Association, Modern Language Association, etc.).

The 15-page limit does not include the Proposal Checklist, Applicant Information Form, Budget Section and all other required attachments (see *Proposal Checklist*, page 70).

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.

### RATING FACTOR 1: PROJECT NEED

*Percent of Total Value: 15%*

***Address the following in narrative form:***

- What need(s) will be addressed by this project? Explain whether the need is driven by gaps in services.
- What is the target population?
- Provide detailed local data (qualitative and quantitative) to support the described need(s) and target population. Cite all data sources\*
- Describe how you considered the needs of underserved populations in your community and disparities based on race, ethnicity, gender, sexual orientation, or immigration status, etc.
- How are the identified need(s) and target population connected to the intent of Proposition 47?

\*In addition to any local data the applicant wishes to cite, applicants may wish to consult the following data sets from 2013-2017, in order to support the need:

#### Proposition 47 State and County Level Impacts

- Population Data
- Arrest Data
- Jail Data

Data sets can be found under the Cohort 2 Grant Cycle heading on the BSCC [website](#).

***This section of the proposal will be scored on the following criteria:***

Rating Criteria for PROJECT NEED	
1.1	The need is identified and measurable. The applicant uses qualitative and quantitative data to support the description. The applicant described gaps in services that contribute to the need. All data sources are cited.
1.2	The target population is identified, measurable and correlates to the need. The applicant uses qualitative and quantitative data to support the description. All data sources are cited.
1.3	When identifying the target population, the applicant took reasonable steps to consider the needs of underserved populations in its community, including disparities based on race, ethnicity, gender, sexual orientation, or immigration status, etc.
1.4	Overall, the need(s) and target population align with the intent of Proposition 47.

## **RATING FACTOR 2: COMMUNITY ENGAGEMENT**

*Percent of Total Value: 20%*

***Address the following in narrative form:***

- Complete a Proposition 47 Local Advisory Committee Membership Roster and attach it to the Proposal packet (see *Attachment D*). Refer the reader to the roster for a list of members.
- Describe the process used to determine which and how many individuals would be on the Proposition 47 Local Advisory Committee, in relation to the make-up and culture of the community and the identified need.
- Describe the process used to solicit membership.
- Describe the process used to ensure fair and balanced participation by all members in the identification of the need and the development of a plan.
- Complete Letter(s) of Agreement signed by all members of the Proposition 47 Local Advisory Committee and attach to the Proposal packet (see *Attachment E*).

***This section of the proposal will be scored on the following criteria:***

Rating Criteria for COMMUNITY ENGAGEMENT	
2.1	The Proposition 47 Local Advisory Committee Membership Roster is attached.
2.2	Based on a review of the Membership Roster, the Proposition 47 Local Advisory Committee is made up of community stakeholders that include the formerly incarcerated and other individuals impacted by the justice system.

Rating Criteria for COMMUNITY ENGAGEMENT	
2.3	The membership of the Proposition 47 Local Advisory Committee is reflective of the make-up and culture of the community and the identified need.
2.4	The Lead Agency drew input from a wide cross-section of community stakeholders.
2.5	The community engagement process was fair, inclusive, comprehensive and transparent.
2.6	The Lead Agency describes the process by which the Proposition 47 Local Advisory Committee meetings are sufficiently noticed, accessible to the public and include opportunities for participation.
2.7	Letter(s) of Agreement signed by all members of the Proposition 47 Local Advisory Committee are attached.

### RATING FACTOR 3: PROJECT DESCRIPTION

*Percent of Total Value: 25%*

***Address the following in narrative form:***

- List and describe the mental health services, substance use disorder treatment, diversion programs (or some combination thereof) to be funded by this grant.
- List and describe any supplemental housing-related services or other community-based supportive services that will be included in this grant, to include those funded by the grant and those leveraged from other sources (see page 14). Leveraged resources could include staff positions, services, supplies, equipment or other assets needed for the project's success.
- Describe why the interventions described above were chosen for this target population. Include supporting data, research, evidence, outcome evaluations, etc. that leads you to believe the intervention or strategy is likely to produce the desired benefit. Cite all sources.
- Describe the impact of trauma on the target population.
- Describe the service delivery approach for each service and/or program component. Identify the roles and responsibilities for all service providers. Include a list of all partner agencies/organizations (see *Attachment J*).
- Describe the process used to select those service providers and explain how you chose providers that best represent the needs and interests of the target population, including those with staff who are system-impacted or who have different educational levels and life experiences.
- Describe the referral process used to ensure the identified target population is referred for services, to include the use of risk and needs assessment tools.
- Explain how the proposed project will influence or contribute to overarching, long-term policy or systems change.
- Describe what you will do to minimize the amount of start-up time and be prepared to start once funds are awarded.

- Identify each public agency that could be impacted by this grant project and for each include a Letter of Agreement signed by both the Lead Agency and the impacted public agency or agencies (see *Attachment F*).

***This section of the proposal will be scored on the following criteria:***

<b>Rating Criteria for PROJECT DESCRIPTION</b>	
3.1	The mental health services, substance use disorder treatment, diversion programs (or some combination thereof) funded by this grant are clearly identified and described.
3.2	In addition to the minimum required programs or services, the applicant will also provide or leverage housing-related assistance and other community-based supportive services, as per AB 1056.
3.3	The applicant presents a rationale for why each intervention (3.1 and 3.2) was chosen, i.e., some evidence that the intervention(s) will work with this target population and in this community.
3.4	The service delivery approach for each service and/or program component is described clearly. Roles and responsibilities for all service providers (to include the Lead Agency and all partners) are clearly identified. The approach is multi-disciplinary and collaborative. A list of all partner agencies/organizations is attached.
3.5	The applicant describes the process used to select service providers and describes how it will include providers that best represent the needs and interests of the target population, including those with staff who are system-impacted or who have different educational levels and life experiences.
3.6	The applicant has a plan for how to recruit individuals from the target population (referral process) and a plan for using risk/needs assessment tools to ensure the appropriate population is served.
3.7	This applicant has explained how this project will influence or contribute to overarching, long-term policy or systems change within the Lead Agency and the community it serves.
3.8	The applicant described how the project will address the impact of trauma on the target population.
3.9	The applicant has a plan to minimize start-up time so that services can be delivered as soon as possible.
3.10	The applicant assessed whether this project would impact other local government agencies, identified those agencies that could be impacted and included a Letter of Agreement for each.

#### RATING FACTOR 4: PROJECT EVALUATION PLAN

*Percent of Total Value: 10%*

***Address the following in narrative form:***

- List the goals and objectives for the proposed project (see *Attachment C* for definitions of the terms Goal and Objective).
- Complete a 1-page Proposition 47 Project Work Plan to show the top three goals for the project (see *Attachment I*).
- Identify both process and outcome measures for the proposed project:
  - Examples of process measures: services implemented on time, number of participants served, number of staff hired, number of service hours provided, etc.
  - Examples of outcome measures: number of individuals placed in permanent housing, number of individuals employed/for how long, number of individuals completed treatment and avoided relapse, number of individuals completed intervention and remained arrest-free, etc.

Note: At a minimum, recidivism reduction must be an outcome measure for the project. (See *Attachment C* for a glossary of terms.)

- Describe the preliminary plan for collecting and evaluating baseline data and outcome data, including any necessary data sharing agreements.
- Describe your plan for monitoring program fidelity to ensure interventions are implemented as intended.
- Describe the anticipated research design or methodology that will be used to complete the required evaluation reports and determine whether the project “worked” as intended (e.g., pre/post surveys, data analysis, etc.).
- Describe the plan for sharing outcomes with governing bodies, stakeholders and constituents.

***This section of the proposal will be scored on the following criteria:***

Rating Criteria for PROJECT EVALUATION PLAN	
4.1	The goals and objectives are clearly directed to the needs described in the applicant’s Project Need section. The Work Plan is attached.
4.2	The applicant has identified process and outcome measures that are quantifiable and in line with the intent of Proposition 47.
4.3	At a minimum, recidivism reduction is included as an outcome measure.
4.4	The applicant has described a preliminary plan for how to collect and evaluate baseline and outcome data related to the outcome measures. The applicant has provided for data sharing agreements, if necessary.
4.5	The applicant describes a reasonable plan for monitoring fidelity in order to ensure that interventions are implemented as intended.

Rating Criteria for PROJECT EVALUATION PLAN	
4.6	The applicant has described a research design or methodology that will allow for an assessment of whether the project “worked” as intended.
4.7	The applicant has a detailed plan for sharing outcomes with governing bodies, stakeholders and constituents.

## RATING FACTOR 5: GUIDING PRINCIPLES

*Percent of Total Value: 10%*

***Address the following in narrative form:***

Explain how the proposed project taken as a whole addresses the Proposition 47 Guiding Principles (see page 5).

***This section of the proposal will be scored on the following criteria:***

Rating Criteria for GUIDING PRINCIPLES	
5.1	The design and implementation plan of the project demonstrates that the applicant values community partnerships and collaboration.
5.2	<p>The service delivery approach:</p> <ul style="list-style-type: none"> <li>• is culturally competent, trauma-informed, and provides for accessibility;</li> <li>• ensures that services will be tailored to meet an individual’s holistic needs;</li> <li>• advances the principles of Restorative Justice; and</li> <li>• acknowledges and addresses known barriers to serving target populations.</li> </ul>
5.3	The applicant has a strong plan for ensuring that individuals who have been most impacted by Proposition 47 – with an emphasis on racial and ethnic disparities – receive the proposed services.
5.4	The applicant has demonstrated how this project will change or improve the lives of participants.
5.5	Overall, the project meets the spirit and intent behind the statute and the Proposition 47 Guiding Principles.

## Section III. Budget Section

*Percent of Total Value: 20%*

Applicants must complete a Budget Table and Budget Narrative according to the instructions that follow.

***Below is the rating criteria on which the entire Budget Section will be scored:***

Rating Criteria for the BUDGET SECTION	
6.1	The project budget is clear and detailed and takes into account the time necessary for start-up of the project, service delivery, and measurement of outcomes.
6.2	The amount of grant funds requested is reasonable and appropriate given the proposed project's design and scope.
6.3	The applicant has clearly explained how the requested grant funds will be used to achieve project goals.
6.4	The project demonstrates a financial commitment to community partners that accurately reflects the Proposal Narrative and the intent and spirit of Proposition 47.
6.5	The applicant has detailed how it will leverage other (non-Prop. 47) dollars to maximize Proposition 47 grant dollars.

### Rating Factor 6a: Budget Table

**Instructions:** The Proposition 47 Budget Table is a stand-alone Microsoft Excel document (*Attachment L*). The Budget Table can be found under the Cohort 2 Grant Cycle heading on the BSCC [website](#). A completed Budget Table must reflect all grant and leveraged funds that are requested. The Budget Table has built-in auto tally features to assist applicants in the accurate reporting of budget line items. A completed Budget Table is provided as an example on the first tab of the Excel document. Public Agency Applicants will complete the template found on the second tab. Applicants must submit the BSCC approved Budget Table. Any alternate versions or attempts to modify the Budget Table will not be accepted.

When completing the Budget Table report all amounts in whole dollars. While recognizing some jurisdictions may use different line items in the budget process, the categories listed on the Budget Table are the ones that funded projects will use when invoicing the BSCC for reimbursement of expenditures.

All funds must be used consistent with the requirements of the *BSCC Grant Administration Guide*. Applicants should reference this Guide for definitions and other guidance in preparing a budget. The Guide can be found on the BSCC [website](#).

## Rating Factor 6b: Budget Narrative

Instructions: The purpose of the Budget Narrative is to support the amounts requested in the Budget Table. The Budget Narrative must be submitted in Arial 12-point font with one-inch margins on all four sides. The narrative must be double-spaced and cannot exceed **6 pages** in length. Provide the information listed under each line item below with narrative to explain how the requested grant funds and outside leveraged funds will be used to achieve project goals.

- 1. Salaries and Benefits:** List each Lead Agency staff to be funded by the grant. For each, provide the classification/title, percentage of time, salary/hourly rates, and benefits. Note: salaries and benefits of all other contracted staff go under the appropriate line item, either Professional Services or Community-Based Organization Subcontracts. Public agencies must document and retain time sheets for any grant or leveraged funds charged to the grant.

- a. Total Grant Funds Requested: \$**

- Narrative Detail:**

- b. Other Funds Leveraged: \$**

- Narrative Detail:**

- 2. Services and Supplies:** Itemize all services and supplies.

- a. Total Grant Funds Requested: \$**

- Narrative Detail:**

- b. Other Funds Leveraged: \$**

- Narrative Detail:**

- 3. Professional Services/Public Agency Subcontracts:** List the names of all professional service contracts (e.g., contracts with other governmental entities or consultants). Itemize the services that will be provided by each and show funds allocated to each. Show hours and billing rates for all contracted staff.

- a. Total Grant Funds Requested: \$**

- Narrative Detail:**

- b. Other Funds Leveraged: \$**

**Narrative Detail:**

- 4. Community-Based Organization Subcontracts:** The Lead Agency must subcontract with one or more non-governmental, community organizations for a **minimum of 50 percent** of the total grant award. Additional points will be added to the final score for applicants that pass-through 60 percent or 70 percent, etc.

List the names of all non-governmental community organizations, itemize the services that will be provided by each and show funds allocated to each. Show hours and billing rates for all community organization staff.

If a community partner has not been selected as of the date of the submission of the application, clearly identify the amount of grant funds that will be allocated as a placeholder.

**a. Total Grant Funds Requested: \$**

**Narrative Detail:**

**b. Other Funds Leveraged: \$**

**Narrative Detail:**

- 5. Indirect Costs:** Itemize all indirect costs. For information on how to calculate indirect costs, please see *BSCC Grant Administration Guide*. The ESC will consider appropriate limits for administrative costs and overhead.

**a. Total Grant Funds Requested: \$**

**Narrative Detail:**

**b. Other Funds Leveraged: \$**

**Narrative Detail:**

- 6. Data Collection and Evaluation:** Itemize all costs associated with data collection and evaluation efforts for this project. Applicants must dedicate a minimum of 5 percent (or \$25,000, whichever amount is greater) up to a maximum of 10 percent of total grant funds requested to this line item. Even if Data Collection and Evaluation efforts will be performed by Professional Service consultants they must be listed here. Applicants are strongly encouraged to use outside evaluators or otherwise address conflict of interest considerations.

NOTE: All funds dedicated to data collection and evaluation should be listed in this category and reflected in line 6 of the Budget Table.

**a. Total Grant Funds Requested: \$**

**Narrative Detail:**

**b. Other Funds Leveraged: \$**

**Narrative Detail:**

**7. Equipment/Fixed Assets:** Itemize all equipment and fixed assets. Equipment and fixed assets are defined in the *BSCC Grant Administration Guide*.

**a. Total Grant Funds Requested: \$**

**Narrative Detail:**

**b. Other Funds Leveraged: \$**

**Narrative Detail:**

**8. Other (Travel, Training, etc.):** Itemize all costs associated with travel and training. Applicants should budget for two trips to Sacramento for grantee meetings.

**a. Total Grant Funds Requested: \$**

**Narrative Detail:**

**b. Other Funds Leveraged: \$**

**Narrative Detail:**