

Second Chance Act
Orientation Webinar for FY 2016
Strengthening Relationships Between
Young Fathers, Young Mothers, and Their Children

December 1, 2016

Brought to you by the National Reentry Resource Center and the Office of Juvenile Justice and Delinquency Prevention



Speakers

Patrick Dunckhorst, Juvenile Justice Program Specialist

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION,
U.S. DEPARTMENT OF JUSTICE

Jennifer Tyson, Research Coordinator

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION,
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**Ronin A. Davis, Grantee Technical Assistance Manager,
Corrections & Reentry**

THE COUNCIL OF STATE GOVERNMENTS JUSTICE CENTER

Agenda

01 Introductions

02 Getting Started
with Your Grant

03 Reporting
Requirements

04 Grant Program
Overview

05 Grantee Experience
& Support

06 Questions &
Answers

Agenda

01

Introductions

02

Getting Started
with Your Grant

03

Reporting
Requirements

04

Grant Program
Overview

05

Grantee Experience
& Support

06

Questions &
Answers

Office of Juvenile Justice and Delinquency Prevention

Mission: OJJDP provides national leadership, coordination, and resources to prevent and respond to juvenile delinquency and victimization. OJJDP supports states, communities, and tribal jurisdictions in their efforts to implement effective prevention and intervention programs and to improve the juvenile justice system so that it protects public safety, holds offenders accountable, and provides treatment services tailored to the needs of juveniles and their families.



www.ojjdp.gov

Office of Juvenile Justice and Delinquency Prevention

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Follow [OJJDP on Twitter](#) to stay current with the latest news and events.

YouTube



Visit the [OJP YouTube channel](#) to see videos from OJJDP and other OJP bureaus and offices.

Blogs



Access [blogs](#) that highlight OJJDP programs and Department of Justice initiatives that support OJJDP's mission.

The Council of State Governments Justice Center

- National non-profit, non-partisan membership association of state government officials
- Engages members of all three branches of state government
- Justice Center provides practical, non-partisan advice informed by the best available evidence



National Reentry Resource Center

- Authorized by the passage of the Second Chance Act in April 2008 and launched by the Council of State Governments in October 2009
- NRRC staff have worked with nearly 600 SCA grantees, including 40 state corrections agencies.
- The NRRC provides individualized, intensive, and targeted technical assistance training and distance learning to support SCA grantees.



nationalreentryresourcecenter.org

National Reentry Resource Center

The screenshot shows the top portion of the Justice Center website. The header includes the logo for 'JUSTICE CENTER THE COUNCIL OF STATE GOVERNMENTS Collaborative Approaches to Public Safety'. Navigation links include 'Who We Are', 'Publications', and 'Press R...'. A search bar is present with the text 'Search Justice Center...'. A 'Programs' dropdown menu is also visible. On the right side, there are social media icons for YouTube, LinkedIn, and RSS, and a 'Subscribe' button with an envelope icon, which is circled in red. Below the header is a grid of topic categories: Corrections, Courts, Justice Reinvestment, Enforcement, Mental Health, Reentry, Substance Abuse, and Youth.

When Police Deal with People Who Have Mental Health Issues

In this article, Michael D. Thompson, executive director of the CSG Justice



HIGHLIGHTS

- In San Francisco and Beyond, Homeless Crisis Should Not Derail Progress on Mental Illness
- PBS Newshour: Breaking the School-To-Prison Pipeline for Young Offenders One Class at a Time

Agenda

01 Introductions

02 Getting Started
with Your Grant

03 Reporting
Requirements

04 Grant Program
Overview

05 Grantee Experience
& Support

06 Questions &
Answers



An Overview of Research for OJJDP Second Chance Act Grantees

Jennifer Tyson
Research Coordinator



Federal Research Regulations

Definition of Research

Protection of Human Subjects

Privacy Certificates & Confidentiality

Research Independence and Integrity Policy

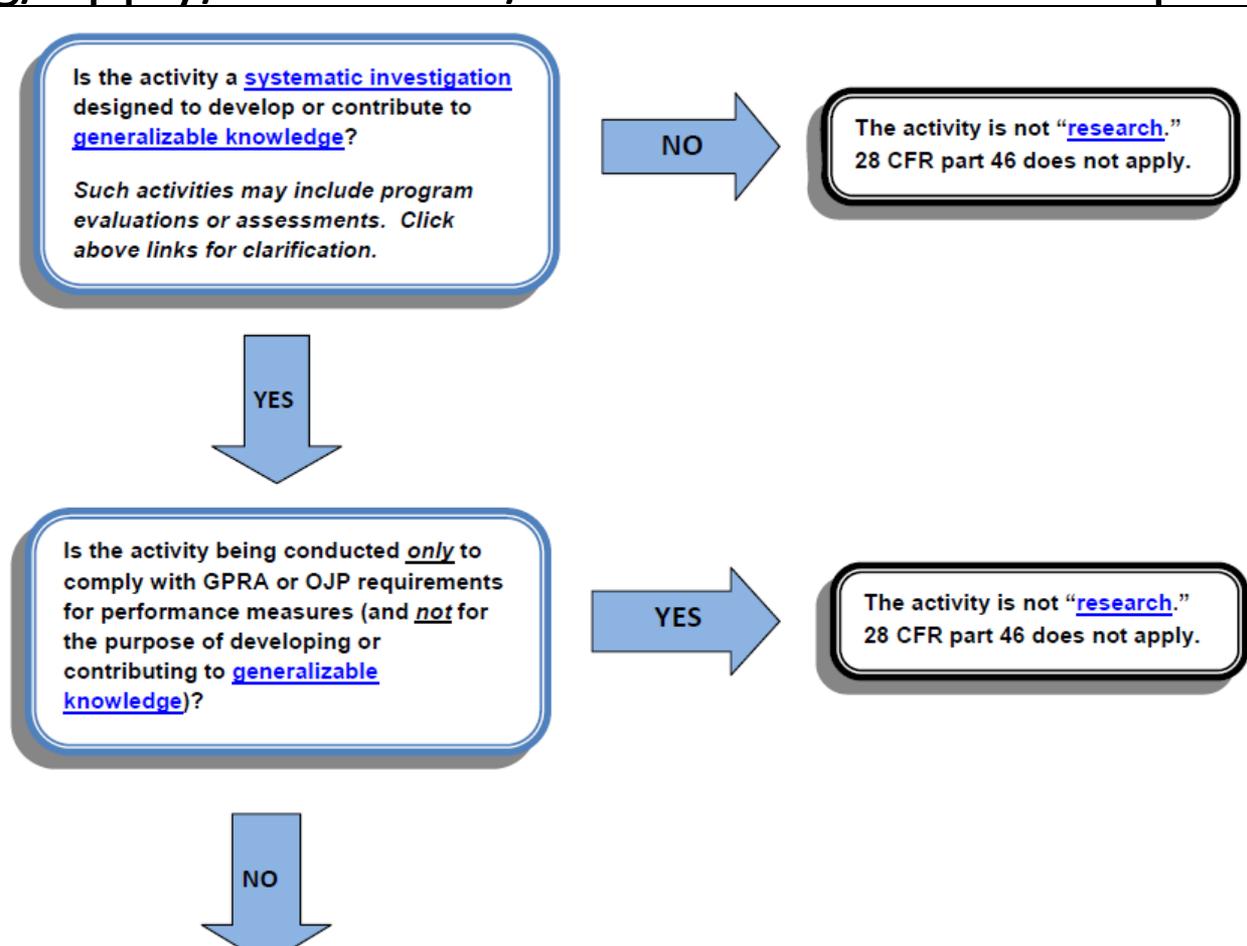


Federal Research: & Research Decision Tree

<http://ojp.gov/funding/Apply/Resources/ResearchDecisionTree.pdf>

Research: “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge”

28 C.F.R. § 46.102





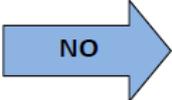
“**Human subject** means a living individual about whom an investigator (whether professional or student) conducting research obtains

(1) Data through intervention or interaction with the individual, or

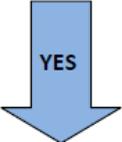
(2) Identifiable private information.”

28 C.F.R. § 46.102

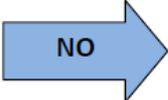
The activity is research. 28 CFR part 46 does apply. The remaining question is whether human subjects are involved.
Does the research involve obtaining information about living individuals?



Human subjects are not involved. 28 C.F.R. part 46 does not apply.



Does the research involve either:
(1) obtaining information by intervening or interacting with an individual? Or
(2) collecting identifiable private information?



Human subjects are not involved. 28 C.F.R. part 46 does not apply.



The activity constitutes research involving human subjects. 28 CFR part 46 does apply. Contact your grant manager for further information regarding federal protections of human subjects.



Why are Federal Human Subjects' Protections Important?

- Tuskegee Experiment - conducted between 1932 and 1972 by the U.S. Public Health Service studying the progression of untreated syphilis in African-American men in Alabama under the pretext of receiving free health care from the U.S. government.
- Led to the 1979 Belmont Report and the establishment of the Office for Human Research Protection at HHS.
- Also led to federal laws and regulations requiring Institutional Review Boards for the protection of human subjects. See: <http://www.hhs.gov/ohrp/regulations-and-policy/regulations/common-rule/#>



Human Subjects (withholding) Special Condition

- The award recipient will not be permitted to draw down any funds for any research involving human subjects until:
 - (1) it has submitted adequate documentation to demonstrate that it will conduct or perform research involving human subjects in accordance with an approved Federal-wide assurance issued by HHS or a Single Project Assurance issued by OJP/NIJ;
 - (2) the research has been determined, by an appropriate IRB (or the Office of the General Counsel/ OJP), to be an exempt research activity, or has been reviewed and approved by an appropriate IRB in accordance with the requirements of 28 CFR Part 46;
 - (3) an OJP Human Subjects Protection Officer has authorized, in writing, removal of this special condition; and
 - (4) a Grant Adjustment Notice has been issued removing this special condition.



Human Subjects - Required Documentation

- Completed OJP Human Subjects Form (fillable PDF) and attach the IRB-reviewed and approved or exempted protocol; **OR**
- A letter, on institutional letterhead, signed by the IRB chairman that:
 - Includes the FWA number.
 - Includes the IRB review determination.
 - References 28 C.F.R. Part 46 (in addition to or instead of 45 C.F.R. Part 46).
 - Addresses the relevant items from the form.
 - Includes as an attachment the IRB-reviewed and approved or exempted protocol, including all consent forms.
- Renewals and amendments can be uploaded with progress reports.



Privacy (withholding) Special Condition

- The award recipient will not be permitted to draw down any funds for any research or statistical activity or project involving the collection, use, analysis, transfer, or disclosure of information identifiable to a private person until:
 - (1) a Privacy Certificate has been submitted to and approved by OJJDP in accordance with the requirements of 28 CFR Part 22,
 - (2) removal of this special condition has been authorized by OJP, and
 - (3) a Grant Adjustment Notice has been issued removing this special condition.



Privacy Certificate - Required Documentation

- A completed privacy certificate must include a description of the grantee's policies and procedures to protect the confidentiality of identifiable data (demonstrating compliance with 28 C.F.R. Part 22).
- The privacy certificate must include the signature of the principal investigator, co-investigator(s), and authorized institutional representative.
- If the study is not collecting or using personally identifiable information, grantees should state this explicitly using the following statement: "No data identifiable to a private person will be collected," and complete the form using the terms N/A or Not Applicable including a brief description of why the particular item is not applicable.



Federal Confidentiality Consent Considerations

- The Department of Justice Confidentiality Statute (42 USC 3789g) states that identifiable information collected can only be used for research and statistical purposes, and no other purpose without the participant's consent.
- Research subjects must give their consent to participate and be told:
 - the information they provide will be used for research and statistical purposes only (there is a potential exception for reports of harm/abuse, noted on the following slide);
 - compliance with the request for information is voluntary and can be terminated at any time;
 - study risks and benefits;
 - how the data will be securely maintained; and
 - how data will be archived/disposed of post-study.



Federal Confidentiality Consent Considerations

- Confidentiality can be broken for reports of future criminal conduct (28 CFR Part 22.20).
- Confidentiality can be broken for harm to self/others and abuse **only if** the subjects assent/consent to (1) participate in the research **and** (2) allow the principal investigator to report if abuse is alleged or suspected.
- All DOJ awardees collecting personally identifiable information must provide a Privacy Certificate and ensure study participants are notified.
 - If IRB exempts project from review, OJJDP still needs to review assent/consent forms and scripts, and the grantee must provide a Privacy Certificate.
 - If IRB grants a waiver of signed informed assent/consent, OJJDP still needs to review assent/consent forms and scripts, and the grantee must provide a Privacy Certificate.



Violation of Confidentiality Statute Disclosure

- Releasing any research data identifiable to any specific person.
 - This includes the identity of an individual **program**/ research participant
- Does not apply to future information.
- Does not apply non-study program information about the individuals.



Violation of Confidentiality Statute

Deductive Disclosure

- *Deductive disclosure is the identification of an individual's identity using known characteristics of that individual. Even though direct identifiers (e.g. name, addresses) are removed from survey data, it may be possible to identify respondents with unique characteristics. An individual who is known to have participated in a study may be identified from various personal characteristics. ([Source: ICPSR](#))*



Research and Evaluation Independence and Integrity (Withholding) Special Condition

The recipient may not obligate, expend, or draw down any award funds until: (1) it has provided to the grant manager for this OJP award information regarding research and evaluation independence and integrity in accordance with the detailed instructions in the program solicitation [...]



Research and Evaluation Independence and Integrity (Withholding) Special Condition

- Statement specifically addressing the steps the applicant has put in place to identify and eliminate (or, at the very least, mitigate):
 - Potential personal conflicts of interest on the part of its staff, consultants, and subrecipients
 - Potential financial conflicts of interest on the part of its staff, consultants, and subrecipients.
 - Potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation.
- If potential conflicts do not exist in any of these areas, please directly state that in relation to all of these areas. And provide more details in the brief narrative explaining how and why that conclusion was reached for each of these areas for this specific proposal.



FY2015 Initiative to Develop Juvenile Reentry Measurement Standards

- Goal: to establish a model to assist jurisdictions in documenting and measuring services and outcomes in juvenile reentry, help to align measurement practices across jurisdictions, and improve the assessment of juvenile reentry services' impact on public safety and positive youth outcomes.
- The Performance-based Standards Learning Institute will partner with the Council of Juvenile Correctional Administrators and the Vera Institute of Justice to develop, test, and disseminate a set of model practice and outcome measures for juvenile reentry that are guided by current research, data collection, and performance measurement knowledge and practice.



Questions?



Things you need to know about your OJJDP grant award

Patrick Dunckhorst

Juvenile Justice Program Specialist

{your program manager}



Objectives

“Take A Ways”

Learn the who, where and what of grant administration resources such as:

- OJP Post-award Instructions
- Financial Management Guide
- Reporting Requirements



OJJDP Responsibility

Support Program Development and Monitor program implementation

Grants Management

- Program Monitoring - Regulatory, administrative, and programmatic requirements
- Fiscal requirements including funding, budgets, and budget revisions
- Programmatic changes and refinements
- Approval of key administrative actions, including but not limited to changes in key personnel and grant scope & activities



OJJDP Monitoring Activities

- Desk Reviews
- Grantee Reports Reviews (Progress, Financial, and Performance Measure)
- Monitoring & conducting site visits
- Grant Adjustment Notices (GANs)
- Monitoring Grantee Draw-down Activity
- Establish Communication
 - Regular/specific phone & email



Grants Management System (GMS)

Navigating your federal award Website

<https://grants.ojp.usdoj.gov/gmsexternal/>

- The official award file is in GMS
- Stores all official grant application and award documents
- Grantee ID and password needed
- Grantees determine authorized users: Point of contact, financial contacts, a list of authorized representatives can be found in the quick guide.
- What do grantees submit to GMS?
 - Progress and financial reports
 - Official grant adjustment notices/modifications
- OJJDP encourages you to communicate directly with your OJJDP Program Manager



Grants Management Support and Training

- GMS Helpdesk: 888-549-9901
- Online training module: <http://www.ojp.usdoj.gov/gmscibt>
- GMS Overview
- Consolidating User Accounts
- Grant Adjustment Notices (GANs)
- Progress Reporting
- Closeouts
- Financial Reporting



OJJDP Award Package

Post Award Instructions:

[http://ojp.gov/funding/Implement/Resources/
PostAwardInstructions.pdf](http://ojp.gov/funding/Implement/Resources/PostAwardInstructions.pdf)

This link leads you to instructions on how to accept your award and how to set up the systems to be able to draw down your funds.



Clearing the budget for your award

- Before you are able to draw down your grant award funds, you will need to work with your OJJDP program manager to obtain a final cleared budget through the OJP finance office.
- In most cases, your program manager will send you revisions that have been requested from the finance office and ask you to revise your proposed budget and resubmit it. In most cases, revisions are requested due to miscalculations, unallowable costs or lack of detail.
- The quicker you can get the requested revisions back to your program manager, the quicker your program will have access to your funds.



Financial Management

Detailed information on financial management can be found in the OJP Financial Guide: <http://www.ojp.gov/financialguide/index.htm>

This year, all awards from OJJDP contain a condition which requires the point of contact and the financial point of contact to have successfully completed an "**OJP financial management and grant administration training**" within 120 days after the date of the recipient's acceptance of the award

A list of OJP trainings that OJP will consider "OJP financial management and grant administration training" for purposes of this condition is available at <http://www.ojp.gov/training/fmts.htm>

An online training is available at: Financial Management Training:
<http://gfm.webfirst.com/>



Special Conditions

- Please be sure to review all special conditions on your award and contact your OJJDP program manager with any questions you may have.
- Please pay special attention to those special conditions that are listed as “withholding” conditions, as these indicate areas where your funds may be withheld if conditions are not met.



Withholding Conditions

- Each grant may contain different withholding conditions depending on various factors.
- Withholding - Funds for Planning Phase
- “The recipient may incur obligations, expend, and draw down funds, as needed, in an amount not to exceed \$50,000 for the sole purpose of supporting the implementation of their planning phase. The grantee is not authorized to incur any additional obligations, make any additional expenditures, or drawdown any additional funds until OJJDP has reviewed and approved the grant recipient's completed Planning and Implementation Guide...”



OJJDP Office of Juvenile Justice
and Delinquency Prevention
Working for Youth Justice and Safety



Agenda

01 Introductions

02 Getting Started
with Your Grant

03 Reporting
Requirements

04 Grant Program
Overview

05 Grantee Experience
& Support

06 Questions &
Answers



Grantee Reporting Requirements

- 1. SF425 (Financial Status Report an Office Management & Budget Standard Form).**
 - Financial reports-due quarterly: Jan 30, April 30, July 30, Oct 30.
- 2. CAPR (Categorical Assistance Progress Report)**
 - A narrative report about the progress of your program-due two times per year. Due dates are January 30 and July 30 of each year.
- 3. DCTAT (Data Control Technical Assistance Tool)**
 - A quantitative report on your program's performance measures-due two times per year. Due Dates are January 30 and July 30 of each year.



Grantee Reporting Requirements

Report	Type	When to Submit	Where to Submit
SF425 (FFR)	Financial report	Quarterly Jan. 30 Apr. 30 Jul. 30 Oct. 30	GMS
CAPR	Progress report: narrative	Twice a year Jan. 30 Jul. 30	GMS
DCTAT	Progress report: quantitative	Twice a year Jan. 30 Jul. 30	DCTAT GMS



Federal Financial Reporting (SF 425)

- Due Quarterly:
 - October 1-December 31: Due January 30
 - January 1 –March 31: Due April 30
 - April 1 –June 30: Due July 30
 - July 1 –September 30: Due October 30
- Report actual expenditures for the reporting period, not drawdowns or projected expenditures
- Can be revised up until the end of the next quarter
- **OCFO helpdesk: 800-458-0786**



Categorical Assistance Progress Reports (CAPR)

- Narrative report - your progress report
- Due twice a year: January 30 & July 30
- First progress report for 2016 grantees will cover October 1 – December 31, 2016
 - Due no later than **January 30, 2017**.
- Submitted online through GMS
- System automatically freezes funds for late progress reports



Data Control Technical Assistance Tool (DCTAT) Report

- Quantitative report
- Due twice a year: January 30 & July 30
- Submitted online through OJJDP-CSR website
 - <http://www.ojjdp-dctat.org/>
 - Save a copy to file
 - PDF should be uploaded into GMS with CAPR

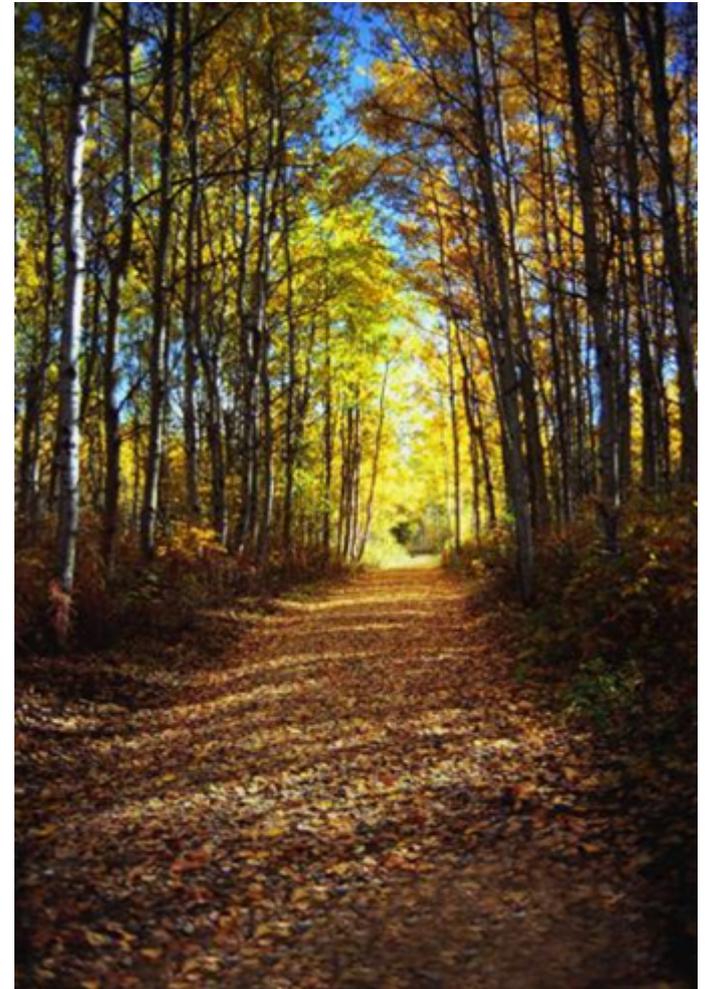


Assistance with Report Submission

- GMS – progress report submission
 - GMS helpdesk at **(888) 549-9901**, option 3. Hours: Open 24/7!
- Financial report submission
 - Office of the Chief Financial Officer helpdesk **(800) 458-0786**.
Hours: Monday -Friday 8:30am -6:30pm; closed on weekends.
- DCTAT – quantitative report submission
 - CSR, Inc. helpdesk at **(866) 487-0512**.
Hours: Monday -Friday 8:30am –5:30pm; closed on weekends



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Agenda

01 Introductions

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with Your Grant

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Requirements

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Overview

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& Support

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Answers

FY16 Young Fathers & Young Mothers Grantees

Young Fathers

VA	The Up Center
CA	Volunteers of America Los Angeles
WI	Center for Self-Sufficiency
LA	Goodwill Industries of Southern Louisiana



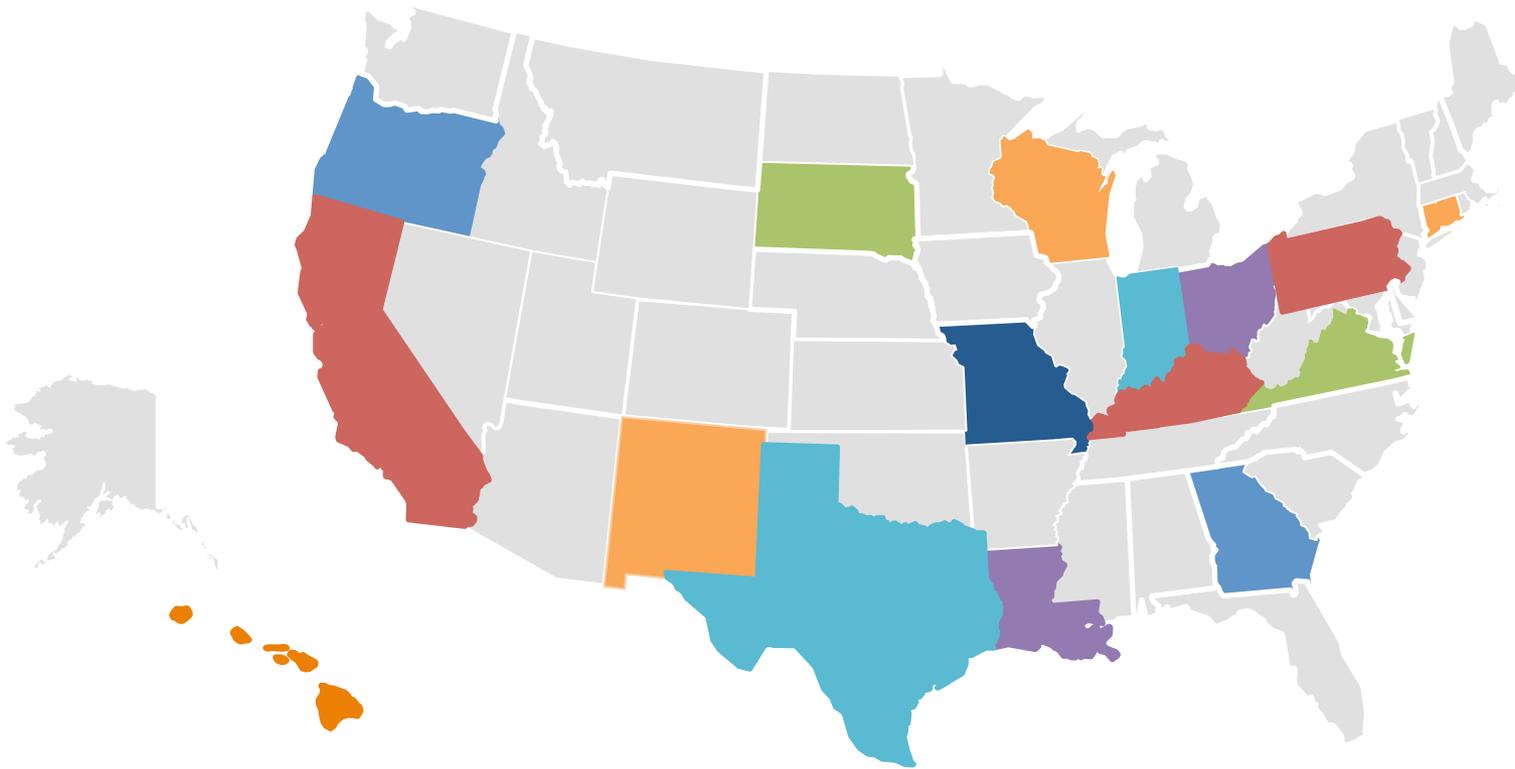
Young Mothers

TX	Ambassadors for Christ Youth Ministries
IN	Indiana State University
GA	CHRIS 180
DC	Collaborative Solutions for Communities



SCA Young Fathers & Young Mothers Grant Program

20 AWARDS ACROSS THE NATION



\$7.7 million awarded
16 states & the District of Columbia
20 community and faith-based organizations

Purpose of the Grant Program

Goal :

Improve outcomes for young fathers and mothers using evidence-based practices to reduce recidivism and support responsible parenting that leads to healthy child development, resiliency, and improved interactions among young fathers and mothers, their children, and family and community members

Purpose of the Grant Program

Objectives:

- ① Provide gender-specific mentoring & transitional services to young fathers or mothers
 - Pre AND post-release
 - Services should be based on assessed risks, strengths, & parenting needs
- ② Ensure support services are holistic, comprehensive, and take into account the target population
- ③ Make available sessions on child development milestones, avoiding child trauma, retaining custody, and intervening as the parent figure
- ④ Ensure services are gender-focused and racially and ethnically informed

Grant Program Expectations

Target Population:

- ① Medium- to high-risk youth as determined by a validated criminogenic risk and needs assessment
- ② Must be confined at the time of enrollment
- ③ Must be enrolled prior to their 25th birthday



Grant Program Expectations

Planning Phase

- Grantees will receive **intensive technical assistance** and will have access to up to **\$50,000*** of the total grant award in order to complete and submit a required **Planning and Implementation Guide** (P&I Guide).
- The P&I Guide will assist each grantee in **developing and refining a strategic program plan** that incorporates evidence-based programs, policies, and best practices.
- Once P&I Guides are submitted and approved by OJJDP, grantees will move into the **Implementation Phase** of their project and gain access to the remainder of their grant funds.

Grant Program Expectations

- The Planning Phase is designed to:
 - Build capacity for implementing the grant program
 - Identify strengths and areas that need improvement
 - Flush out ideas and refine concepts cursorily addressed in program proposal
 - Target TA and identify themes across grantees
 - Increase the exchange of ideas

Grant Program Expectations

- Implementation Phase:
 - Mentoring
 - Case planning/management
 - Family engagement
 - Staff training
 - Collecting data

Grant Program Expectations

- Implementation Phase:
 - Address dynamic risk factors & needs tied to recidivism
 - Culturally appropriate/gender-specific services
 - Racial and ethnic disparity
 - Evidence-based programs/practices

Agenda

01 Introductions

02 Getting Started
with Your Grant

03 Reporting
Requirements

04 Grant Program
Overview

05 Grantee Experience
& Support

06 Questions &
Answers

Grantee Support



- Funder
- Juvenile Justice Program Specialist
- Grant management (budget and scope adjustments)



- Contracted through DOJ
- Training and technical assistance
- Programmatic support (monthly calls, site visits, etc.)



- Contracted through DOJ
- Performance measurement tool



NRRC Technical Assistance Overview

Your designated NRRC Technical Assistance Lead will provide and coordinate support in several areas, including:

- ✓ Completion of the P&I Guide
- ✓ Identifying measures and strategies to track progress
- ✓ Content and facilitation support
- ✓ Supporting the development of implementation & sustainability plans
- ✓ Sharing successes with stakeholders, the field, other grantees, and the press

NRRC Technical Assistance Leads

Grantee	TA Lead
Ambassadors for Christ Youth Ministries	Derek Lowry dlowry@csg.org
CHRIS 180	
Collaborative Solutions for Communities	
Goodwill Industries of Southern Louisiana	
Indiana State University	
The Up Center	
Center for Self-Sufficiency	Jan De la Cruz jdelacruz@csg.org
Volunteers of America Los Angeles	

NRRC Technical Assistance Activities



Next Steps for TA

- Introductory call with TA lead
 - TA leads have reached out to schedule these
- Working collaboratively on P&I Guide

P&I Guide Goals

- Establishes baseline program information
- Highlights and explores grantee strengths
- Identifies challenges or opportunities for development
- Helps the TA provider target assistance
- Aids the grantee in focusing on areas of need
- Provides a single document to reference key programmatic information
- Enables ideas and best practices to be exchanged

Planning Phase: The Process

- Work with stakeholders & partners to complete the P&I Guide in phases
 - Be honest and accurate and concise
 - Clearly specify what is ready to be implemented versus what is in the works
- Fill out exercises prior to NRRC monthly calls
 - Send exercises to TA provider prior to calls
 - TA provider will provide feedback and discuss exercises on calls
 - Update the exercises as changes occur

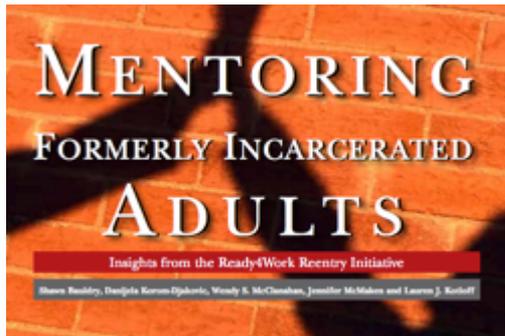
P&I Guide Sections

- Section 1: Getting Started and Identifying Goals
- Section 2: Defining or Refining Your Target Population
- Section 3: Service Provision and Support
- Section 4: Mentoring Services
- Section 5: Family-Focused Support & Responsible Fatherhood
Gender-Responsive & Family-Focused Support
- Section 6: Data Collection, Performance Measurement, and Program Evaluation
- Section 7: Sustainability
- Appendix A: Supporting Resources

Mentoring Resources

MENTORING AS A COMPONENT OF REENTRY

PRACTICAL CONSIDERATIONS
FROM THE FIELD



Additional Resources

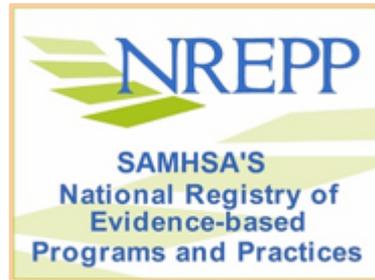
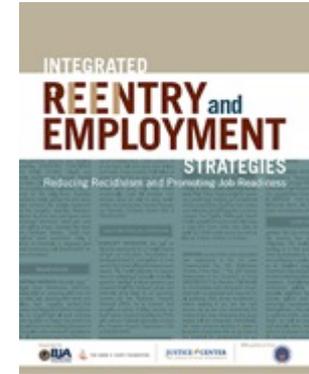
National Resource Center
on Justice Involved Women



National Resource Center
on Domestic Violence



youth.GOV



Fatherhood
Research
& Practice
Network



Agenda

- 01 Introductions
- 02 Getting Started with Your Grant
- 03 Reporting Requirements

- 04 Grant Program Overview
- 05 Grantee Experience & Support
- 06 Questions & Answers

Q&A

Contact Information

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The Council of State Governments Justice Center

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the NATIONAL REENTRY RESOURCE CENTER

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info@nationalreentryresourcecenter.org