

SECOND CHANCE ACT DEMONSTRATION PROJECT GRANTS: A Checklist for States, Local Governments, and Indian Tribes

Introduction

The Second Chance Act (P.L. 110-199) was passed by Congress with broad bipartisan support and signed into law on April 9, 2008, to help states and communities test ways to reduce recidivism.¹ Section 101 authorizes the U.S. Department of Justice to make grants to state and local governments and Indian tribes for reentry demonstration projects.²

On December 22, 2009, the Bureau of Justice Assistance (BJA) and the Office of Juvenile Justice and Delinquency Prevention (OJJDP), U.S. Department of Justice, released the solicitation for state and local reentry demonstration projects authorized by Section 101.³ **The checklist and accompanying appendices that follow are meant to help potential applicants for the demonstration project grant program understand its provisions and focus their discussions on how best to meet its requirements; they are not, however, part of the grant solicitation.** The checklist reflects the statutory requirements of the Second Chance Act and key provisions of the solicitation.

Each checklist section has an appendix that provides clarification on, or additional steps for, planning or implementing a reentry initiative. The discussion questions in the appendices are not

necessarily the same as those that were included in the official grant solicitation, but jurisdictions that can address them should be well positioned to complete their applications. They are based on feedback and materials from the field and are meant to stimulate dialogue at the state and local level that can facilitate the application process. **Potential applicants should carefully read the BJA/OJJDP solicitation, which describes forms that must be completed and all criteria that must be met to be eligible for demonstration project grants.**

This checklist was developed solely to assist applicants for state and local reentry demonstration project grants. Although this checklist may be useful to organizations interested in other Second Chance Act grant programs, applicants for funds under other sections of the Second Chance Act should be aware that those solicitations may differ substantially from the Section 101 request for applications that this document addresses. The National Reentry Resource Center, a project of the Council of State Governments (CSG) Justice Center, is preparing materials to assist applicants for these other Second Chance Act grant programs. To receive updates when new solicitations are issued and new resources become available, sign up for the National Reentry Resource Center's newsletter at www.nationalreentryresourcecenter.org/manage/new.

1. The text of the Second Chance Act is available at www.reentrypolicy.org/jc_publications/text_of_SCA/Second_Chance_Act_PL_110-199.pdf. A list of many of the organizations that support the Second Chance Act is available at www.reentrypolicy.org/files/SCA_Supporting_Organizations.pdf.

2. A brief fact sheet on Section 101 is available at www.nationalreentryresourcecenter.org/documents/0000/0491/Understanding_Section_101.pdf.

3. The solicitation is available at www.ojp.usdoj.gov/BJA/grant/10BJA_JJ_SecondChanceDemonstrationSol.pdf.

Acknowledgments

This checklist was made possible through the support of the Bureau of Justice Assistance, Public Welfare Foundation, Annie E. Casey Foundation, Joyce Foundation, and Open Society Institute. The checklist builds on the work of the CSG Justice Center in partnership with the National Reentry Resource Center Advisory Board members listed in appendix A in 2009. It was compiled in response to requests from state and local governments to help them prepare for the requirements of the initial demonstration projects grant application. The advisory board members gave generously of their time and expertise—whether by participating in lengthy meetings to discuss the checklist and other resources, reviewing drafts within their area of expertise, or both. Their feedback helped to strengthen the resulting documents and make them more user-friendly.

The CSG Justice Center would like to thank Amy Solomon and Nancy LaVigne, the Urban Institute; Carl Wicklund, American Probation and Parole Association; Peggy Burke, the Center for Effective Public Policy; Robert May, Association of State Correctional Administrators; and Debbie Mukamal, John Jay College of Criminal Justice, for their invaluable input and assistance preparing the initial checklist. This publication would not reflect such diverse perspectives without the involvement of these many experts.

Special thanks are also due to Justice Center Director Mike Thompson and Government Affairs Director Jessica Nickel for their insights in determining the scope and direction of this document. The checklist is a product of the hard work and dedication of Public Affairs Assistant Leah Kane, who devoted countless hours to crafting and refining the document. Thanks are also due to Communications Director Martha Plotkin for her work in revising and editing this guide.

For More Information

The CSG Justice Center is a national nonprofit organization that provides practical, nonpartisan advice and consensus-driven strategies, informed by available evidence, to increase public safety and strengthen communities. It established the Reentry Policy Council (RPC) in 2001 to assist state government officials grappling with the increasing number of people released from corrections facilities each year. The comprehensive *Report of the Re-Entry Policy Council*, published in 2005, includes thirty-five practical policy statements and recommendations to promote the safe and successful return of individuals from prison or jail to the community. In 2009, the CSG Justice Center launched the National Reentry Resource Center (NRRC). The NRRC, established by the Second Chance Act and administered by the Bureau of Justice Assistance, U.S. Department of Justice, provides education, training, and technical assistance to states, tribes, territories, local governments, service providers, nonprofit organizations, and corrections institutions working on prisoner reentry. To receive updates on Second Chance Act funding and related reentry resources, readers may subscribe to the free NRRC newsletter at www.nationalreentryresourcecenter.org/manage/new. If you have questions about this document, the Second Chance Act, or supporting materials, please e-mail info@nationalreentryresourcecenter.org.

Section 101 Checklist

Section 101 of the Second Chance Act includes mandatory requirements that state and local governments and tribal entities must meet to be selected for the grant program. **Applications that do not address these requirements will not be considered by the Bureau of Justice Assistance, U.S. Department of Justice. Applications are due at 8:00 p.m. Eastern Time on March 4, 2010.**

You should plan for your application to include the following:

Applicant Support

- State and local government agency or federally recognized Indian tribe indicated as applicant.
- A “letter of support” from the lead organization responsible for all operational aspects of the project must include the following:
 1. Certification that the lead agency has consulted with other local parties.
 2. The following statement: “The agency agrees to provide individual criminal history information for all participants to evaluators, unless prohibited by law. These data will be provided in response to periodic requests from the grantees and evaluator throughout the period of performance of this project to capture both criminal history prior to the program enrollment and subsequent recidivism.”
- Letters of support from key stakeholders.
For more information about required letters of support, see the [Task Force and Collaboration](#) section below.⁴

Statement of the Problem

- Applicants should state the problems associated with individuals returning from incarceration or detention; jurisdiction or tribal community to be served, including the number of individuals returning to the community from prison, jail, or juvenile correctional facilities; the number of individuals in facilities; and types of offenses.
- The target population of individuals who will be served by the initiative. Applicants must provide justification for selecting the group of individuals who will be served by the project and provide data to support the decision.
See pages 3–4 of the solicitation for more information about selecting a target population.
- Summary of the basic components of the current reentry process in the jurisdiction, including a description of the following:
 - how risk and need assessments are currently used;
 - transition plans;
 - pre- and postrelease programs and services;
 - data collection and analysis.

4. Note that all tribal applications must include an authorizing resolution (see page 13 of the grant solicitation.)

Program Design and Implementation

- Documentation reflecting the establishment of a Reentry Task Force composed of “relevant state, tribal, territorial, or local leaders and representatives of relevant agencies, service providers, nonprofit organizations, and other key stakeholders.” Provide a list of Reentry Task Force members.

Acknowledgment that the Task Force will examine ways to pool resources and funding streams and collect data and best practices from stakeholder agencies and organizations.

For more information about forming a Reentry Task Force, see [appendix B](#).

- Discussion of the role of local governmental agencies, nonprofit organizations, and community stakeholders involved in the initiative “and certification of the involvement of such agencies and organizations.” Participants should include representatives from the fields of public safety, corrections, housing, health, education, substance abuse, children and families, victims services, employment, and business.

- “Extensive evidence of collaboration with state and local government agencies overseeing health, mental health, housing, child welfare, education, substance abuse, victims services, employment services, and with local law enforcement agencies.”

Collaborations with all agencies listed are required. For more information about collaboration, refer to [appendix B](#).

- “Extensive discussion of the role of state corrections departments, community corrections agencies, local jail, and/or juvenile corrections systems in ensuring successful reentry of offenders into their communities.” Applicants must include letters of support from corrections officials who oversee facilities or individuals to be served through the project.

For more information about involving corrections in your initiative, see [appendix C](#).

- Documentation that reflects explicit support of the chief executive officer of the applicant agency or agencies.

- Reentry strategic plan developed by your agency and its partners. The strategic plan must describe a long-term program design and action steps, including measurable annual and five-year performance outcomes, a detailed reentry implementation schedule, and sustainability measures, and must reflect the Second Chance Act requirement that demonstration projects have as a goal the reduction of recidivism by 50 percent within a five-year period.⁵

For more information about developing a strategic plan, see [appendix D](#).

5. The statute requires only that grant recipients have a stated goal of reducing recidivism by 50 percent over five years but does not mandate that a 50 percent reduction in recidivism must ultimately be achieved.

- Proposed activities that fall within one or more of the following allowable uses for grant dollars:
 - using actuarial-based assessment instruments for reentry planning;⁶
 - targeting criminogenic needs that affect recidivism;
 - providing sustained case planning and management in the community;⁷
 - supporting a comprehensive range of services for individuals, including substance abuse and mental health treatment,⁸ education,⁹ job training and placement,¹⁰ housing,¹¹ services to enhance family reunification,¹² mentoring,¹³ and veteran-specific services as applicable.
- Description of aspects of your initiative or strategy that fulfill one or more of the priority considerations listed in “SCA Priority Considerations” on page 11, if applicable.
- Implementation plan for the critical elements of the reentry strategy, including assessment and planning activities for target population; prerelease services; transition planning; and post-release supervision and services. Demonstrate how the implementation plan will be developed, executed, monitored, and evaluated.

6. See Council of State Governments Justice Center, *Report of the Re-Entry Policy Council: Charting the Safe and Successful Return of Prisoners to the Community* (New York: Council of State Governments Justice Center, 2005), Policy Statement 17: Advising the Releasing Authority, www.reentrypolicy.org/Report/PartII/ChapterII-C/PolicyStatement17, and Policy Statement 18: Release Decision, www.reentrypolicy.org/Report/PartII/ChapterII-C/PolicyStatement18.

7. *RPC Report*, Policy Statement 25: Design of Supervision Strategy, www.reentrypolicy.org/Report/PartII/ChapterII-D/PolicyStatement25; Policy Statement 26: Implementation of a Supervision Strategy, www.reentrypolicy.org/Report/PartII/ChapterII-E/PolicyStatement26; and Policy Statement 27: Maintaining Continuity of Care, www.reentrypolicy.org/Report/PartII/ChapterII-E/PolicyStatement27.

8. *RPC Report*, Policy Statement 11: Mental Health Care, www.reentrypolicy.org/Report/PartII/ChapterII-B/PolicyStatement11; Policy Statement 12: Substance Abuse Treatment, www.reentrypolicy.org/Report/PartII/ChapterII-B/PolicyStatement12; Policy Statement 27: Maintaining Continuity of Care, www.reentrypolicy.org/Report/PartII/ChapterII-E/PolicyStatement27; Policy Statement 32: Substance Abuse Treatment Systems, www.reentrypolicy.org/Report/PartIII/PolicyStatement35; and Policy Statement 33: Mental Health Care Systems, www.reentrypolicy.org/Report/PartIII/PolicyStatement33.

9. *RPC Report*, Policy Statement 15: Education and Vocational Training, www.reentrypolicy.org/Report/PartII/ChapterII-B/PolicyStatement15.

10. *RPC Report*, Policy Statement 16: Work Experience, www.reentrypolicy.org/Report/PartII/ChapterII-B/PolicyStatement16; Policy Statement 21: Creation of Employment Opportunities, www.reentrypolicy.org/Report/PartII/ChapterII-D/PolicyStatement21; Policy Statement 22: Workforce Development and the Transition Plan, www.reentrypolicy.org/Report/PartII/ChapterII-D/PolicyStatement22; Policy Statement 28: Job Development and Supportive Employment, www.reentrypolicy.org/Report/PartII/ChapterII-E/PolicyStatement28; and Policy Statement 31: Workforce Development Systems, www.reentrypolicy.org/Report/PartIII/PolicyStatement31.

11. *RPC Report*, Policy Statement 19: Housing, www.reentrypolicy.org/Report/PartII/ChapterII-D/PolicyStatement19; Policy Statement 27: Maintaining Continuity of Care, www.reentrypolicy.org/Report/PartII/ChapterII-E/PolicyStatement27; and Policy Statement 30: Housing Systems, www.reentrypolicy.org/Report/PartIII/PolicyStatement30.

12. *RPC Report*, Policy Statement 13: Children and Families, www.reentrypolicy.org/Report/PartII/ChapterII-B/PolicyStatement13, and Policy Statement 34: Children and Family Systems, www.reentrypolicy.org/Report/PartIII/PolicyStatement34.

13. Renata Cobbs Fletcher, *Mentoring Ex-Prisoners: A Guide for Prisoner Reentry Programs* (Washington, DC: U.S. Department of Labor, 2007), www.doleta.gov/PRI/PDF/Mentoring_Ex_Prisoners_A_Guide.pdf.

- Description of the evidence-based methodology and outcome measures that will be used to evaluate the program and a discussion of how they will provide valid measures of the program's impact.

For more information about performance measures, see [appendix E](#).

- Description of how the project could be replicated broadly if demonstrated to be effective.

- Plan for the analysis of statutory, regulatory, rules-based, and practice-based hurdles to reintegration of individuals into the community.

For more information about analyzing statutory and regulatory barriers, see [appendix F](#).

Capabilities/Competencies

- Description of the management structure and staffing of the project, identifying the agency responsible for the project and the grant coordinator.
- Explanation of the capability of the Reentry Task Force and collaborative partners to implement the project, including gathering and analyzing information, developing a plan, and evaluating the program.

Budget

- Proposed budget and budget narrative.

See page 9 of the solicitation for directions on completing the budget and required forms and page 6 for limitations on the use of award funds. The sample budget worksheet available at www.ojp.usdoj.gov/funding/forms/budget_detail.pdf may be used as a guide to assist in the preparation of the budget and budget narrative. If you submit your budget in a different format, you must include the budget categories listed in the sample budget worksheet. Budgets should include the cost of travelling to Department of Justice-sponsored conferences. Applicants should estimate the costs of travel and accommodations for three staff to attend two meetings in Washington, D.C.

For more information about allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.gov/financialguide/index.htm.

- Commitment of a match that constitutes 50 percent of the total proposed project budget. Of that match, half (25 percent of the total proposed project budget) can be met through in-kind contributions of goods or services for the project, and the other half (also 25 percent of the total proposed project budget) must be in dollars. The proposed project funding must supplement, not supplant, existing monies spent on reentry. Applicants must identify the non-federal source of the 25 percent cash contribution and how all matching funds will be used.

For an example of how the match requirement works, see the National Reentry Resource Center fact sheet on Section 101, available at www.nationalreentryresourcecenter.org/documents/0000/0491/Understanding_Section_101.pdf.

Performance Measures & Sustainability

- Description of the process for assessing the project’s performance through data collection. Applicants who receive funding must track and report each of the following performance measures:
 - “Percent decrease in recidivism rates for the target population since the beginning of the initiative¹⁴
 - Percent reduction in the crime rate in the target area
 - Percent increase in employment among the target population from the previous reporting period
 - Percent increase in target population enrolled in educational programs
 - Percent reduction in the number of violations of conditions of supervised release
 - Percent of target population who fulfilled their child support obligations
 - Percent increase in the number of target population who have obtained housing
 - Percent increase in the target population assessed as needing substance abuse health services who participate in those services
 - Percent increase in target population assessed as needing mental health services who participate in those services
 - Percent reduction in drug usage among target population during the reporting period
 - Percent reduction in alcohol abuse and consumption among target population during the reporting period”

Applicants for juvenile demonstration grants must also report annually on the progress of their project at achieving improvements in pro-social behaviors; increases in community connectivity (i.e., youth involved in community activities); and increases in use of evidence-based programs.

See pages 6–9 of the solicitation for more information about required performance measures for grantees serving adult populations and pages 9–10 for more information about required performance measures for grantees serving juvenile populations.

- Goals and objectives for program development, implementation, and outcomes (including expected long-term results). Description of how performance will be documented, monitored, and evaluated to determine the impact of the strategy once implemented.
- Process for assessing the initiative’s effectiveness. Describe what data and information will be collected and how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.

For more information about performance measures, see [appendix E](#).

- Description of the strategy/methodology for tracking participants assigned to the reentry process for a period of up to three years after their release from prison, jail, or juvenile facility.

14. For the purposes of this solicitation, recidivism is defined as “a return to prison or jail with either a new conviction or as the result of a violation of the terms of supervision within twelve (12) months of initial release.”

Collaboration

- Discussion of how this effort will be integrated into the state and local justice system plans or commitments, how the program will be sustained financially after federal funding ends, and the expected long-term results of the program.
- Describe how the project has worked collaboratively with partners from multiple disciplines, and describe how the proposed project will use this prior experience to enhance the project's overall goal of reducing recidivism.

Additional Requirements

- Applicants must register with the Office of Justice Programs' [Grants Management System](#) prior to application submission.¹⁵
- Successful applicants selected for awards must agree to comply with applicable requirements prior to receiving grant funding. Additional information for each requirement can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.
- Applications must meet the technical and formatting requirements listed in the box that follows.

¹⁵ The solicitation notes that it can take several weeks for first-time registrants to receive confirmations and/or user passwords and applicants are strongly urged to start the registration process as soon as possible. See pages 10–12 of the solicitation for additional registration and submission instructions.

Excerpts of the Technical Requirements for Applications Listed in the Solicitation

*NOTE: Applications that do not meet these requirements may not be reviewed.
A full list of application instructions is available at
www.ojp.usdoj.gov/BJA/grant/10BJA_JJ_SecondChanceDemonstrationSol.pdf.*

Applications must be submitted through the Office of Justice Programs' (OJP) [Grants Management System](#) (GMS). Applicants must register with GMS before they apply. OJP strongly recommends that applicants start the registration process as early as possible to ensure there is time to address any submission problems by the application deadline. All applicants are required to complete the following steps: (1) obtain a Data Universal Numbering System (DUNS) number; (2) register or renew registration with the Central Contractor Registration (CCR) database; and (3) acquire a GMS username and password. For more information about the registration process, go to www.ojp.usdoj.gov/gmscbt/. Note: Organizations that have previously submitted applications via Grants.gov are already registered with CCR, but applicants must update or renew their CCR registration at least once a year to maintain an active status. For more information about the CCR registration process, go to www.ccr.gov.

Applications must include the following:

- A completed Standard Form 424. Please see www07.grants.gov/assets/SF424Instructions.pdf for instructions on how to complete your SF 424.
- A program narrative that is double-spaced, using a standard 12-point font (Times New Roman is preferred) with one-inch margins, and does not exceed fifteen pages. The program narrative must respond to the Selection Criteria below in the following order (the potential maximum score for each section is provided in parentheses):
 1. Statement of the Problem (10 percent)
 2. Program Design and Implementation (30 percent)
 3. Capabilities/Competencies (25 percent)
 4. Budget (10 percent)
 5. Impact/Outcomes, Evaluation, Sustainability, and Plan for Collecting Data for Performance Measures (15 percent)
 6. Collaboration (10 percent)
- A budget and budget narrative. The budget must be complete and allowable. A sample budget worksheet is available at www.ojp.gov/funding/forms/budget_detail.pdf.

- A project timeline, position descriptions, strategic plans, and letters of support. The project timeline must include each project goal, related objective, activity, expected completion date, responsible person, or organization. Position descriptions must be provided for key positions. Letters of support from all key partners, detailing the commitment to work with partners to promote the mission of the project, must be included. The letter of support from the lead organization responsible for the operational aspects of the project must include the following:
 1. Certification that the lead agency has consulted with other local parties
 2. The following statement: “The agency agrees to provide individual criminal history information for all participants to evaluators, unless prohibited by law. These data will be provided in response to periodic requests from the grantees and evaluator throughout the period of performance of this project to capture both criminal history prior to the program enrollment and subsequent recidivism.”

- A tribal authorizing resolution, if applicable.

Applications are due at 8:00 p.m. Eastern Time on March 4, 2010. For a full list of instructions, please review the solicitation at www.ojp.usdoj.gov/BJA/grant/10BJA_JJ_SecondChanceDemonstrationSol.pdf.

Questions about the solicitation or application process should be directed to Dr. Gary Dennis, BJA Senior Policy Advisor for Corrections, at gary.dennis@usdoj.gov or (202) 305-9059. For assistance with any juvenile-related requirements of this solicitation, contact Thomas Murphy, OJJDP Grants Program Specialist, at thomas.murphy@usdoj.gov or (202) 353-8734.

SCA Priority Considerations

The Second Chance Act directs the U.S. Department of Justice to give priority to applicants that meet certain criteria. If your initiative meets one or more of these priorities, include the details in your grant application.

Priorities:

- ★ **Extensive Collaboration.** Demonstrate a high degree of collaboration among a variety of public, private, and faith-based organizations.
- ★ **Geographic Focus.** Direct the initiative to geographic areas with a disproportionate population of individuals released from prisons, jails, or juvenile facilities.
For more information about focusing your initiative on specific geographic areas, see [appendix G](#).
- ★ **Nonprofit Organizations.** Include input from nonprofit organizations when shaping, modifying, or implementing your reentry program, whether by assisting your reentry task force efforts, planning your initiative, developing performance measures, or providing service delivery.
- ★ **Consultations.** Consult with crime victims and individuals who have been released from prisons, jails, and juvenile facilities.
- ★ **Families.** Coordinate with families of people released from prisons, jails, and juvenile facilities.
- ★ **Case Management.** Demonstrate effective case assessment and management abilities to provide comprehensive and continuous reentry services, including the following:
 - “Using an actuarial-based assessment instrument for reentry planning that targets the criminogenic needs of individuals that affect recidivism, and provide sustained case management and services during incarceration and for at least six months in the community
 - pre-release planning and transition housing
 - establishing prerelease planning procedures to ensure that the eligibility of an individual for federal or state benefits on release is established before release, subject to any limitations in law, and that individuals will obtain all necessary referrals for reentry services
 - delivering continuous and appropriate drug treatment, medical care, job training and placement, educational services, or any other service or support needed for reentry”*For more information about case management, see [appendix H](#).*
- ★ **Graduated Sanctions.** Use swift, certain, graduated, and proportionate responses to violations of parole, probation, or supervision and effectively incorporate the use of community-based sanctions to respond to violation behavior.
For more information about graduated sanctions, see [appendix I](#).
- ★ **High-Risk Offenders/Assessments.** Focus on high-risk individuals for reentry programs through the use of validated assessment tools. Applicants who target a more serious offending population will be given priority, even if their overall target number of individuals is smaller. For those applicants not supporting a high-risk target group, the number of targeted individuals must be higher.
For more information about using assessments and targeting high-risk individuals, see [appendix J](#).
- ★ **Evaluation.** Provide for an independent evaluation of reentry programs that include, to the maximum extent possible, random assignment and controlled studies to determine the effectiveness of such programs.

Appendices

The questions and lists in each appendix are meant to help you think through some of the issues raised by the requirements of the Second Chance Act. They are provided to help advance discussions at the state and local level that relate to the scope and nature of your proposed reentry initiative. These appendices are not drawn from the Second Chance Act statute or grant solicitation. Selected resources and other information are not meant to be exhaustive, but rather are offered to spark a dialogue around key reentry issues. For a more comprehensive list of resources on these topics, including links to our partners' websites, please see the National Reentry Resource Center website at www.nationalreentryresourcecenter.org.

- A. National Reentry Resource Center
Advisory Board
- B. Task Force and Collaboration
- C. Role of Corrections
- D. Strategic Plan
- E. Performance Measures
- F. Statutory and Regulatory Barriers
- G. Geographic Focus
- H. Case Management
- I. Graduated Sanctions
- J. High-Risk Populations/Assessments

Appendix A:

National Reentry Resource Center Advisory Board

Steve Berg

National Alliance to End Homelessness

Diana Bob

National Congress of American Indians

Jane Browning

International Community Corrections Association

Peggy Burke

Center for Effective Public Policy

Gabrielle de la Gueronniere

Legal Action Center

Alexa Eggleston

National Council for Community Behavioral
Healthcare

Len Engel

Community Resources for Justice

Seema Gajwani

Public Welfare Foundation

Maeghan Gilmore

National Association of County Behavioral Health
& Disability Program Directors

Gene Guerrero

Open Society Policy Center

Nancy LaVigne

The Urban Institute

Robert May

Association of State Correctional Administrators

Roberta Meyers-Peebles

National H.I.R.E. Network

Rob Morrison

National Association of State Alcohol/Drug Abuse
Directors

Don Murray

National Association of Counties

Pat Nolan

Prison Fellowship

Eric Schultz

American Correctional Association

Carol Shapiro

Family Justice

Amy Solomon

The Urban Institute

Nisha Thakker

National H.I.R.E. Network

Vicki Turetsky

Center for Law and Social Policy

Carl Wicklund

American Probation & Parole Association

Ann Yom

National Sheriffs' Association

This list includes members of the National Reentry Resource Center Advisory Board and their affiliations in spring 2009.

Appendix B:

Task Force and Collaboration

The Second Chance Act requires each grantee to have a task force that represents diverse groups and individuals who have a role in promoting safe and successful reentry.

Reentry task forces typically include criminal justice policymakers and practitioners; education and training professionals; housing providers and housing systems officials; transportation officials; representatives of health, mental health, human services, and substance abuse treatment systems; workforce development and employment services personnel; staff of community-based organizations; individual community members; and elected and appointed officials. Though the list below is not exhaustive, it is meant as a starting point for considering the full range of perspectives that could be represented in a reentry initiative—whether starting a task force or building on the strengths of an existing group.

Examples of task force members include representatives from the following agencies and disciplines. The composition of the task force should depend largely on the population and the issue area your initiative addresses.

Criminal and juvenile justice

- Local law enforcement
- Prisons
- Jails
- Juvenile facilities
- Probation and parole
- Prosecutors
- Judges
- Defense attorneys

Education and training

- Education officials (local public schools, community colleges, universities, vocational training)
- Life skills providers
- Libraries
- School boards

Housing

- Public housing
- Privately owned housing (private apartments, homes for rent)
- Affordable housing

Transportation

- Rail (subways, light rail)
- Bus

Health and human services systems

- Mental health
- Public health
- Private health
- Substance abuse
- Child welfare
- Child protective
- Other social services

Workforce development and employment

- Workforce development agencies
- Employers
- Business associations
- Unions
- Apprenticeship programs

Community-based organizations

- Reentry providers
- Faith-based organizations
- Crime victims' associations/advocates
- Neighborhood associations
- Food pantries
- Clothing banks
- Community advocacy groups
- Youth organizations

Individual community members

- Community leaders
- People who have returned from prison or jail
- Crime victims
- Families of individuals who are or have been in the criminal or juvenile justice system
- Foster/group home providers

Elected and appointed officials

- State legislators
- Mayors
- Governors
- City/county/town managers
- City/county/town council members

Source: Based, in part, on the Council of State Governments Justice Center. *Planning and Assessing a Law Enforcement Reentry Strategy*. New York: Council of State Governments Justice Center, 2008, www.reentrypolicy.org/jc_publications/LE_toolkit_final/LE_Reentry_Strategy.pdf.

The following questions are intended to help potential demonstration grant applicants think through the creation or expansion of a reentry task force and the extent of collaboration among agencies, organizations, and key stakeholders both within a proposed strategy and any specific existing initiatives.

1. Do you have a reentry task force (council, committee, or group) that will help guide the development and implementation of your initiative?

The Second Chance Act requires applicants to use a task force for coordinating the funded initiative. Many of the following questions are written for applicants who have an existing task force or reentry working group that can be engaged for the proposed project. The discussion questions can, however, be instructive for those starting a task force, as they address relevant issues such as identifying, cataloging, and coordinating resources and services.

2. Who are your current partner agencies and organizations? (list)
3. What services do all current partners offer (including your agency)?
4. What other services might be necessary for a successful reentry initiative that your agency or the current task force cannot provide?
5. How can you go about creating partnerships with organizations that provide services that your agency or the current collaborative do not already offer?
6. How can you maintain partnerships that can make the best use of limited resources and offer effective services?
7. Does your agency have formal agreements or written procedures to accomplish the following:
 - a. outline roles and responsibilities of each partner
 - b. address lines of accountability for each partner
 - c. undergo reviews and revisions at regular intervals
 - d. address financial and other resources each partner will provide

8. To enhance collaboration, does your agency
 - a. have a program coordinator who works closely with partners to oversee the initiative?
 - b. encourage line-level staff to collaborate with reentry partners during their daily activities?
9. Have you identified and addressed potential challenges to successful collaboration, including differences in organizational culture, values, and priorities?
10. Have you assessed what training and technical assistance your community partners will need to fulfill their responsibilities in serving people released from prisons and jails?
11. Do partners share necessary participant information, within legal parameters, that supports supervision efforts and service delivery?
12. Does your agency have protocols, memoranda of understanding (MOUs or MOAs), standard operating procedures (SOPs), or other formal agreements with partners that address the following information-sharing issues:
 - a. identification of data to support evaluation measures
 - b. collection of data
 - c. storage of data
 - d. exchange of data
 - e. accuracy of data
 - f. use of data
 - g. confidentiality regulations and privacy policies

Resources

Council of State Governments Justice Center. *Report of the Re-Entry Policy Council: Charting the Safe and Successful Return of Prisoners to the Community*. New York: Council of State Governments Justice Center, 2005.

- Policy Statement 1: Encouraging Collaboration among Stakeholders, www.reentrypolicy.org/Report/PartI/ChapterI-A/PolicyStatement1.
- Policy Statement 2: Developing a Knowledge Base, www.reentrypolicy.org/Report/PartI/ChapterI-A/PolicyStatement2.
- Policy Statement 3: Incorporating Re-Entry into Organizations' Missions and Work Plans, www.reentrypolicy.org/Report/PartI/ChapterI-B/PolicyStatement3.
- Policy Statement 4: Funding a Re-Entry Initiative, www.reentrypolicy.org/Report/PartI/ChapterI-B/PolicyStatement4.
- Policy Statement 5: Promoting System Integration and Coordination, www.reentrypolicy.org/Report/PartI/ChapterI-B/PolicyStatement5.
- Policy Statement 7: Educating the Public about the Re-Entry Population, www.reentrypolicy.org/Report/PartI/ChapterI-B/PolicyStatement7.

The Urban Institute. *Sample Memorandum of Understanding*. Washington, DC: The Urban Institute, 2005, www.urban.org/reentry_mapping/Sample_MOU.pdf (accessed February 11, 2009).

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Walters, Charles, and Lilya Wagner. *Creative Partnerships that Support Inmate Reentry Programs: Involving Public, Private and Nonprofit Organizations*. Longmont, CO: LIS, Inc., 2007, nicic.org/Downloads/PDF/Library/period318.pdf.

Yoon, Jamie, and Jessica Nickel. *Reentry Partnerships: A Guide for States & Faith-Based and Community Organizations*. New York: Council of State Governments Justice Center, 2008, www.reentrypolicy.org/jc_publications/reentry_partnerships_guide.

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Appendix C:

Role of Corrections

The Second Chance Act requires that applicants provide a thorough discussion of the role of corrections agencies, which includes prisons, jails, and community corrections, in ensuring the successful return of people from corrections facilities to the community.¹⁶

For state and local governments and Indian tribes, strong partnerships with corrections agencies can greatly improve reentry efforts. Direct collaboration with corrections can help ensure better prerelease planning and post-release connection to services for the reentering population. Coordination can also help improve assessments and ensure that individuals with the greatest needs and highest risk are linked to services through a reentry initiative or programs and services at the local level. The requirements in the Second Chance Act are intended to encourage a high level of collaboration between a government applicant and corrections agencies.

For corrections applicants, the requirements of the Second Chance Act help ensure that agency leaders and staff have institutionalized reentry goals and programming. The requirement may also be an opportunity to describe partnerships with other government agencies and service providers.

The following discussion questions depend on the lead applicant and are organized accordingly.

If the applicant is a state or local government or Indian tribe,

1. Do you understand the extent to which state or local corrections is involved in helping individuals *prepare* for their release, as well as assisting recently released individuals transition back into the jurisdiction where your initiative will be implemented?
2. Do you have an established partnership with probation and parole agencies that are integral to a reentry initiative?
3. Have you established a relationship with community corrections agencies?
4. Have you defined the respective roles and responsibilities with corrections agencies?
5. Are there joint training efforts with corrections and community corrections agencies, or are any planned?
6. Are there current or potential opportunities among the corrections agencies and other reentry partners that relate to prerelease planning and service delivery?¹⁷
7. Are there current or potential opportunities among the corrections agencies and partners for transition planning, transition implementation, and post-release coordination?

¹⁶ For the purposes of this document, “community corrections” refers to probation, parole, and correctional programs and facilities that supervise individuals in community-based settings.

¹⁷ Prerelease planning may include any assessments or provision of services at any point prior to departure from a facility to address risks and needs and prepare for release, whereas transition planning can include recommendations to the releasing authority, making final preparations for an individual to reenter, and helping to establish the necessary linkages to community-based programs.

If the applicant is a corrections agency,

1. Is there participation by corrections agency leaders and/or line staff in the reentry initiative?
2. Can you describe how probation and parole agencies are integral partners in a reentry initiative?
3. Are there coordinated activities that include case management, co-located services, or other models to provide continuity of services and supports from prison or jail to the community?

If the applicant is a community corrections agency or facility,

1. Are there current or potential opportunities between your agency and corrections agencies and other reentry partners that relate to prerelease planning and service delivery?
2. Have you defined the respective roles and responsibilities with corrections agencies?
3. Are there joint training efforts with other criminal justice partners?
4. Are there current or potential opportunities between your agency, corrections agencies, and other partners for transition planning, transition implementation, and post-release coordination?

Resources

Backer, Thomas, Nancy Guerra, Frances Hesselbein, Roz Lasker, and Joan Petersilia. *Blueprint for Building Evidence-Based Community Partnerships in Corrections*. Encino, CA: Human Interaction Research Institute, 2005, www.humaninteract.org/images/cdcr-blueprint.pdf.

Carter, Madeline M., Susan Gibel, Rachelle Giguere, and Richard Stroker. *Increasing Public Safety through Successful Offender Reentry: Evidence-Based and Emerging Practices in Corrections*. Silver Spring, MD: Center for Effective Public Policy, 2007, www.cepp.com/documents/CEPP%20SVORI_final.pdf.

Crime and Justice Institute. *Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention*. Washington, DC: National Institute of Corrections, 2004, www.nicic.org/pubs/2004/019342.pdf.

Joplin, Lore, Brad Bogue, Nancy Campbell, Mark Carey, Elyse Clawson, Dot Faust, Kate Florio, Bill Wasson, and William Woodward. *Using an Integrated Model to Implement Evidence-based Practices in Corrections*. Boston: Crime and Justice Institute, 2005, cjinstitute.org/node/55.

La Vigne, Nancy G., Elizabeth Davies, Tobi Palmer, and Robin Halberstadt. *Release Planning for Successful Reentry: A Guide for Corrections, Service Providers, and Community Groups*. Washington, DC: The Urban Institute, 2008, www.urban.org/url.cfm?ID=411767.

National Association of Counties. *Reentry for Safer Communities: Effective County Practices in Jail to Community Transition Planning for Offenders with Mental Health and Substance Abuse Disorders*. Washington, DC: National Association of Counties, 2008, www.naco.org/Template.cfm?Section=New_Technical_Assistance&template=/ContentManagement/ContentDisplay.cfm&ContentID=28880.

White, Thomas F. *Re-Engineering Probation towards Greater Public Safety: A Framework for Recidivism Reduction through Evidence-Based Practice*. Hartford: Connecticut Judicial Branch, Court Support Services Division, 2005, nicic.org/downloads/pdf/misc/ReEngineeringProb_ct1105.pdf.

Wilkinson, Reginald A. *Reentry Best Practices: Directors' Perspective*. Middletown, CT: Association of State Correctional Administrators, 2004, www.asca.net/documents/ReentryBook.pdf.

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Appendix D:

Strategic Plan

The Second Chance Act requires applicants to have a comprehensive reentry strategic plan that includes annual and 5-year performance goals, an implementation schedule, plans to continue the program after federal funding ends, specifics on coordination and partnership within the initiative, and detailed performance measurements.

A strategic plan can help your task force define the purpose of the initiative and establish realistic goals and objectives consistent with your mission. Strategic planning is an organization's process of defining its strategy, or direction, and making decisions on priorities and allocating its resources. Most reentry strategic planning begins by examining what you will do and for whom, challenges to implementation, strategies to address those challenges, and action plans. A mission statement, goals and objectives, implementation time line, and funding approach are core components of a strategic plan.

The following questions are intended to help applicants think through the development of a strategic plan.

1. Have you identified the parameters of your initiative, including target population, geographic area, or other focus issues?
For more information about selecting a target population, see [appendix J](#). For more information about selecting a geographic area, see [appendix G](#).
2. Does your partnership have a mission statement and shared values for the initiative?
3. Does your partnership have specific goals and objectives for your initiative?
4. Have you developed a model to visually represent the framework of your program, describing the necessary components of a program, and outlining the sequence of activities and the relationship between those activities and their desired effects?
5. Does your agency and its partners have a prioritized implementation schedule?
6. Does your partnership have annual and long-term performance goals for your initiatives? Have you
 - a. worked with key partners to identify ways to measure the short- and long-term goals?
 - b. agreed on common definitions for measuring goals?¹⁸
 - c. recorded the initiative's supervision strategies and services in writing?
 - d. instituted performance measures to examine these supervision strategies and services?

18. For example, if one of the goals of your initiative is to increase employment, has your agency and its partners agreed on a method of measuring increased employment? Will you track all participants who are hired while participating in the initiative, or only those who remain employed in the same position 3, 6, or 12 months later?

7. Does your agency and its partners have a plan for sustainability? Do you
 - a. share resources with other partners, when possible?
 - b. have a detailed fundraising plan that includes diverse sources of support for the initiative?
 - c. have plans to sustain the program when federal funding ends or staff change?
 - d. engage state and local government officials?

8. Does your agency and its partners have a plan to raise awareness about reentry in your state/community? Do you
 - a. have a proactive strategy for working with the media, employers, and other potential stakeholders?
 - b. have a strategy for responding to negative events involving initiative participants?
 - c. prepare agency executives, staff, crime victims, and formerly incarcerated people to serve as initiative spokespeople?
 - d. have a documented procedure for responding to press inquiries?

9. Has your agency and its partners discussed how and when to bring additional partners into the initiative, if needed, to maintain its vitality and broad range of perspectives?

Examples¹⁹

Alameda County (CA) Reentry Network: www.acreentry.org.

Austin/Travis County (TX) Reentry Roundtable: www.caction.org/rrrt/presentations/ComingFullCircle.pdf.

Chicago: *Final Report of the Mayoral Policy Caucus on Prisoner Reentry*: egov.cityofchicago.org/webportal/COCWebPortal/COC_EDITORIAL/MPCFinalReport.pdf.

Hampden County (MA) Correctional and Community Health Program: www.hepprograms.org/juven/juven6.asp.

Illinois: *Report from the Community Safety and Reentry Commission*: www.idoc.state.il.us/subsections/reports/other/Governor%27s%20%20Reentry%20Commission%20Report%20FINAL.pdf.

Kansas: *Kansas Offender Risk Reduction & Reentry Plan*: www.dc.state.ks.us/reentry/goals-of-kor3p/KORP%20JEHT%20Application%2011%2014%202006%20Version.pdf.

New Jersey: *Reentry: A Strategy for Safe Streets and Neighborhoods*: www.nj.gov/oag/crimeplan/safe-reentry-plan.pdf.

Ohio: *The Ohio Plan for Productive Reentry Offender Reentry and Recidivism Reduction*: www.drc.ohio.gov/web/ReentryFinalPlan.pdf.

Philadelphia: *They're Coming Back: An Action Plan for Successful Reintegration of Offenders that Works for Everyone*: www.fcnetwork.org/reading/philadelphiareentry.pdf.

Shawnee County (KS) Reentry Program: www.dc.state.ks.us/reentry/shawnee-county-reentry-program.

Tarrant County (TX) Reentry Initiative: www.tarrantcounty.com/eTCRI/site/default.asp.

¹⁹ These are just a few examples of the strategic plans that state and local governments have assembled. This is not meant to be an exhaustive list or an endorsement of any of the specific plans listed here.

Washington (DC): *Comprehensive Reentry Strategy for Adults in the District of Columbia*: www.csosa.gov/reentry/Comp_Reentry_Plan.pdf.

Resources

Council of State Governments Justice Center. *Report of the Re-Entry Policy Council: Charting the Safe and Successful Return of Prisoners to the Community*. New York: Council of State Governments Justice Center, 2005, www.reentrypolicy.org/Report/TOC.

Council of State Governments Justice Center. *Planning and Assessing a Law Enforcement Reentry Strategy*. New York: Council of State Governments Justice Center, 2008, www.reentrypolicy.org/jc_publications/LE_toolkit_final/LE_Reentry_Strategy.pdf.

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Appendix E:

Performance Measures

The Second Chance Act requires applicants to provide information about how outcomes will be monitored and tracked. Performance measurement is crucial to the ongoing success of a reentry initiative. By generating a constant flow of detailed information about the program's operations, successes and failures, processes, and outcomes, evaluations help program administrators make informed decisions about program design, resource distribution, and funding streams. Outcome data can help to develop and prioritize goals, measure success in reaching those goals, and identify areas for future improvement.

This appendix provides a series of questions to guide applicants through the performance requirements in the Second Chance Act.

1. Does your organization monitor the success of your programs and practices?
2. Can you improve the way you monitor and measure success under this initiative?
 - a. What will these improvements achieve?
3. Have you determined how you will collect data or information on, and measure, all of the following:
 - a. "Percent decrease in recidivism rates for the target population since the beginning of the initiative"²⁰
 - b. Percent reduction in the crime rate in the target area
 - c. Percent increase in employment among the target population from the previous reporting period
 - d. Percent increase in target population enrolled in educational programs
 - e. Percent reduction in the number of violations of conditions of supervised release
 - f. Percent of target population who fulfilled their child support obligations
 - g. Percent increase in the number of target population who have obtained housing
 - h. Percent increase in the target population assessed as needing substance abuse health services who participate in those services
 - i. Percent increase in target population assessed as needing mental health services who participate in those services
 - j. Percent reduction in drug usage among target population during the reporting period
 - k. Percent reduction in alcohol abuse and consumption among target population during the reporting period"

Applicants for juvenile demonstration grants must also report annually on the progress of their project at achieving improvements in pro-social behaviors; increases in community connectivity (i.e., youth involved in community activities); and increases in use of evidence-based programs.

20. For the purposes of this solicitation, recidivism is defined as "a return to prison or jail with either a new conviction or as the result of a violation of the terms of supervision within twelve (12) months of initial release"

4. Are there other data elements that you are not collecting that would more accurately portray your program's activities and successes?
 - a. If so, why are you not collecting them?
 - b. Will you be able to collect them if you receive Second Chance Act demonstration grant funding?
5. Will your initiative be evaluated independently to determine its effectiveness?
6. Will your evaluation include a process evaluation, which documents and analyzes the early development and actual implementation of the strategy or program, assessing whether strategies were implemented as planned and whether expected output was actually produced?
7. Will your evaluation include an impact evaluation, which measures the program's effects and the extent to which its goals were attained? Is it a rigorous evaluation?
8. Will you examine participant satisfaction?
 - a. Will you examine satisfaction of other stakeholders, such as family members, crime victims, and community members?

Resources

Carter, Madeline M., Susan Gibel, Rachelle Giguere, and Richard Stroker. *Increasing Public Safety through Successful Offender Reentry: Evidence-Based and Emerging Practices in Corrections*. Silver Spring, MD: Center for Effective Public Policy, 2007, www.cepp.com/documents/CEPP%20SVORI_final.pdf.

Council of State Governments Justice Center. *Report of the Re-Entry Policy Council: Charting the Safe and Successful Return of Prisoners to the Community*. New York: Council of State Governments Justice Center, 2005.

- Policy Statement 6: Measuring Outcomes and Evaluating Impact, www.reentrypolicy.org/Report/PartI/ChapterI-B/PolicyStatement6.

The Urban Institute. *Guide to Conducting Focus Groups with Reentering Prisoners*. Washington, DC: The Urban Institute, n.d., www.urban.org/reentry_mapping/Conducting_focus_groups.pdf (accessed February 11, 2009).

The Urban Institute. *Sample Reentry Service Inventory and Asset Mapping Protocol*. Washington, DC: The Urban Institute, n.d., www.urban.org/reentry_mapping/Services_Inventory_and_Asset_Mapping.pdf (accessed February 11, 2009).

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Appendix F:

Statutory and Regulatory Barriers

People coming out of prisons and jails often face wide-ranging collateral sanctions and disqualifications as a result of their convictions, including licensing restrictions from certain professions and disqualification for specific government programs. These collateral consequences can impose a significant barrier to an individual's successful reintegration into the community. Although many of these restrictions affect employment, others deny people with criminal histories access to government and housing benefits, and other opportunities that can encourage individuals to be contributing members of families and communities. An important first step toward reducing recidivism and maintaining public safety is to understand the full range of collateral consequences a person released from a corrections facility experiences.

The Second Chance Act requires that applicants include a plan for the analysis of statutory, regulatory, rules-based, and practice-based barriers to reintegration.²¹ The following questions are intended to help applicants develop plans to identify and address barriers within their jurisdiction.

1. Does your plan take into account the need to inventory and address all of the following barriers to reintegration in your jurisdiction:
 - a. statutory
 - b. regulatory
 - c. rules-based
 - d. practice-based

2. Will your plan include analysis of
 - a. employment (e.g., licensing, public employment, job restrictions)?
 - b. public housing/Section 8?
 - c. private housing?
 - d. public benefits (e.g., Medicaid, Medicare, TANF, food stamps)?
 - e. education (e.g., grants, loans)?
 - f. identification/driver's license?
 - g. civic participation?
 - h. parental rights, foster care, adoption, child protection?
 - i. access to criminal records (expungement, sealing)?
 - j. restoration of rights (certificates of rehabilitation)?
 - k. other issues (list)?

21. A statute is a formal written enactment of a legislative authority that governs a country, state, city, or county; this is what we commonly think of as a "law." Regulations are written policies that are adopted, amended, and repealed by administrative agencies (not legislative bodies) under the authority granted to them by statutes and usually involve a public review process. These administrative regulations typically govern the activities of outside entities. Administrative agencies also adopt *rules*, which govern their own internal processes. Government agencies at all levels also have accepted practices, which may or may not be written. Statutes, regulations, rules, and practices can all be barriers to reintegration. Although jurisdictions across the country may categorize statutes, regulations, rules, and practice-based barriers differently, the Second Chance Act requires that applications include a plan to survey all of the different types of barriers that individuals face after release.

3. What is your mechanism for conducting this inventory?
 - a. paid or pro bono assistance from a law firm or lawyer
 - b. assistance from a law school clinic or program
 - c. assistance from a nonprofit or advocacy organization
 - d. other (list)
4. Do you have a plan to update your analysis periodically?
5. Will elected officials and policymakers be engaged in planning, analyzing, and acting on the findings?

Examples²²

Florida Governor's Ex-Offender Task Force. *Florida's Employment Restrictions Based on Criminal Records: Key Findings and Recommendations*. Tallahassee, FL: Florida Governor's Ex-Offender Task Force, 2007, www.aecf.org/upload/PublicationFiles/Florida%20Employment%20Restrictions%20Report.pdf.

New Jersey Reentry Roundtable. *Briefing Paper: Legal Barriers to Prisoner Reentry in New Jersey*. Newark: New Jersey Reentry Roundtable, 2003, www.njsj.org/reports/barriers_report.html.

University of Maryland School of Law. *A Report on the Collateral Consequences of Criminal Convictions in Maryland*. Baltimore, MD: The Reentry of Ex-Offenders Clinic, rev. 2005, [meetings.abanet.org/webupload/commupload/CR209800/otherlinks_files/MDReport\(2\).pdf](http://meetings.abanet.org/webupload/commupload/CR209800/otherlinks_files/MDReport(2).pdf).

Resources

American Bar Association Commission on Effective Criminal Sanctions and the Public Defender Service for the District of Columbia. *Internal Exile: Collateral Consequences of Conviction in Federal Laws and Regulations*. Washington, DC: American Bar Association Commission on Effective Criminal Sanctions and the Public Defender Service for the District of Columbia, 2009, www.abanet.org/cccs/internalexile.pdf.

Legal Action Center. *After Prison: Roadblocks to Reentry*. Washington, DC: Legal Action Center, 2004, www.lac.org/roadblocks-to-reentry/.

Love, Margaret Colgate. *Relief from the Collateral Consequences of a Criminal Conviction: A State-by-State Resource Guide*. Buffalo, NY: Wm. S Hein & Co, 2006, www.sentencingproject.org/PublicationDetails.aspx?PublicationID=486.

Mills, Linda. *Inventorying and Reforming State-Created Employment Restrictions Based on Criminal Records: A Policy Brief and Guide*. Baltimore, MD: Annie E. Casey Foundation, 2008, www.aecf.org/-/media/PublicationFiles/Employment%20Restrictions%20Policy%20Guide%20Sept%202008.pdf.

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²². This list is not meant to be exhaustive or an endorsement of any of the specific examples listed here.

Appendix G:

Geographic Focus

The Second Chance Act allows the Department of Justice to give priority consideration to applications for initiatives directed towards geographic areas with a disproportionate population of individuals released from prisons or jails. Many agencies advocate a place-based reentry strategy because data has shown that people returning from prison or jail return to a relatively small number of neighborhoods that typically face many challenges and have very limited resources.²³ A task force can work with partner organizations or consultants to map the last known addresses of released individuals to identify places where these individuals are concentrated within cities and neighborhoods.²⁴

Mapping and an inventory of services can help determine what services are provided and what challenges and opportunities exist for individuals returning to these neighborhoods. This analysis can illustrate the need to find transportation options, move services closer to neighborhoods where most prisoners return, and devise other strategies to enhance services in areas that are often particularly ill-equipped to receive people returning from correctional facilities. Improving services in those neighborhoods—not only for people returning from correctional facilities but for all residents—also can help promote support for reentry efforts.

1. Have you identified the county, city, neighborhood, or block(s) to which the vast majority of individuals released from corrections facilities return in your jurisdiction?
2. Have you identified resources, supports, partners, and assets in the identified target location?
3. Do you have a mechanism in place to provide ongoing services to individuals returning to your target location?

Resources

Brazzell, Diana. *Reentry Mapping Brief: Informing and Engaging Communities through Reentry Mapping*. Washington, DC: The Urban Institute, 2007, www.urban.org/reentry_mapping/RMN_Informing_and_engaging_communities.pdf.

Council of State Governments Justice Center. *Report of the Re-Entry Policy Council: Charting the Safe and Successful Return of Prisoners to the Community*. New York: Council of State Governments Justice Center, 2005, www.reentrypolicy.org/Report/TOC.

Council of State Governments Justice Center. *Justice Reinvestment Overview*. New York: Council of State Governments Justice Center, justicereinvestment.org/files/Justice_Reinvestment_Overview.pdf.

23. Council of State Governments Justice Center. *Justice Reinvestment Overview*. New York: Council of State Governments Justice Center, justicereinvestment.org/files/Justice_Reinvestment_Overview.pdf.

24. Council of State Governments Justice Center. *Planning and Assessing a Law Enforcement Reentry Strategy*. New York: Council of State Governments Justice Center, 2008, www.reentrypolicy.org/jc_publications/LE_toolkit_final/LE_Reentry_Strategy.pdf.

Council of State Governments Justice Center. *Justice Reinvestment State Brief: Kansas*. New York: Council of State Governments Justice Center, 2007, justicereinvestment.org/files/KansasStateBrief.letter.pdf.

Council of State Governments Justice Center. *Planning and Assessing a Law Enforcement Reentry Strategy*. New York: Council of State Governments Justice Center, 2008, www.reentrypolicy.org/jc_publications/LE_toolkit_final/LE_Reentry_Strategy.pdf.

La Vigne, Nancy G. "Why Map Prisoner Reentry?" *Crime Mapping News* Vol. 6, Issue 4. Washington, DC: Police Foundation, 2004, www.urban.org/reentry_mapping/Lavigne_why_map_reentry.pdf.

La Vigne, Nancy G., Jake Cowan, and Diana Brazzell. *Mapping Prisoner Reentry: An Action Research Guidebook, 2nd Ed.* Washington, DC: The Urban Institute, 2006, www.urban.org/reentry_mapping/RMN_reentry_guidebook.pdf.

Local Initiatives Support Corporation. *Mapping for Change: Using Geographic Information Systems for Community Development*. New York: Local Initiatives Support Corporation, 2002, www.lisc.org/files/835_file_asset_upload_file645_991.pdf.

Scott, Michelle, and Nancy G. La Vigne. *A Quick Guide to Designing Maps*. Washington, DC: The Urban Institute, www.urban.org/reentry_mapping/quick_guide_to_creating_maps.pdf (accessed February 11, 2009).

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Appendix H:

Case Management

The Second Chance Act allows the Department of Justice to give priority consideration to applications that demonstrate the capacity to provide effective case management for comprehensive reentry services.

Case management services include monitoring, planning, and coordinating treatment for a target population. Case management is designed to reduce recidivism by providing intensive oversight and coordination of services to meet individuals' specific risks and needs. It can also help ensure an appropriate and cost-effective course of treatment. Many reentry initiatives use intensive case management for specific target populations with treatment needs such as substance abuse or mental health treatment, or sex offender programming.

The following questions are intended to help applicants think through case assessment and management.

1. Does your initiative address the following risk factors for recidivism:
 - a. physical health
 - b. substance abuse
 - c. mental health
 - d. family relationships
 - e. housing
 - f. employment and education
 - g. financial status
 - h. associates
 - i. anti-social attitudes
 - j. other (list)
2. How will you assess service needs? Are needs and strengths assessed during intake, during incarceration, and prior to release for transition planning purposes?²⁵
3. Which of the following services will your initiative provide to participants:
 - a. case management
 - b. health care
 - c. substance abuse treatment
 - d. mental health treatment
 - e. cognitive/behavioral services
 - f. job skill training or employment training
 - g. literacy and education programs
 - h. parenting programs
 - i. family reunification programs, when appropriate

25. For more information about assessments, see tools.reentrypolicy.org/assessments/chart.

- j. housing placement services
 - k. other (list)
4. For the services listed above, will your delivery methods include the following:
 - a. direct service
 - b. treatment referrals
 - c. other (list)
 5. Will service delivery begin *prerelease*?
 - a. If so, how far in advance of or following release will service delivery begin?
 - b. Who will *deliver* prerelease services (e.g., corrections agency, non-corrections government agency; community-based organization(s); private-sector contract agency; or a combination of agencies)?
 - c. Who will *coordinate* prerelease service delivery (e.g., corrections agency, non-corrections government agency; community-based organization(s); private-sector contract agency; or a combination of agencies)?
 6. Who will deliver *post-release* services (e.g., corrections agency, non-corrections government agency; community-based organization(s); private-sector contract agency; or a combination of agencies)?
 - a. Who will manage *post-release* service delivery (e.g., case manager assigned by corrections agency; case manager assigned by non-corrections government agency; case manager assigned by community-based organization; community corrections personnel)?
 7. Which of the following has been determined for case managers?
 - a. Their job descriptions have been clearly defined.
 - b. They are able to provide services and supports to the same participants pre- and post- release.
 - c. A reasonable ceiling on the number of people to whom they are responsible for providing case management services has been established.
 - d. Their responsibilities include coordinating reentry services and supports for family members of incarcerated or recently released individuals.
 - e. A review of workload has been conducted to ensure effective delivery of services.
 8. Which of the following will your initiative address to ensure service delivery is uninterrupted during a person's transition from prison or jail back into the community?
 - a. Those eligible for federal and state benefits (e.g., SSI, SSDI, Medicare, Medicaid, TANF, food stamps) have either begun the application processes or enrolled in benefit programs prior to release.
 - b. A state-recognized form of identification has been issued prior to release.
 - c. Prior to release, appointments with community-based providers are scheduled for a date soon after release.
 - d. A process is in place to transfer case files from prison or jail to community-based providers.
 - e. Continuity of mental health (including medications), physical health, and substance abuse services is ensured.

9. When a person is referred to post-release services, how will those services be paid for?
 - a. federal benefit program
 - b. state program
 - c. county, city program
 - d. preexisting contracts
 - e. new contracts
 - f. combined resources
 - g. other (list)

10. Will your agency and its partners ensure continuity of care for individuals' period of incarceration through post-release?

Resources

Burke, Peggy. *TPC Reentry Handbook: Implementing the NIC Transition from Prison to the Community Model*. Silver Spring, MD: Center for Effective Public Policy, 2008, nicic.org/Downloads/PDF/Library/022669.pdf.

La Vigne, Nancy G., Elizabeth Davies, Tobi Palmer, and Robin Halberstadt. *Release Planning for Successful Reentry: A Guide for Corrections, Service Providers, and Community Groups*. Washington, DC: The Urban Institute, 2008, www.urban.org/url.cfm?ID=411767.

Solomon, Amy L., Stefan F. LoBuglio, Jeff Mellow, Debbie A. Mukamal, and Jenny W.L. Osborne. *Life after Lockup: Improving Reentry from Jail to the Community*. Washington, DC: The Urban Institute, 2008, www.urban.org/url.cfm?ID=411660.

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Appendix I:

Graduated Sanctions

The Second Chance Act allows for priority consideration to applicants that have implemented, or plan to implement graduated sanctions for conditions of release or probation.

The development of graduated sanctions, which escalate in severity to be commensurate with the severity of supervision violations or risk levels, ensure that releasing authorities and/or supervision agencies have options—other than just a warning or reincarceration—to respond quickly and effectively when a person violates a condition of release. Recent research demonstrates, and experts agree, that many parolees who violate their conditions without committing a new offense can be managed in the community without compromising community safety.²⁶ Technical violators are better managed by swift and certain interventions in proportion to the seriousness of the violation.²⁷

The following questions can assist your agency and its partners in reviewing or implementing graduated sanctions.

1. Has your agency and its partners implemented a policy framework for violations that includes graduated responses based on an individual's risk and the severity of the violation (e.g., missing a meeting with the probation officer might result in imposition of community service hours, and repeated failures to comply with rules could lead to placement of the individual in a day reporting center)?
 - a. Do you have the support of front-line officers in the use of community-based sanctions?
 - b. Which of the following community-based sanctions will be available to address violations of supervision conditions:
 1. documented counseling
 2. increased reporting requirements
 3. loss of privileges
 4. increased substance abuse testing
 5. mandated treatment
 6. day reporting
 7. electronic monitoring
 8. residential program placement
 9. extension of supervision period
 10. curfews

26. Amy L. Solomon, Jenny Osborne, Laura Winterfield, Brian Elderbroom, Peggy Burke, Richard P. Stroker, Edward E. Rhine, and William D. Burrell, *Putting Public Safety First: 13 Parole Supervision Strategies to Enhance Reentry Outcomes* (Washington, DC: The Urban Institute, 2008), www.urban.org/UploadedPDF/411791_public_safety_first.pdf.

27. Peggy Burke, *Parole Violations Revisited: A Handbook on Strengthening Parole Practices for Public Safety and Successful Offender Transition* (Washington, DC: National Institute of Corrections, 2004), www.paroleviolationsrevisited.org/; Public Safety Performance Project, *When Offenders Break the Rules: Smart Responses to Parole and Probation Violations* (Washington, DC: The Pew Charitable Trusts, 2007), www.pewtrusts.org/uploadedFiles/wwwpewtrustsorg/Reports/sentencing_and_corrections/Condition-Violators-Briefing.pdf; Amy L. Solomon, Jenny Osborne, Laura Winterfield, Brian Elderbroom, Peggy Burke, Richard P. Stroker, Edward E. Rhine, and William D. Burrell, *Putting Public Safety First: 13 Parole Supervision Strategies to Enhance Reentry Outcomes* (Washington, DC: The Urban Institute, 2008), www.urban.org/UploadedPDF/411791_public_safety_first.pdf.

11. community service work
12. other (list)
- c. Will the sanctions be graduated and proportional on the basis of the following:
 1. seriousness of the violation
 2. history of non-compliance
 3. individual's level of risk to the community
 4. specific needs of the individual
2. Do parole and probation supervision staff have discretion to use a range of sanctions that can be tailored to different situations?
3. Have you mandated the use of research-based risk assessments to inform decision making?
4. Are graduated sanctions delivered certainly and swiftly to best achieve their intended effect?
5. Do supervision agencies in your jurisdiction routinely measure and report rates of successful completion of supervision?
6. Do supervision agencies in your jurisdiction use incentives for positive behavior, such as certificates of completion when individuals complete programs, reductions in restrictions, and early termination of supervision?
 - a. Which of the following incentives will be used to reinforce good behavior:
 1. written documentation given to the individual
 2. recognition ceremonies
 3. reduction in frequency of reporting
 4. reduction or elimination of substance abuse testing
 5. removal of electronic monitoring
 6. restoration of privileges
 7. other (list)

Resources

Burke, Peggy. *Parole Violations Revisited: A Handbook on Strengthening Parole Practices for Public Safety and Successful Offender Transition*. Washington, DC: National Institute of Corrections, 2004, www.paroleviolationsrevisited.org/.

Public Safety Performance Project. *When Offenders Break the Rules: Smart Responses to Parole and Probation Violations*. Washington, DC: The Pew Charitable Trusts, 2007, www.pewtrusts.org/uploadedFiles/www.pewtrusts.org/Reports/sentencing_and_corrections/Condition-Violators-Briefing.pdf.

Solomon, Amy L., Jenny Osborne, Laura Winterfield, Brian Elderbroom, Peggy Burke, Richard P. Stroker, Edward E. Rhine, and William D. Burrell. *Putting Public Safety First: 13 Parole Supervision Strategies to Enhance Reentry Outcomes*. Washington, DC: The Urban Institute, 2008, www.urban.org/UploadedPDF/411791_public_safety_first.pdf.

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Appendix J:

High-Risk Populations/Assessments

The process of identifying a target population should be based on an analysis of available data, particularly on the characteristics of individuals returning to the jurisdiction (such as age, gender, level of offense, and mental health and substance abuse treatment needs). A target population for a reentry initiative typically includes participants who share common characteristics that are central to the goals of your program. A successful plan to prepare a person for safe and successful transition from prison or jail to the community should be based on comprehensive information about that individual's strengths, risks, and needs. Research indicates that efforts to reduce recidivism are likely to have the greatest impact with individuals who have been determined (based on a number of factors) to have a medium or high risk of reoffending.

Information about an individual's strengths, risks, and needs is typically collected through a series of validated screenings, assessments, and evaluations conducted prior to sentencing and immediately after a person is admitted to a correctional institution, or in preparation for release.²⁸ Ideally, this information is updated periodically throughout the person's incarceration and until his or her period of community supervision concludes. It is used to make informed decisions about how to manage risk, deliver services, and allocate resources efficiently. This information can also be used to help identify a specific target population for a reentry initiative.

The following questions are intended to help applicants with target population selection and assessment.

1. Who will be involved in making the target population decision?
2. What data are available to help guide decisions about the target population?
3. Have you matched your target population to the goals of your initiative?
4. How will the participant selection process be structured so it is transparent and has defensible criteria?
5. How many people will your initiative serve?
6. Have you considered the following characteristics in selecting your target population:
 - a. men and/or women
 - b. specific age range
 - c. individuals returning from jails, prisons, or individuals on probation
 - d. individuals who complete their sentence while incarcerated and are released with no supervision, or individuals who are released to parole or probation supervision
 - e. specific service needs
7. What specific geographic area, if any, does the initiative target?

For more information about targeting individuals in a particular area, see [appendix G](#).

28. Ideally, applicants should use validated assessment and screening tools that have been normed for the population targeted.

8. To identify the specific target population of your initiative, which of the following steps are you taking?
 - a. using validated assessment tools to determine which individuals are at a high risk of reoffending including determining the prevalence of the following factors:
 1. substance abuse
 2. mental illness
 3. anti-social attitudes
 4. criminal history
 5. employability
 6. family relationships
 7. others (list)
 - b. using data and survey tools to determine the most common needs of individuals being released in your jurisdiction
 - c. using data and analysis to determine which needs if addressed would have the greatest impact on recidivism
 - d. determining what agency or organization will be responsible for conducting the screenings and assessments
 - e. ensuring that the instruments have been validated and normed for use with the population the initiative targets
 - f. deciding when the screenings and assessments will be administered (e.g., two months prior to release, at release, after release)
9. What other factors need to be considered, including community resources?

Resources

Council of State Governments Justice Center. *Assessment and Risk/Need Determination Tool*. New York: Council of State Governments Justice Center, 2008, tools.reentrypolicy.org/assessments/chart.

Taxman, Faye S., James M. Byrne, and Douglas Young. *Targeting for Reentry: Matching Needs and Services to Maximize Public Safety*. College Park: University of Maryland, Bureau of Governmental Research, 2002, www.ncjrs.gov/pdffiles1/nij/grants/196491.pdf.

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