



State of Washington
Department of Corrections
Opportunity King County Service Providers
Request for Applications
November 22, 2016

The Washington State Department of Corrections (Department or DOC) is pleased to announce that through a federal Second Chance Act reentry grant pilot program (Pilot) there will be opportunities for King County service providers to contract with the Department for a range of client services through September 30, 2017.

Population Served

The target population for the Pilot includes adult individuals reentering from prison or jail to King County under DOC community supervision who have been assessed as having:

- high risk to recidivate;
- moderate to high residential need; and,
- moderate to high mental health and/or chemical dependency need.

Pilot participants will be referred to client services through the Pilot's Transition Specialists, who provide continuity of care, prior to and following release from prison or jail.

Services Needed

The Department is requesting the following types of client service providers:

- Reentry, transitional, or supportive housing or other types of traditional housing;

- Peer-to-peer mentoring programs; individual or in groups, education/vocational or employment readiness and retention mentoring, or other types of similar mentoring programs that support pro-social networks;
- Behavioral health treatment and case management service providers (certain restrictions apply if currently under DOC contract); and,
- Educational/vocational, employment readiness, and retention service providers (certain restrictions apply if currently under DOC contract).

Eligibility Criteria

The following criteria must be met in order to provide services in this Pilot. (There are no exceptions allowed.) Each service provider must:

- Provide one or more of the client services identified above.
- Be an established King County service provider for a minimum of at least three (3) years (established by 2012), providing services to previously or currently incarcerated individuals, with potentially violent, behavioral health-influenced, or other unpredictable behaviors.
- Be off of all supervision with all jurisdictions.
- Agree to not subcontract any client services with Pilot funds. All funds must be used to support only direct service and may not be used to support administrative or indirect costs.
- Provide services to one (1) or more individuals, and understand that there are no guarantees to a minimum number of individuals being referred, and that the Pilot may have only 100 clients total.
- Understand that the Pilot is time-limited and is based on the federal grant funds allocated.
- Maintain open channels of communication between all participating agencies and to not stop providing services to any client without notifying the involved parties, which may include the multi-disciplinary team of the client and the client's support network.
- Follow all auditing, tracking, statistics, and performance measures required.

- Be willing to attend any and all mandatory Department sponsored training(s).
- Follow the DOC’s established procedures and processes for submitting invoices for payment electronically via the A-19 Invoice Voucher.¹
- Follow the DOC’s General Terms and Conditions for all agreements entered into with the Department, including but not limited to: Non-discrimination, ADA, Confidentiality, Data Sharing, Conflict of Interest/Ethics, Health and Safety, Industrial Insurance, Maintenance of Records, PREA, and Publicity.

Reporting Requirements

Along with the above qualifying criteria there are also Federal and State² grant guidelines, including any and all applicable U.S. Code of Federal Regulations; that must be followed. All service providers will work in collaboration with the Department in collecting, tracking, and sharing Pilot-related data, and will work in multi-disciplinary teams with the Department, the client, and the client’s support network.

Estimated Rates for Services

<u>SERVICE</u>	<u>Limitations</u>	<u>Individual Session Rate</u>	<u>Group Session Rate*</u>
Licensed Behavior Health Treatment and Case Management	Generally allowed up to 5 hours per week**	\$77/hour	\$100/hour
Educational/Vocational Training and Case Management	Generally allowed up to 5 hours per week**	\$50/hour	\$75/hour

¹ See DOC Policy 350.210 [Transition Resources for Offenders](http://doc.wa.gov/information/policies/showFile.aspx?name=350210) available at: <http://doc.wa.gov/information/policies/showFile.aspx?name=350210>

² See The US Department of Justice [2015 DOJ Grants Financial Guide](http://ojp.gov/financialguide/DOJ/index.htm) available at: <http://ojp.gov/financialguide/DOJ/index.htm>

[The Federal Funding Accountability and Transparency Act \(FFATA\)](https://www.frs.gov/) available at: <https://www.frs.gov/>, [Washington Department of Enterprise](http://www.des.wa.gov/about/pi/ProcurementReform/Pages/Policies.aspx) services available at <http://www.des.wa.gov/about/pi/ProcurementReform/Pages/Policies.aspx>

Mentoring (peer to peer and other types) and Case Management	Generally allowed up to 5 hours per week**	\$50/hour	\$75/hour
Housing (traditional and supportive housing)	\$500/month or actual costs whichever is least, enhanced services to be reimbursed and itemized separately at the mentoring rates		
Sub recipient attendance/participation in DOC sponsor training	Preapproval required reimbursed at \$20/hour.		
Sub recipient travel	Reimbursed based on state rules.		

- *Group Sessions are paid at a flat rate, with a minimum of 3 participants and a maximum of 12 per session.
- ** All individual and group sessions are limited to 5 per participant per week, exceptions require written approval through the contract manager.

Contacts

Interested parties should contact Lori Miller via email at lori.miller@doc.wa.gov. Lori will be collecting names and email addresses and will distribute a brief question and answer packet to all interested parties. The Department intends to review, screen and begin awarding contracts not later than November 30, 2016, up and through such time that the DOC closes this announcement.

Further questions regarding the Second Chance Reentry Program should be directed to Jim Harms, Reentry System Administrator, james.harms@doc.wa.gov or 360/725-8961.

FREQUENTLY ASKED QUESTIONS

These FAQs have been created to help guide sub recipients and answer some of the common questions and are not intended as legal advice.

1. *What kind of federal grant funding will be used by Washington State Department of Corrections (DOC) to support client service contracts in King County?*

- The DOC received a *Second Chance Act Two-Phase Adult Offender Reentry Demonstration Program Planning and Implementation Grant* in October of 2013. This is a discretionary grant from the Department of Justice (DOJ) Office of Justice Programs' (OJP) Bureau of Justice Assistance (BJA). The implementation phase of the grant began in May 2015 when the pilot reentry program began to accept interested participants. Part of the grant implementation includes the use of federal funding by DOC to enter into sub recipient contracts with community-based client service providers to support successful reentry of the pilot program participants.

2. *Who is a 'sub recipient' of a federal award?*

- A sub recipient is any organization receiving Federal funds from a direct recipient of Federal funds (in this circumstance, the direct recipient is Washington State Department of Corrections (DOC)).
- Sub recipients are required to adhere to the applicable law of their jurisdiction and the financial and administrative rules summarized in the *2013 Office of Justice Programs Financial Guide*. The direct recipient (in this case DOC) may also impose additional financial and administrative requirements.
- Sub recipients are also required to adhere to the requirements of Office of Management and Budget (OMB) circulars and Federal Government-wide common rules contained in the Code of Federal Regulations (CFR), and US Department of Justice (DOJ) Office of Justice Programs' (OJP) Financial Guide (mentioned above).

3. *What are the specific guidelines and requirements that must be followed if a non-profit organization becomes a sub recipient?*

The following are required for all DOJ grant recipients / sub recipients that are non-profit organizations:

- Administrative requirements: Title 2 CFR, Part 215 (OMB A-110) and Title 28 CFR 70
- Cost Principles: Title 2 CFR, Part 230 (OMB A-122), 28 CFR 66.22 and 70.27
- Audit requirements: OMB Circular A-133

The above documents primarily refer to and address primary grant recipients, however, some sections in each document involve sub recipients, as well. The following guidelines and requirements are included in the Second Chance Act grant award conditions agreed to by DOC when the award was accepted.

All sub recipients are also required to follow these award conditions:

A. Ensuring Access to Federally Assisted Programs

Federal laws prohibit recipients and sub recipients of financial assistance from discriminating on the basis of race, color, national origin, religion, sex, or disability in funded programs or activities, not only in respect to employment practices but also in the delivery of services or benefits. Federal law also prohibits funded programs or activities from discriminating on the basis of age in the delivery of services or benefits.

B. Providing Services to Limited English Proficiency (LEP) Individuals

In accordance with Department of Justice Guidance pertaining to Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d, recipients and sub recipients of Federal financial assistance must take reasonable steps to provide meaningful access to their programs and activities for persons with limited English proficiency (LEP). For more information on the civil rights responsibilities that recipients and sub recipients have in providing language services to LEP individuals, please see the website at <http://www.lep.gov>.

C. Faith-based organizations (limitations)

Equal Treatment Regulation 28 CFR part 38, prohibits faith-based organizations from using financial assistance from the Department of Justice to fund inherently religious activities. While faith-based organizations can engage in non-funded inherently religious activities,

they must be held separately from the Department of Justice funded program, and customers or beneficiaries cannot be compelled to participate in them. The Equal Treatment Regulation also makes clear that organizations participating in programs funded by the Department of Justice are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion. For more information on the regulation, please see OCR's website at <http://ojp.gov/funding/Explore/SolicitationRequirements/CivilRightsRequirements.htm>.

D. Adhere to the Safe Streets Act or Program Requirements by:

(1) Complying with Federal regulations pertaining to the development of an Equal Employment Opportunity Plan (EEO Plan), 28 C.F.R. § 42.301-.308

- Recipients and sub recipients receiving \$500,000 or more in federal awards and having 50 or more employees must prepare EEO Plan & submit to DOJ Office of Civil Rights (OCR) for review.
- Recipients and sub recipients receiving between \$25,000 and \$500,000 in federal awards and having 50 or more employees must prepare EEO Plan and keep it on file.
- Recipients and sub recipients receiving \$25,000 or less and having less than 50 employees, regardless of the amount of the award; or if the organization is a medical institution, educational institution, nonprofit organization or Indian tribe, then the organization is exempt from the EEO Plan requirement.

(2) Submitting to OCR Findings of Discrimination (see 28 C.F.R. §§ 42.205(5) or 31.202(5)).

In the event a Federal or State court or Federal or State administrative agency makes an adverse finding of discrimination against your organization after a due process hearing, on the ground of race, color, religion, national origin, or sex, your organization must submit a copy of the finding to OCR for review.
Office of the Inspector General

- e-mail: oig.hotline@usdoj.gov
- hotline: (800) 869-4499
- website: www.usdoj.gov/oig

E. Lobbying prohibition

Recipients and sub recipients may not use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government.

F. False Claims Act

Recipients and sub recipients must promptly refer to the DOJ Office of the Inspector General any credible evidence that a principal, employee, agent, contractor, sub grantee/recipient, subcontractor, or other person has either 1) Submitted a false claim for grant funds under the False Claims Act; or 2) Committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving grant funds.

G. Association of Community Organizations for Reform Now funding prohibition

Recipients and sub recipients cannot use any federal funds, either directly or indirectly, in support of any contract or sub-award to either the Association of Community Organizations for Reform Now (ACORN) or its subsidiaries, without the express prior written approval of OJP.

H. Data sharing

Recipients and sub recipients agree to participate in a data collection process measuring program outputs and outcomes. (The data elements for this process will be outlined in the contract by DOC. Only non-identifiable information and data are shared with the federal grantor.)

I. Confidentiality

Recipients and sub recipients agree to comply with all confidentiality requirements of 42 U.S.C. section 3789g and 28 C.F.R. Part 22 that are applicable to collection, use, and revelation of data or information. Recipients must agree, as a condition of grant approval, to submit a Privacy Certificate that is in accord with requirements of 28 C.F.R. Part 22

and, in particular, section 22.23. (*Sub recipients will also be required to follow all of DOC's confidentiality rules*).

J. Federal Funding Accountability and Transparency Act (FFATA)

DOC must report first-tier sub awards of \$25,000 or more and, in certain circumstances (*see below*), to report the names and total compensation of the five most highly compensated executives of the recipient and first-tier sub recipients of award funds. Such data will be submitted to the FFATA Federal Sub award Reporting System (FSRS) and requires the DUNS number. (More information at: <http://ojp.gov/funding/Explore/FFATA.htm>).

Reporting includes providing the names and total compensation of the five most highly compensated officers of the sub recipient if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity.

DOC must follow 2 CFR Chapter 1, Part 170 which states that if the initial award is below \$25,000 but subsequent grant modifications result in a total award equal to or over \$25,000, the award will be subject to the reporting requirements, as of the date the award exceeds \$25,000.

K. Data Universal Number System (DUNS)

All subrecipients must obtain a DUNS number and provide that number to the Department prior to beginning work under an agreement with the Department.

Purpose of DUNS

A **DUNS number** is a unique nine-character number used to identify your organization. The federal government uses this number to track how federal money is allocated.

How to Register for a DUNS Number:

If your organization does not yet have a DUNS number, or if it is unknown, visit the [Dun & Bradstreet \(D&B\) website](#) or call 1-866-705-5711 to register or search for a DUNS number.

Registering for a DUNS number is free of charge, so if you encounter any organizations or websites soliciting a fee or charge to acquire a DUNS number it is likely a scam or fraudulent.

You will need all of the information listed below to obtain a DUNS number:

- Name of organization
- Organization address
- Name of the chief executive officer (CEO) or organization owner
- Legal structure of the organization (e.g., corporation, partnership, proprietorship)
- Year the organization started
- Primary type of business
- Total number of employees (full and part-time)

4. *What kind of information will be included in the sub recipient grant funded contracts?*

The DOC will use state-based, standard terms and conditions or 'boiler plate' contract language as well as a range of other information required by DOJ including:

- Catalog of Federal Domestic Assistance (CFDA) title and number
- Award name and number
- Name of the Federal awarding agency
- Activities to be performed
- Period of Performance
- Applicable Department policies
- Original award flow-through requirements that are applicable to the sub-recipient (*outlined A- J above*)
- Dollar limitation of the agreement

5. *What kind of sub recipient monitoring will DOC's contract manager be doing?*

DOC is responsible for ensuring the compliance of sub recipients with federal and state regulations and will need to periodically monitor compliance with these regulations as well as review back up documentation related to billing and the client services provided/reimbursed under the contract. Monitoring may include both phone calls and on-site visits.

6. *Do sub recipients need to keep files related to client services as documentation for the contract?*

Yes. Client files should contain enough documentation to support receiving and spending the federal grant dollars. Additional information will be provided regarding the Department's record keeping practices and expectations.

7. *How long does billing and contract-related client services information need to be kept on file by a sub recipient?*

At least six years from the end of the federal grant's award period. (Current end date is September 30, 2017 unless a no-cost extension were to be requested / approved.)

8. *What kind of information and data sharing will be required of sub recipients?*

Federal regulations require that performance measures and other data be documented and submitted quarterly by DOC. Relevant performance measures and other data will be submitted monthly by sub recipients with billing invoices. This information will be limited and dependent upon the type of service being provided. Releases of information will be signed by all program participants to allow the sharing of basic information related to services. For example, the type and number of hours of services provided to a specific individual, participation in programming, referrals to external resources, attaining or maintaining employment, housing, etc.

9. Do agencies interested in becoming sub recipients need to register with, apply to, contract with or submit reports directly to the federal government?

No. DOC is the primary grant recipient and is responsible to report performance and fiscal data to the federal grantor. However, sub recipients are required to obtain and provide a Data Universal Number System (DUNS) number that will be shared with the federal grantor by DOC if/when the cumulative sub recipient contract amount exceeds \$25,000.

10. Are there resources available at the federal level if I have questions about federal guidelines and regulations connected to the sub award?

Yes. The Office of the Chief Financial Officer in the Department of Justice provides online information as well as customer service via telephone or email. Contact information is provided below.

Chief Financial Officer: Leigh Benda

OCFO Main Line: 202-307-0623

Fax: 202-616-5962 or 202-353-8475

OCFO E-mail: ask.ocfo@usdoj.gov

[Customer Service Center](#): 1-800-458-0786 (press 2) or 202-305-9988

Customer Service Center TTY: 202-616-3867

11. Will staff in sub recipient organizations be required to participate in any DOC-based training?

Yes. The Department may require training on its policies and procedures, etc. Sub recipients will be compensated as identified in the "Estimated rates for services" section of the announcement. The Department, however, is not providing training on the federal guidelines and regulations connected to the sub award. Those questions should be directed to the Chief Financial Officer in the Department of Justice.