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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) is seeking applications to infuse effective family drug court practices established at the individual, local level and institutionalize them in the larger state-level child welfare, substance abuse treatment, and court systems. This program furthers the Department's mission by protecting the safety and welfare of children in the family drug court system while giving parents the tools they need to become sober, responsible, caregivers.

## OJJDP FY 2014 Family Drug Court Statewide System Reform

### Eligibility

Applicants are limited to the state Administrative Office of the Court (AOC), working in conjunction with and coordinating closely with the state's Court Improvement Program (CIP). Although the AOC is the designated lead agency, the application should be submitted jointly with the state child welfare agency and state substance abuse treatment agency as *required* collaborating partners. OJJDP recognizes other key agencies (as appropriate to the applicant) are considered essential collaborating partners. These additional applicable partners, which may vary by applicant, must also demonstrate buy-in and active support for the initiative.

OJJDP may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 28.) All applications are due by 11:59 p.m. eastern time on July 23, 2014. (See "Deadlines: Registration and Application," page 4.)

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

### Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov). Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants who experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their applications by the deadline must e-mail [JIC@telesishq.com](mailto:JIC@telesishq.com)

**within 24 hours after the application deadline** and request approval to submit their application.

For assistance with any other requirements of this solicitation, contact the Justice Information Center (JIC) at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com), or by [live Web chat](#). JIC hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this announcement: OJJDP-2014-3926.

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# OJJDP FY 2014 Family Drug Court Statewide System Reform (CFDA #16.585)

## Overview

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) is seeking to infuse effective family drug court practices established at the individual, local level and institutionalize them in the larger state-level child welfare, substance abuse treatment, and court systems. The purpose of this state systems reform effort is to expand the scale of family drug courts (i.e., penetration rate of the larger child welfare and substance abuse treatment systems) and scope (i.e., range of comprehensive services for families) to serve all families in the child welfare system affected by parental substance use disorders more effectively and improve child, parent, and family outcomes. This program is authorized pursuant to 42 U.S.C. 3797u, et seq.

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to **submit applications 72 hours** prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on July 23, 2014. See "How To Apply" on page 28 for details.

## Eligibility

Applicants are limited to the state Administrative Office of the Court (AOC), working in conjunction with and coordinating closely with the state's Court Improvement Program (CIP). Although the AOC is the designated lead agency, the application should be submitted jointly with the state child welfare agency and state substance abuse treatment agency as *required* collaborating partners.

OJJDP welcomes joint applications; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for conducting and leading the project.

OJJDP may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

## Program-Specific Information

The Family Drug Court program seeks to build the capacity of states, state courts, local courts, units of local government, and federally recognized tribal governments to either implement new or enhance pre-existing drug courts to provide services for individuals with substance use disorders or substance use and co-occurring mental health disorders who are involved with the family dependency court as a result of child abuse and neglect issues. The drug court programs must provide services to parents in the program and to their children. OJJDP also encourages applicants to consider the needs of veteran/military families.

A drug court is a specially designed court calendar or docket; OJJDP does not encourage applicants to create a separate or special jurisdiction court. A family drug court is devoted to cases of child abuse and neglect that involve the child's parents or other caregivers who have substance abuse problems. Its purpose is to protect the safety and welfare of the children while giving parents the tools they need to become sober, responsible caregivers.

The authorizing statute, 42 U.S.C. 3797u et seq., requires that any family drug court that this program funds prohibit participation by violent offenders. For this solicitation, adult violent offender means a person who: (1) is charged with or convicted of an offense that is punishable by a term of imprisonment exceeding 1 year, during the course of which: (a) the person carried, possessed, or used a firearm or dangerous weapon, (b) the person caused the death of or serious bodily injury to another person, or (c) the person used force against another person without regard to whether any of the circumstances described above are an element of the offense or conduct of which or for which the person is charged or convicted; or (2) has one or more prior convictions for a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm (42 U.S.C. 3797u-2). Juvenile violent offender means a juvenile who has been convicted of, or adjudicated delinquent for, a felony-level offense that (1) has as an element, the use, attempted use, or threatened use of physical force against the person or property of another, or the possession or use of a firearm; or (2) by its nature, involves a substantial risk that physical force against the person or property of another may be used in the course of committing the offense (42 U.S.C. 3797u-2(b)). Funding will be immediately suspended if DOJ determines that violent offenders are participating in any program funded under this solicitation.

Family drug courts must also meet the requirements of 42 USC 3797u (a). The requirements include:

1. continuing judicial supervision over offenders, and other individuals under the jurisdiction of the court, with substance abuse problems who are not violent offenders.
2. coordination with the appropriate State or local prosecutor.
3. the integrated administration of other sanctions and services, which shall include--
  - mandatory periodic testing for the use of controlled substances or other addictive substances during any period of supervised release or probation for each participant.
  - substance abuse treatment for each participant.
  - diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress.
  - offender management, and aftercare services such as relapse prevention, health care, education, vocational training, job placement, housing placement, and child care or other family support services for each participant who requires such services.

The Drug Court Discretionary Grant Program authorizing statute requires participant payments for treatment and restitution; however, it does not allow imposing a fee on a client that would interfere with the client's rehabilitation. Applicants should include in their application provisions for determining if these costs would interfere with a client's rehabilitation or graduation.

Furthermore, the authorizing statute, 42 U.S.C.3797u(c) (1), requires mandatory periodic drug testing that is accurate and practicable. Each participant must be tested for every controlled substance that the participant has been known to abuse and for any that the court may require. The family drug court must impose graduated sanctions that increase punitive measures, therapeutic measures, or both whenever a participant fails a drug test. Such sanctions and measures may include, but are not limited to, one or more of the following:

- Incarceration.
- Detoxification treatment.
- Residential treatment.
- Increased time in the program.
- Termination from the program.
- Increased drug screening requirements.
- Increased court appearances.
- Increased counseling.
- Increased supervision.
- Electronic monitoring.
- In-home restriction.
- Community service.
- Family counseling.
- Anger management classes.

Family drug courts have expanded during the past 2 decades because they provide a strong system of accountability with proven results for children and families in the child welfare system affected by parental substance use disorders and the agencies that serve them. Family drug courts at the individual project level have shown they are more effective in achieving better child welfare and treatment outcomes than are core collaborative partners—child welfare, treatment, and the courts—operating without key family drug court components.

Family drug courts that effectively bring together substance abuse, mental health, and other social services agencies to meet the needs of the family as a whole achieve better rates of parental participation in substance abuse treatment, longer stays in substance abuse treatment, greater rates of family reunification, shorter lengths of stay in foster care for children, and less recurrence of maltreatment. This research base strongly supports the institutionalization of the principles and methods of family drug courts more broadly across state systems.

Family drug courts cannot function in a vacuum; their programs must relate to the larger systems to which they belong. Decisions regarding what proportion of the eligible child welfare population to serve (i.e., scale) are difficult to make, but family drug courts that ignore these policy issues risk becoming a specialty court that cannot influence the rest of the dependency court's operations or the larger population of families in need of their services.

Through its National Family Drug Court Training and Technical Assistance Program,<sup>1</sup> OJJDP will support three states that are ready to work intensively and systematically to scale up proven family drug court practices to statewide levels and transform cross-systems decisionmaking about policies, programs, and allocation of resources. The state's Administrative Office of the Court will serve as the lead in this systems change effort, working in conjunction with and coordinating closely with the state's Court Improvement Program.<sup>2</sup> Although the AOC would be the designated lead agency, the state child welfare agency and state substance abuse treatment agency are *required* collaborating partners and must submit a signed memorandum of understanding/agreement regarding their support (see page 20). OJJDP recognizes other key agencies (as appropriate to the applicant) are considered essential collaborating partners. These additional partners must also indicate buy-in and active support for the initiative.

This state systems reform effort builds on the OJJDP-sponsored publication, *Guidance to States: Recommendations for Developing Family Drug Court Guidelines*.<sup>3</sup> This document helps sites support systems change that will have a lasting impact on the family drug court and the policies and practices of the court, child welfare, and substance abuse treatment service systems, and the many community-based organizations that serve and support families. Since OJJDP released the guidelines in 2013, sites have used them to advance systems improvements and change, but on a smaller, concentrated scale. OJJDP would like to broaden the reach of these best practices and use the guidelines framework with a few selected states to guide full-scale statewide changes throughout the child welfare, treatment, and court systems.

Children and Family Futures, which operates the training and technical assistance program, will lead the selected grantees in the systems change process. Children and Family Futures will provide intensive technical assistance through a systematic, multiyear, phased approach with specific timeframes and performance benchmarks associated with each phase. The development of the multiyear implementation plan recognizes that even with strong investment and commitment of state leadership, state systemic reform is a lengthy process.

## Purpose

This state systems reform effort will expand family drug courts' scale (i.e., penetration rate of the larger child welfare and substance abuse treatment systems) and scope (i.e., range of comprehensive services for families) to serve all families in the child welfare system affected by parental substance use disorders more effectively, and improve child, parent, and family outcomes.

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<sup>1</sup> The Family Drug Courts Training and Technical Assistance Program improves family drug courts' program protocols and standards, cross-system collaborative relationships, cost effectiveness, and staff knowledge and training to increase their effectiveness.

<sup>2</sup> The State Court Improvement Program was created as part of the Omnibus Budget Reconciliation Act of 1993, Public Law 103-66, which among other things, provided federal funds to state child welfare agencies and tribes for preventive services and services to families at risk or in crisis. As of FY 2001, all eligible states (50 states, the District of Columbia, and Puerto Rico) are receiving annual Court Improvement Program grants. Typical activities include development of mediation programs, joint agency-court training, automated docketing and case tracking, linked agency-court data systems, one judge/one family models, time-specific docketing, formalized relationships with the child welfare agency, improvement of representation for children and families, CSFR program improvement plan development and implementation, and legislative changes.

<sup>3</sup> Children and Family Futures. 2013. *Guidance to States: Recommendations for Developing Family Drug Court Guidelines*. Retrieved from <http://www.cffutures.org/files/publications/FDC-Guidelines.pdf>

## Goals, Objectives, and Deliverables

The program will provide parents with substance use disorders with support, treatment, and access to services that will protect children; reunite families, when safe to do so; and expedite permanency. The objectives are to increase the capacity of state courts to intervene with adults with substance use and/or cooccurring mental health disorders who are involved with the court as a result of child abuse and neglect issues.

OJJDP's ultimate goal is to implement a 5-year process of statewide reform of how courts handle children and parents in the child welfare system affected by substance abuse and co-occurring mental health disorders. OJJDP will make grants to states with sufficient infrastructure to support these efforts, and applicants must identify state court agencies as the lead organizations. Applicants must demonstrate buy-in from child welfare, treatment, and other agencies as appropriate. Efforts will be made to link the OJJDP grants with coordinated grants from the U.S. Department of Health and Human Services/Administration of Children and Families/Children's Bureau, the Substance Abuse and Mental Health Services Administration, and state and local funding.

The first stage of this process, which is the focus of this solicitation, is a 2-year planning and early implementation phase. OJJDP will provide selected applicants with intensive technical assistance, which Children and Family Futures will facilitate, to develop a systems change plan in year one, to be followed by initial implementation work in year two. More specifically, the 2-year planning and early implementation phase will include five stages:

1. The state will assess its capacity to carry out family drug court principles in wider state systems, using a revised version of the Collaborative Capacity Instrument<sup>4</sup> or a similar instrument that Children and Family Futures will administer.<sup>5</sup>
2. Development of a 2-year technical assistance plan for each state grantee, based on the results of the self-assessment.
3. Development of peer networks across the participating states, including online access to the lead staff in each agency.
4. A 12- to 18-month early implementation period in which state systems will carry out their reform redesign efforts to infuse the effective practices of family drug courts into broader state policy and practice.
5. Development of evaluation and information sharing systems to track client progress and cost savings across state systems/agencies. OJJDP will require states to have reporting systems in place to qualify for additional funding after the first 2 years.

## Evidence-Based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- improving the quantity and quality of evidence OJP generates;

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<sup>4</sup> Retrieved from [http://www.cffutures.org/files/publications/Collaborative\\_Capacity\\_Instrument.pdf](http://www.cffutures.org/files/publications/Collaborative_Capacity_Instrument.pdf)

<sup>5</sup> Retrieved from [http://www.cffutures.org/files/publications/Collaborative\\_Capacity\\_Instrument.pdf](http://www.cffutures.org/files/publications/Collaborative_Capacity_Instrument.pdf)



- integrating evidence into program, practice, and policy decisions within OJP and the field; and
- improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) Web site and OJJDP's [Model Programs Guide](http://ModelProgramsGuide) Web site are two resources that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Additional Resources**

OJJDP encourages applicants to review the recommendations from the Attorney General's National Task Force on Children Exposed to Violence, [www.justice.gov/defendingchildhood/cev-rpt-full.pdf](http://www.justice.gov/defendingchildhood/cev-rpt-full.pdf), and the recommendations of the National Research Council's *Reforming Juvenile Justice: A Developmental Approach*, [www.nap.edu/catalog.php?record\\_id=14685](http://www.nap.edu/catalog.php?record_id=14685) and consider incorporating the recommendations into their applications where applicable.

### **Amount and Length of Awards**

OJJDP expects to make as many as three awards of as much as \$500,000 total for the initial 24-month planning and early implementation project period.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

**Future Years Funding: Full Implementation Awards.** OJJDP will invite successful applicants in the initial 2-year planning and early implementation stage under this solicitation to submit an application in FY 2016 to compete for an individual implementation award totaling \$1 to \$2 million to enable the state to reform their family drug court systemwide over a subsequent 3-year time period.

**Training and Technical Assistance.** Training and technical assistance is a necessary component to ensuring the effective implementation of system reform. Appropriate training and technical assistance funding will be provided to the technical assistance provider to assist states with development of their strategic plans and providing technical assistance to scale up proven drug court practices.

### **Budget Information**

**Limitation on Use of Award Funds for Employee Compensation, Waiver.** With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal

funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2014 salary table for SES employees is available at [www.opm.gov/pay-leave](http://www.opm.gov/pay-leave). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. Applicants requesting a waiver should include a detailed justification in the budget narrative of their applications. Applicants who do not submit a waiver request and justification with their applications should anticipate that OJP will request that they adjust and resubmit their budgets.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

**Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs.** OJP strongly encourages applicants who propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

**Costs Associated with Language Assistance (if applicable).** If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" Web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

**Match Requirement.** Federal funds awarded under this program may not cover more than 75 percent of the total costs of the project being funded. Applicants must identify the source of the 25 percent nonfederal portion of the total project costs and how they will use match funds. If a successful applicant's proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. (Match is restricted to the same uses of funds as allowed for the federal funds.) Applicants may satisfy this match requirement with either cash or in-kind services. The formula for calculating the match is:

Federal Award Amount = Adjusted (Total) Project Costs

## Federal Share Percentage

Required Recipient's Share Percentage x Adjusted Project Cost = Required Match

**Example:** 75%/25% match requirement: for a federal award amount of \$350,000, calculate match as follows:

$$\frac{\$350,000}{75\%} = \$466,667 \quad 25\% \times \$466,667 = \$116,667 \text{ match}$$

## Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants who receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. OJJDP will require award recipients to submit semiannual performance metrics of relevant data through the Data Reporting Tool (DCTAT) located at [www.ojjdp-dctat.org/](http://www.ojjdp-dctat.org/). Performance measures for this solicitation are as follows:

Objective	Performance Measures	Description	Data Grantee Provides
To increase the capacity of state courts to intervene with adults with substance use and/or co-occurring mental health disorders who are involved with the court as a result of child abuse and neglect issues.	Number of system-level initiatives implemented.	The number of current system-level initiatives implemented during the reporting period. Preferred data source is program records.	Number of current system-level initiatives.
	Number of Memoranda of Understanding developed.	The number of Memoranda of Understanding developed during the reporting period. Include all formal partnering or coordination agreements. Preferred data source is program records.	Number of MOUs developed.

	Number of professionals trained.	Number of program staff or other relevant youth-serving professionals trained during the reporting period. The number is the raw number of program staff receiving any formal training relevant to the program or their position as program staff. Include any training from any source or medium received during the reporting period as long as receipt of training can be verified. Training does not have to have been completed during the reporting period. Preferred data source is program records.	Number of program staff or other relevant professionals who participated in training.
	Number of hours of trained.	The number of training hours provided to program staff or other relevant youth-serving professionals during the reporting period. Training hours include both in-house and external training. Preferred data source is program records.	Total number of hours of training received.
	Number of program materials developed.	The number of program materials that were developed during the reporting	Number of material developed during the reporting period

		<p>period. Include only substantive materials such as program overviews, client workbooks, lists of local service providers. Do not include program advertisements or administrative forms such as sign-in sheets or client tracking forms. Program records are the preferred data source.</p>	
	<p>Number of planning activities conducted.</p>	<p>Number of system planning activities undertaken during the reporting period. Planning activities include creation of task forces or inter-agency committees, meetings held, needs assessments undertaken, etc. Preferred data source is program records.</p>	<p>Number of system planning activities undertaken</p>
	<p>Number of agency policies or procedures changed or amended</p>	<p>The number of cross-program or agency policies or procedures changed during the reporting period. A policy is a plan or specific course of action that guides the general goals and directives of programs and/or agencies. Include policies that are relevant to the topic area of the program or that affect program operations. Preferred data source is program records.</p>	<p>Number of program/agency policies changed or amended</p>

	Percent of staff trained in family drug court procedures	Number and percentage of program staff trained during the reporting period.	Number of staff trained.  Number of staff trained in family drug court procedure.
	Number of trainings conducted	Number of trainings conducted on racial and ethnic disparities.	Number of trainings conducted on racial and ethnic disparities.
	Number of program youth and/or families served	An unduplicated count of the number of individual youth and family members participating and served by the program during the reporting period. Definition of the number of youth and family members served for a reporting period is the number of program youth and family members carried over from previous reporting period, plus new admissions during the reporting period. Program records are the preferred data source.	Number of program youth/ families (by gender, race and ethnicity) carried over from the previous reporting period.  New admissions during the reporting period.

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Is Expected To Include” on page 15 for additional information.

## Project Evaluations

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations or statistical data collections should be aware that these activities (such as systematic investigations to develop or contribute to generalizable knowledge) may constitute research, which is defined as follows:

**Research** means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research for the purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities (28

C.F. R. § 46.102(d). The following information pertains to applications that propose to conduct research and involves human subjects:

DOJ regulations (28 C.F.R. Part 46) protect the human subjects of federally funded research. In brief, 28 C.F.R. Part 46 requires that an Institutional Review Board, in accordance with the regulations, review and approve most research involving human subjects that any federal department or agency conducts or supports before an award recipient may expend federal funds for that research. As a rule, persons who participate in federally funded research must provide their informed consent and must be permitted to terminate their participation at any time. Funding recipients, before they will be allowed to spend OJP funds on any research activity involving human subjects, must submit appropriate documentation to OJP showing compliance with 28 C.F.R. Part 46 requirements, as requested by OJP.

DOJ regulations (28 C.F.R. Part 22) require recipients of OJP funding to submit a Privacy Certificate as a condition of approval of any grant application or contract proposal that contains a research or statistical component under which information identifiable to a private person will be collected, analyzed, used, or disclosed. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect the confidentiality of identifiable data (28 C.F.R. § 22.23). The Department's regulations provide, among other matters, that: "Research or statistical information identifiable to a private person may be used only for research or statistical purposes (28 C.F.R. § 22.21)." Moreover, any private person from whom information identifiable to a private person is collected or obtained (either orally or by means of written questionnaire or other document) must be advised that the information will only be used or disclosed for research or statistical purposes and that compliance with the request for information is voluntary and may be terminated at any time (28 C.F.R. § 22.27).

OJP has developed a decision tree ([www.ojp.usdoj.gov/funding/pdfs/decision\\_tree.pdf](http://www.ojp.usdoj.gov/funding/pdfs/decision_tree.pdf)) to assist applicants in assessing whether an activity they plan to undertake with OJP funds may constitute research involving human subjects. **Applicants should review this decision tree and include a statement in their application narrative that clarifies if they intend to use any information from a project evaluation or data collection to contribute to generalizable knowledge or if they intend to use the information solely for internal improvements and/or to meet OJP's performance measures data reporting requirements.** If an application includes a research, demonstration evaluation, or statistical data collection component, OJP will examine that component to determine whether it meets the definition of research.

## What an Application Is Expected To Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, do not request funding within the funding limit, or do not include the application elements that OJJDP has designated to be critical will neither proceed to peer review nor receive further consideration. Under this solicitation, OJJDP has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet or Budget Narrative and a signed memorandum of understanding/agreement

regarding their support from the state child welfare agency and state substance abuse treatment agency.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Resumes”) for all attachments. Also, OJP recommends that applicants include resumes in a single file.

## 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP’s Grants Management System (GMS) take information from the applicant’s profile to populate the fields on this form.

## 2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Abstracts should be—

- written for a general public audience.
- submitted as a separate attachment with “Project Abstract” as part of its file name.
- single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

As a separate attachment, the abstract will **not** count against the page limit for the program narrative.

The abstract should include a brief description of the project’s purpose, the population to be served, and the activities that the applicant will implement to achieve the project’s goals and objectives. The abstract should describe how the applicant will measure progress toward these goals. The abstract should indicate whether the applicant will use any portion of the project budget to conduct research, as described in Project Evaluations on page 14.

All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

**Permission to Share Project Abstract with the Public.** It is unlikely that OJJDP will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a Web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP’s funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.



Note: OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### 3. Program Narrative

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative should be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use a standard 12-point font, preferably Times New Roman. Pages should be numbered “1 of 30,” etc. The tables, charts, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced and will count in the 30-page limit. Material required under the Budget and Budget Narrative and Additional Attachments sections will not count toward the program narrative page count. Applicants may provide bibliographical references as a separate attachment that will not count toward the 30-page program narrative limit. If the program narrative fails to comply with these length-related restrictions, OJJDP may consider such noncompliance in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) statement of the problem; (2) goals, objectives, and performance measures; (3) program design and implementation; and (4) capabilities/competencies. The applicant should clearly delineate the connections between and among each of these sections. For example, the applicant should derive the goals and objectives directly from the problems to be addressed. Similarly, the project design section should clearly explain how the program’s structure and activities will accomplish the goals and objectives identified in the previous section.

The following sections should be included as part of the program narrative.

- a. **Statement of the Problem.** Applicants should briefly describe the nature and scope of the problem that the program will address (e.g., drug-exposed newborns, reunification rates for children with substance abusing parents, lack of access to treatment services for parents, reentry rates, poor family functioning, etc.). The applicant should use data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document the effects of the problem on the target population and the larger community. Applicants should describe the target population and any previous or current attempts to address the problem.

Applicants should describe any research or evaluation studies that relate to the problem and contribute to the applicant’s understanding of its causes and potential solutions. While OJJDP expects applicants to review the research literature for relevant studies, they should also explore whether unpublished local sources of research or evaluation data are available.

- b. **Goals, Objectives, and Performance Measures.** Applicants should describe the goals of the proposed program and identify its objectives. When formulating the program’s goals and objectives, applicants should be cognizant of the performance measures that OJJDP will require successful applicants to provide.

**Goals.** Applicants should describe the program’s intent to change, reduce, or eliminate the problem noted in the previous section and outline the project’s goals.

**Program Objectives.** Applicants should explain how the program will accomplish its goals. Objectives are specific, quantifiable statements of the project's desired results. They should be clearly linked to the problem identified in the preceding section and measurable.

**Performance Measures.** OJJDP does not require applicants to submit performance measures data with their applications. Performance measures (see Performance Measures, page 11) are included as an alert that OJJDP will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

OJJDP encourages award recipients to use information from existing program records to fulfill performance measures reporting requirements rather than initiating new data collection activities for this purpose.

- c. Project Design and Implementation.** Applicants should detail how the project will operate throughout the funding period and describe the strategies they will use to achieve the goals and objectives identified in the previous section. Applicants should describe how they will complete the deliverables stated in the Goals, Objectives, and Deliverables section on page 8. Applicants should describe their commitment to statewide reform on how courts handle children and parents in the child welfare system affected by substance abuse and co-occurring mental health disorders.

Applicants should describe the family drug programs in the state including a description of:

- the use of scientifically based screening and assessment.
- the continuing judicial supervision over offenders, and other individuals under the jurisdiction of the court, with substance abuse problems who are not violent offenders.
- the consultation and coordination with appropriate state and local prosecutors, particularly when program participants fail to comply with program requirements.
- the services provided including substance abuse and mental health treatment, offender management, and aftercare services such as relapse prevention, health care, education, vocational training, job placement, housing placement, and child care or other family support services for each participant who requires services.
- the mandatory periodic testing for the use of controlled substance or other addictive substances during any period of supervised release or probation for each participant.
- the diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress.

The Drug Court Discretionary Grant Program authorizing statute requires participant payments for treatment and restitution; however, it does not allow imposing a fee on a client that would interfere with the client's rehabilitation. Applicants should include in their application provisions for determining if these costs would interfere with a client's rehabilitation or graduation.

In addition, applicants need to address the following requirements:

1. include a long-term strategy and detailed implementation plan that shall provide for the consultation and co-ordination with appropriate State and local prosecutors, particularly when program participants fail to comply with program requirements;
2. explain the applicant's inability to fund the program adequately without Federal assistance;
3. certify that the Federal support provided will be used to supplement, and not supplant, State, Indian tribal, and local sources of funding that would otherwise be available;
4. identify related governmental or community initiatives which complement or will be coordinated with the proposal;
5. certify that there has been appropriate consultation with all affected agencies and that there will be appropriate coordination with all affected agencies in the implementation of the program;
6. certify that participating offenders will be supervised by 1 or more designated judges with responsibility for the drug court program;
7. specify plans for obtaining necessary support and continuing the proposed program following the conclusion of Federal support; and
8. describe the methodology that will be used in evaluating the program.

This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project and discuss plans for sustainability beyond the grant period.

**Logic Model.** Applicants should include a logic model that graphically illustrates how the performance measures are related to the project's problems, goals, objectives, and design. Sample logic models are available at [www.ojdp.gov/grantees/pm/logic\\_models.html](http://www.ojdp.gov/grantees/pm/logic_models.html). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 24.

**Timeline.** Applicants should submit a realistic timeline or milestone chart that indicates major tasks associated with the goals and objectives of the project, assigns responsibility for each, and plots completion of each task by month or quarter for the duration of the award, using "Year 1," "Month 1," "Quarter 1," etc., not calendar dates (see "Sample Project Timelines" at [www.ojdp.gov/grantees/timelines.html](http://www.ojdp.gov/grantees/timelines.html)).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 24. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

- d. Capabilities and Competencies.** This section should describe the experience and capability of the applicant organization and any contractors or subgrantees that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing projects of similar design or magnitude. Applicants should highlight their experience/capability/capacity to manage subawards, including details

on their system for fiscal accountability. Management and staffing patterns should be clearly connected to the project design described in the previous section. Applicants should describe the roles and responsibilities of project staff and explain the program's organizational structure and operations. Applicants should include a copy of an organizational chart showing how the organization operates, including who manages the finances; how the organization manages subawards, if there are any; and the management of the project proposed for funding.

**Memoranda of Understanding/Agreement.** As described under Eligibility, page 4, applicants must provide signed and dated memoranda of understanding/agreement from the state child welfare agency and state substance abuse treatment agency as well as other partners. The memoranda of understanding should include:

- expression of support for the program and a statement of willingness to participate and collaborate with it based upon past effective collaboration or proposed new collaborative efforts that would build on past successes.
- description of the partner's current role and responsibilities in the planning process and expected responsibilities when the program is operational.
- estimate of the percentage of time that the partner will devote to the planning and operation of the project.

Applicants must indicate a readiness and willingness to change the way the state systems work together on behalf of families affected by substance use disorders and child maltreatment. The following will be considered in assessing the extent to which applicants have the sufficient infrastructure to support systems improvement and change efforts:

- **shared mission and vision.** The state Administrative Office of the Court applicant and its key partners representing child welfare, substance abuse treatment, attorneys, and other agencies, as appropriate, must have a shared mission and vision to define their joint work. State leadership must agree they will collaborate on behalf of all families in child welfare experiencing substance use disorders.
- **strength of state-level interagency collaborative relationships.** Effective collaboration and partnerships are essential to systems improvement and change. An effective state systems reform effort relies on the applicant having a well-established team with broad-based representation that includes the courts, child welfare, substance abuse treatment, attorneys, and other service agencies, as appropriate. Although family drug courts are part of the legal framework of the court, they must collaborate with these other agencies to provide the range of services and support to ensure child safety, sustained recovery for parents, and family stability and well-being. OJJDP will expect applicants to demonstrate experience and success in the following areas: (1) routine consultation and interaction with other agencies, (2) joint accountability and shared outcomes among agencies, (3) cross training and staff development, and (4) processes for communication and information sharing. Applicants that address how their partners' values and principles help or hinder their collaboration and that have agreements about shared costs and budgets are in the best position to pursue collaborative efforts on behalf of children and families.

- **leadership, support, and buy-in.** Systems change requires having supportive internal and external environments and strong agency leadership and champions to facilitate the desired change. The investment and commitment of department heads and other administrators is key to ensuring that staff members have the time, resources, and authority to make decisions on behalf of their agency. Buy-in should extend beyond the core partners to include important community-based organizations that support the multiple needs of parents, children, and families during family drug court program participation and in transitioning back to the community once they have completed services.
- **effective communication protocols for information sharing.** Systems change requires a continuous feedback loop that information systems provide. Effective, timely, and efficient communication with key stakeholders and the community is required to monitor cases, gauge family drug court effectiveness, ensure joint accountability, promote child safety, and engage and retain parents in recovery. The applicant should have formal data-sharing agreements, practices, or protocols in place to accommodate information exchange and/or data sharing across systems at both the case-level and aggregate level.
- **program evaluation and performance monitoring capacity.** The applicant has experience with and a solid foundation for evaluation, including the existence and use of cross-systems data for program monitoring and improvement. The applicant and key partners have agreed on goals and established performance measures. The applicant measures outcomes on a regular basis and uses evaluation results to guide and inform program policy and practice improvements. The applicant is able to collect contextual data that shows how the local family drug court target population fits in the context of the larger child welfare and substance abuse treatment systems. Further, the applicant and key partners have connected with existing outcome measurement initiatives (e.g., Child and Family Services Reviews (CFSRs) s, Court Improvement Program initiatives, Children’s Justice Assistance initiatives, etc.)
- **connections to parallel initiatives.** Being part of the system means knowing how family drug courts complement other child welfare, substance abuse treatment, and related community initiatives. The applicant identifies and discusses how efforts to expand the scale of family drug court practices relates to parallel initiatives/reforms at the state level and how this family drug court system reform effort may link to those other institutional or system improvements in the courts, child welfare, treatment, and other agencies. Where applicable, applicants should describe how they currently work with or propose to work with other collaborative courts (such as a veterans treatment court or mental health court) to serve overlapping populations.
- **prior success with practice and systems improvement.** The applicant has a track record or history of engaging in systems improvements and program adaptations to enhance family drug courts’ effectiveness and capacity to reach and serve families. The applicant has adapted strategies, as needed, in response to emerging client needs, new evidence, contextual changes, etc., and provides examples of how the local family drug courts have already had an impact on the broader systems of care. Applicants and their key partners have identified barriers to systems change/improvements. They share information about institutional barriers and see them as targets for change.

- **implemented funding and sustainability strategies.** Systems change accepts that funding and staffing resources are critical for institutional change. Family drug courts must have access to the full range of funding, staffing, and community resources to sustain and institutionalize their innovative approaches over the long term. The applicant addresses sustainability of family drug court practices on a continual basis, using outcomes and cost savings to drive decisions. Sustainability planning addresses financial needs and support from a broad range of stakeholders.
- **established governance structure.** Applicants need a governance structure that ensures ongoing commitment from policymakers, managers, community partners, and operational staff members. The governance structure should include an oversight committee composed of agency leaders from the key partnering agencies. These leaders must have decisionmaking authority on behalf of their agencies and expertise to facilitate successful systems reforms and guide overall collaborative operations. Further, members must have sufficient time to participate in collaborative meetings, build cross-systems relationships, and address systems change issues and barriers.
- **evidence of the effectiveness of family drug court services to be scaled up.** The applicant must demonstrate that local family drug courts have achieved desired results, as defined across partner agencies. Effective practices likely include but are not limited to:
  - early Identification and assessment processes. Effective family drug courts identify participants early in the dependency case process, use screening and assessment to determine the needs and strengths of parents, children, and families and identify the most appropriate treatments and other services based on these needs and strengths. This may include jointly developed policies and practices for consistent and standardized screening and assessment of substance use issues among families in child welfare, the developmental and therapeutic service needs of children, and the parenting and other service needs of parents.
  - comprehensiveness and appropriateness of existing substance abuse treatment and related supportive services for parents and families. Family drug courts provide early access to substance abuse treatment to parents with the essential clinical and community treatment and support services they need. Policies and procedures are in place to ensure parents obtain timely access to treatment that is appropriate for their needs (e.g., family-centered, trauma-informed, gender-responsive, culturally appropriate, addresses cooccurring mental disorders). Specialized strategies, including the use of recovery support specials or substance abuse treatment navigators, exist to successfully engage and retain parents in treatment, including adequate support services and aftercare.
  - services that address the needs of parents. Family drug court partner agencies encourage parents to complete the recovery process and help them meet treatment goals and child welfare and court requirements. Judges respond to parents in a timely way that supports continued engagement in recovery. By working toward permanency and using active client engagement, accountability, and behavior change strategies, the entire family drug court team ensures that each parent has access to a broad scope of services.

- services include evidence-based or evidence-informed parenting interventions appropriate for the specific needs of parents with substance use disorders and the ages of their children, and qualified staff provide them with fidelity. A logical pathway or client flow exists for how and when parents participate in these services; processes are in place to ensure they are connected to the appropriate parenting services.
- services that address the direct needs of children. Family drug courts must address the physical, developmental, social, emotional, and cognitive needs of the children they serve through prevention, intervention, and treatment programs. Family drug courts must implement a holistic and trauma-informed perspective to ensure that children receive effective, coordinated, and appropriate services. There are processes for linking children to intervention and treatment services that address their identified needs. A logical pathway or client flow exists for how and when families access these services, and qualified staff provide services.

#### 4. Budget Detail Worksheet and Budget Narrative

Applicants should provide a budget that (1) is complete, allowable, and cost-effective in relation to the proposed activities; (2) shows the cost calculations demonstrating how they arrived at the total amount requested; and (3) provides a brief supporting narrative to link costs with project activities. The budget should cover the entire award period.

Applicants should budget for a two day grantee meeting in Washington DC in year one and in year two.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

- Budget Detail Worksheet.** A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants who submit their budget in a different format should include the budget categories listed in the sample budget worksheet.
- Budget Narrative.** The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but

need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition**

**Threshold.** If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [OJP Financial Guide](#).

**5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants who do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For assistance with identifying your cognizant agency, contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

**6. Applicant Disclosure of High Risk Status**

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must e-mail the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- the federal agency that currently designated the applicant as high risk.
- date the applicant was designated high risk.
- the high risk point of contact name, phone number, and email address, from that federal agency.
- reasons for the high risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

**7. Additional Attachments**

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their applications. While the materials listed below are not assigned specific point values, peer reviewers will, as appropriate, consider these items when rating



applications. For example, reviewers will consider résumés and/or letters of support/memoranda of understanding when assessing “capabilities/competencies.” Peer reviewers will not consider any additional information that the applicant submits other than that specified below.

- a. Applicant disclosure of pending applications.** Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- the federal or state funding agency.
- the solicitation name/project name.
- the point of contact information at the applicable funding agency.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; <a href="mailto:jane.doe@usdoj.gov">jane.doe@usdoj.gov</a>
HHS/Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; <a href="mailto:john.doe@hhs.gov">john.doe@hhs.gov</a>

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

- b.** logic model (see Logic Model, page 19)
- c.** timeline or milestone chart (see Timeline, page 19)
- d.** résumés of all key personnel

- e. job descriptions outlining roles and responsibilities for all key positions
- f. memoranda of understanding/agreement from the state child welfare agency and state substance abuse treatment agency as well as other partner organizations (see Memoranda of Understanding/Agreement, page 20).

## 8. Accounting System and Financial Capability Questionnaire

Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years must download, complete, and submit this [form](#).

## Selection Criteria

1. Statement of the Problem (10 percent)
2. Goals, Objectives, and Performance Measures (10 percent)
3. Project Design and Implementation (40 percent)
4. Capabilities and Competencies (30 percent)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>6</sup> (10 percent)

See What an Application Is Expected To Include, page 15, for the criteria that the peer reviewers will use to evaluate applications.

## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. OJJDP reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. OJJDP may use internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer, in consultation with OJJDP, reviews applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants, examines proposed costs to determine if the Budget Detail Worksheet and Budget

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<sup>6</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

Narrative accurately explain project costs, and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-Profit Organizations

- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

## How To Apply

Applicants must register in, and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants who experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJJDP strongly encourages all prospective applicants to sign up for Grants.gov e-mail notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be notified.

**Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov is designed to forward successfully submitted applications to OJP’s Grants Management System (GMS).**

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
Hyphen ( - )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Space	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Period ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;#amp;” format.</b>		

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization’s AOR. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.585, titled “*Drug Court Discretionary Grant Program*,” and the funding opportunity number is OJJDP-2014-3926.
- 6. Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants who expend any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities* (SF-LLL).

Applicants who do not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields.

- 7. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

**Note: Duplicate Applications.** If an applicant submits multiple versions of an application, OJJDP will review only the most recent valid version submitted.

### **Experiencing Unforeseen Grants.gov Technical Issues**

Applicants who experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the OJJDP contact identified in the Contact Information section on page 1 **within 24 hours after the application deadline** and request approval to submit their applications. The e-mail must describe the technical difficulties and include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: OJJDP does not automatically approve requests.** After OJJDP reviews the submission and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant’s request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- failure to register in SAM or Grants.gov in sufficient time.
- failure to follow Grants.gov instructions on how to register and apply as posted on its Web site.
- failure to follow each instruction in the OJP solicitation.
- technical issues with the applicant’s computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## Provide Feedback to OJP

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to [ojpeerreview@lmbps.com](mailto:ojpeerreview@lmbps.com). The OJP Solicitation Feedback e-mail account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

## Application Checklist

### OJJDP FY 2014 Family Drug Court Statewide System Reform

This application checklist has been created to assist you in developing an application.

#### What an Applicant Should Do:

##### *Prior to Registering in Grants.gov:*

- \_\_\_\_\_ Acquire a DUNS number (see page 29)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 29)

##### *To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 29)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 29)

##### *To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 29)
- \_\_\_\_\_ Download Funding Opportunity and Application Package
- \_\_\_\_\_ Sign up for Grants.gov e-mail notifications (optional) (see page 28)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

#### General Requirements:

- \_\_\_\_\_ Review "[Other Requirements](#)" Web page

#### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit of \$500,000.

#### Eligibility Requirement:

- \_\_\_\_\_ State Administrative Office of the Court, working in conjunction with and coordinating closely with the state's Court Improvement Program.
- \_\_\_\_\_ Application is submitted jointly with the state child welfare agency and state substance abuse treatment agency.

#### What an Application Is Expected to Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)
- \_\_\_\_\_ Project Abstract (see page 16)
- \_\_\_\_\_ Program Narrative (see page 17)
- \_\_\_\_\_ Budget Detail Worksheet (see page 23)
- \_\_\_\_\_ Budget Narrative (see page 23)
  - \_\_\_\_\_ Employee Compensation Waiver request and justification (see page 9)
  - \_\_\_\_\_ Read OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm) (see page 10)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 28)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 24)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 24)



- \_\_\_\_\_ Additional Attachments (see page 24)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications
  - \_\_\_\_\_ logic model (see page 19)
  - \_\_\_\_\_ timeline or milestone chart (see page 19)
  - \_\_\_\_\_ résumés of all key personnel
  - \_\_\_\_\_ job descriptions outlining roles and responsibilities for all key positions
  - \_\_\_\_\_ memoranda of understanding/agreement from the state child welfare agency and state substance abuse treatment agency as well as other partners (see page 20)
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (see page 26)