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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) (OJJDP) is seeking applications for the fiscal year (FY) 2016 Family Drug Court Implementation and Enhancement Program. This program furthers the Department's mission by supporting states and communities as they develop and implement effective and coordinated substance abuse intervention programs.

## **OJJDP FY 2016 Family Drug Court Implementation and Enhancement Program**

### **Applications Due: May 31, 2016**

#### **Eligibility**

Eligible applicants under both categories are limited to states (including territories), state and local courts, units of local government, and federally recognized tribal governments (as determined by the Secretary of the Interior). Faith- and community-based, nonprofit, and for-profit organizations are ineligible as applicants, but OJJDP encourages them to partner with eligible applicants as a community provider of services, if applicable and appropriate. Eligible applicants must provide direct services to youth who are younger than 18 years of age and to their parents.

An eligible applicant may designate a subunit of government (for example, county probation department, district attorney's office, or pretrial services agency) as the authorized representative. Another example, the county executive may designate the county probation or district attorney's office as its representative when applying for this grant. In such cases, the applicant must submit an authorization letter from the eligible agency or organization.

OJJDP welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity that will administer the funding and manage the entire project. OJJDP will consider only one application per lead applicant; however, subrecipients may be part of multiple proposals.

This solicitation is composed of two grant categories. Applicants must clearly designate under which category they are applying.

**Category 1: Implementation.** Implementation grants are available to jurisdictions that are ready to implement a family drug court. These are for jurisdictions where either no family drug court currently exists or a family drug court has been operational for less than 1 year. Jurisdictions may already have other types of drug or treatment courts (such as adult drug or mental health courts).

**Category 2: Enhancement.** Enhancement grants are available to jurisdictions with a fully operational (for at least 1 year) family drug court that wish to enhance the operation of the court.

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

For additional eligibility information, see Section [C. Eligibility Information](#).

## Deadline

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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time (ET) on May 31, 2016.

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

For additional information, see [How To Apply](#) in section D. Application and Submission Information.

## 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 application by the deadline must e-mail the OJJDP contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How To Apply](#) section.

For assistance with any other requirements of this solicitation, contact the Response Center by telephone at 800-851-3420 or TTY: 301-240-6310 (Hearing impaired only), by e-mail at [grants@ncjrs.gov](mailto:grants@ncjrs.gov), or by [web chat](#). Response Center hours of operation are 10 a.m. to 6 p.m. ET, Monday through Friday, and 10 a.m. to 8 p.m. ET on the solicitation close date. Answers to frequently asked questions that may assist applicants are posted at [www.ojjdp.gov/grants/solicitations/FY2016/FAQ/FamilyDrugCourtFAQ.pdf](http://www.ojjdp.gov/grants/solicitations/FY2016/FAQ/FamilyDrugCourtFAQ.pdf).

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# Contents

A. Program Description .....	4
Overview .....	4
Goals, Objectives, and Deliverables .....	6
Family Engagement .....	6
Evidence-Based Programs or Practices .....	6
B. Federal Award Information.....	7
Type of Award.....	7
Financial Management and System of Internal Controls.....	8
Budget Information.....	8
Cost Sharing or Matching Requirement.....	8
Preagreement Cost Approvals .....	9
Limitation on Use of Award Funds for Employee Compensation; Waiver .....	9
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	10
Costs Associated with Language Assistance (if applicable) .....	10
C. Eligibility Information.....	10
Limit on Number of Application Submissions.....	10
D. Application and Submission Information .....	10
What an Application Should Include .....	10
How To Apply.....	31
E. Application Review Information.....	34
Selection Criteria.....	34
Review Process .....	35
F. Federal Award Administration Information .....	36
Federal Award Notices .....	36
Administrative, National Policy, and Other Legal Requirements .....	37
General Information about Post-Federal Award Reporting Requirements .....	37
G. Federal Awarding Agency Contact(s) .....	38
H. Other Information.....	38
Provide Feedback to OJP .....	38
Appendix A: Key Components of Drug Courts .....	39
Appendix B: Common Characteristics of Family Dependency Treatment Courts .....	40
Application Checklist.....	41

# OJJDP FY 2016 Family Drug Court Implementation and Enhancement Program (CFDA #16.585)

## A. Program Description

### Overview

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) will award funding to enhance the capacity of family drug courts. The Family Drug Court Implementation and Enhancement Program builds the capacity of states, state and local courts, units of local government, and federally recognized tribal governments to either implement new drug courts or enhance pre-existing drug courts for individuals with substance abuse disorders or substance use and cooccurring mental health disorders, including histories of trauma, who are involved with the family dependency court as a result of child abuse, neglect, and other parenting issues. Applicants must provide services to the parents in the program and their children. OJJDP expects successful applicants to develop and implement a sustainability plan during the grant period to continue operation of the family drug court when the grant ends.

This program is authorized by 42 U.S.C. 3797u, et seq.

### 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 cooccurring mental health disorders who are involved with the family dependency court as a result of child abuse and neglect issues. Proposed projects must provide services to parents in the program and their children.

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, 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) there occurred the use of force against another person, without regard to whether any of the circumstances described at (A) or (B) 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). The term violent offender also 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, pending compliance, if DOJ determines that violent offenders, as that term is

described at 42 U.S.C. 3797u et seq., are participating in any program funded under this solicitation.

The authorizing statute, 42 U.S.C.3797u(c)(1), requires mandatory periodic drug testing. Each participant must be tested for every controlled substance that he or she 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.

Applicants should review and reference the *Ten Key Components of a Drug Court* (see Appendix A on page 39) and the *Common Characteristics of Family Dependency Treatment* (see Appendix B on page 40) and use them as a guide.

This solicitation offers two family drug court grant categories. Applicants must clearly designate under which category they are applying.

**Category 1: Implementation** grants are available to jurisdictions that are ready to implement a family drug court. These are for jurisdictions where either no family drug court currently exists or a family drug court has been operational for less than 1 year. Jurisdictions may already have other types of drug or treatment courts (such as adult drug or mental health courts). Applicants must address all eight components outlined below.

**Category 2: Enhancement** grants are available to jurisdictions with a fully operational (for at least 1 year) family drug court that wish to enhance the operation of the court. Applicants must address each of the eight components outlined below and explain the extent of any categories that they have already implemented.

All applicants must address each of the following eight components: (see Program Design and Implementation, page 17):

1. Collaborative planning.
2. Eligibility, engagement, and screening.
3. Assessment, service delivery, and case management (including services for children, parents, and families).
4. Program design and duration.

5. Continuing judicial supervision.
6. Mandatory drug testing and monitoring.
7. Staff training.
8. Management information systems and evaluation.

### **Purpose**

The purpose of the program is to build the capacity of states, state courts, local courts, units of local government, and federally recognized tribal governments either to implement new or enhance pre-existing drug courts for substance-abusing adults involved with the family dependency court as a result of child abuse and neglect issues.

### **Goals, Objectives, and Deliverables**

The program's goal is to provide substance-abusing parents 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 courts to intervene with substance-abusing adults and adults with co-occurring mental health disorders who are involved with the court as a result of child abuse and neglect issues.

### **Family Engagement**

OJJDP envisions a transformed juvenile justice system that recognizes and builds upon the strengths, values, and diversity of families and communities to best serve the children and youth who come into contact with the system and to improve both safety and quality of life for all. This system will honor and support families before, during, and after their children have contact with the system.

Applicants should describe how the proposed program will include a family engagement component.

### **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.
- Integrating evidence into program, practice, and policy decisions within OJP and the field.
- 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. The [OJP CrimeSolutions.gov](http://OJP.CrimeSolutions.gov) website and OJJDP's [Model Programs Guide](#) website are two resources that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services. The following two websites are additional resources:

- Substance Abuse and Mental Health Services Administration's [Guide to Evidence-Based Practices](#).
- [National Registry of Evidence-Based Programs and Practices](#).

### **Additional Resources**

OJJDP encourages applicants to review the recommendations from the [Attorney General's National Task Force on Children Exposed to Violence](#) and the [Attorney General's Advisory Committee on American Indian/Alaska Native Children Exposed to Violence](#) and the National Research Council's [Reforming Juvenile Justice: A Developmental Approach](#) and [Implementing Juvenile Justice Reform](#) and consider incorporating the recommendations into their applications, where applicable.

## **B. Federal Award Information**

OJJDP expects to make as many as three awards per category for as much as \$400,000 to \$600,000 for an estimated total of \$1.95 million for a 36-month project period, beginning on October 1, 2016.

**Category 1: Implementation Grants.** The request for federal funds must not exceed \$600,000.

**Category 2: Enhancement Grants.** The request for federal funds must not exceed \$400,000.

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

### **Type of Award<sup>1</sup>**

OJJDP expects to make any award from this solicitation in the form of a grant.

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<sup>1</sup> See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

## Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>2</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor the recipient’s (and any subrecipient’s) compliance with statutes, regulations, and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the recipient (or any subrecipient) considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice [Grants Financial Management Online Training](#).

## Budget Information

### Cost Sharing or Matching Requirement

Federal funds awarded under this program may not cover more than 75 percent of the total costs of the project. Applicants must identify the source of the 25 percent non-federal 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:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

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<sup>2</sup> For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.



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:

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

For additional cost sharing and match information, see Section [C. Eligibility Information](#).

### **Preagreement Cost Approvals**

Preagreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does not typically approve preagreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, preagreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as preagreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more 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.<sup>3</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with nonfederal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless applicants submit a waiver request and justification with their applications, they should anticipate that OJP will request that they adjust and resubmit the budget.

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

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<sup>3</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

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 that 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. 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 conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training 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 under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For additional eligibility information, see the title page.

For additional information on cost sharing or matching requirements, see [Section B. Federal Award Information](#).

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, OJJDP will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How To Apply](#).

## **D. Application and Submission Information**

### **What an Application Should 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 that 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.

Applicants should review the “Note on File Names and File Types” under [How To Apply](#) to be sure that they submit their applications in the permitted formats.

*OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés 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. When selecting “type of applicant,” if the applicant is a for-profit entity, select “For-Profit Organization” or “Small Business” (as applicable).

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

## 2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project 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 project abstract will **not** count against the page limit for the program narrative.

The abstract should briefly describe the project’s purpose, the category the applicant is applying under, 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 Note on Project Evaluations on page 17. All project abstracts should follow the [detailed template](#).

**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 webpage available to the public. This public posting would allow other possible funders to become aware of such proposals.

The abstract template asks applicants to indicate whether they give OJP permission to share their project 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.** To demonstrate program progress and success, as well as, 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 that 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, post award, to submit quarterly performance metrics of relevant data through the [Data Reporting Tool](#). Performance measures for this solicitation are as follows:

Objective	Performance Measure	Description	Data Grantee Provides
Increase the capacity of courts to intervene with substance-abusing adults and adults with co-occurring mental health disorders who are enrolled with the court as a result of child abuse and neglect issues.	Number of enrolled parents or guardians served during the reporting period.	An unduplicated count of the number of enrolled parents or guardians served by the program during the reporting period. Program records are the preferred data source.	Number of enrolled parents or guardians carried over from the previous reporting period.  New admissions during the reporting period, by gender, race and ethnicity.
	Number of additional family members served during the reporting period.	An unduplicated count of the number of additional family members (youth and adults) served by the program during the reporting period. Program records are the preferred data source.	Number of additional family members carried over from the previous reporting period.  New admissions during the reporting period.

<p>Number of enrolled parents or guardians with whom an evidence-based program or practice was used.</p>	<p>The number of enrolled parents or guardians served with whom an evidence-based program or practice was used. These include programs that have been shown, through rigorous evaluation and replication, to be effective at preventing or reducing substance abuse. Model programs can come from many valid sources (e.g., Blueprints for Violence Prevention, OJJDP's Model Programs Guide, SAMHSA's Model Programs, state model program resources, etc.).</p>	<p>Number of enrolled parents or guardians served using an evidence-based program or practice.</p> <p>Total number of enrolled parents or guardians served during the reporting period.</p>
<p>Number (by type) of services provided to enrolled parents or guardians and additional family members.</p>	<p>This measure is designed to assess both need and program capacity.</p> <p>Report the number of parents or guardians and additional family members who are assessed as needing various types of services during the reporting period, and also the number of parents or guardians and additional family members who actually receive various services during the reporting period.</p>	<p>Number of services provided by type and to whom (parents or guardians and additional family members).</p> <p>Services may include substance use/counseling services, mental health services, housing, or other services.</p> <p>A comprehensive list of services is available online at <a href="https://www.ojjdp-dctat.org/help/FDCPGGrid.pdf">https://www.ojjdp-dctat.org/help/FDCPGGrid.pdf</a></p>
<p>Number and percent of parents or guardians and additional family members who have exhibited a desired change in the targeted behavior during the reporting period (short and long term).</p>	<p>The number and percent of parents or guardians and additional family members who have exhibited a desired change in the targeted behavior during the reporting period or 6- 12 months post program completion.</p> <p>Behaviors targeted will depend on specific program goals and activities and may include job skills, employment status, etc.</p>	<p>Number of parents or guardians and additional family members served during the reporting period with the noted behavioral change.</p> <p>Total number of parents or guardians and additional family members receiving services for the target behavior during the reporting period.</p>

<p>Number of drug/ alcohol tests performed on enrolled parents or guardians.</p>	<p>The number of drug and alcohol tests performed on enrolled parents or guardians served by the program during the reporting period. Tests could be urinalysis, blood tests, or other proven reliable forms of drug and alcohol testing. Report the number of TESTS conducted, rather than the number of people tested (it's understood that one person may be tested several times or tested using several methods during a reporting period).</p>	<p>Number of drug and alcohol tests performed on enrolled parents or guardians during the reporting period.</p> <p>The number of positive tests recorded.</p>
<p>Number of enrolled parents or guardians arrested for technical violations.</p> <p>Number of enrolled parents or guardians arrested for a new drug offense</p>	<p>The number of enrolled parents or guardians who were arrested for violations of the family drug court conditions, short- and long-term.</p> <p>The number of enrolled parents or guardians who were arrested for a new drug offense, short and long term.</p> <p>Short-term refers to time during program participation and long term refers to 6 to 12 months post-program completion.</p>	<p>Number of enrolled parents or guardians arrested for a new technical violation during the reporting period.</p> <p>Number of enrolled parents or guardians tracked for a new technical violation 6-12 months after exiting the program.</p> <p>Number of enrolled parents or guardians arrested for a new drug offense during the reporting period.</p> <p>Number of enrolled parents or guardians arrested for new drug offenses 6-12 months after exiting the program.</p>
<p>Number of enrolled parents or guardians who successfully exit the court.</p>	<p>The number of enrolled parents or guardians who have successfully met all the court obligations and requirements.</p> <p>Program obligations will vary by program, but should be a predefined list of obligations or requirements that participants must meet before completion.</p> <p>Court records are the preferred data source. The total number of enrolled parents and guardians includes those enrolled parents and guardians who have exited successfully as well as those who have exited unsuccessfully.</p>	<p>Number of enrolled parents or guardians who exited the court having completed all requirements during the reporting period.</p> <p>Total number of enrolled parents or guardians who exited the court during the reporting period (either successfully or unsuccessfully).</p>

	Average length of program stay for enrolled parents or guardians.	The average length of time (in days) that enrolled parents or guardians remain in the program regardless of reasons for exit. Include data for participants who both complete program requirements prior to program exit and those who do not. Program records are the preferred data source. Program refers to the day the participant entered the court to the day they exited the court.	Total number of parents or guardians who exited the program regardless of reason for exit during the reporting period.  Total number of days in the program for parents or guardians who exited the program regardless of reason for exit during the reporting period.
	Number of children placed in out of home care.	An unduplicated count of the number of children who were placed in out of home care during the reporting period.	Number of children served during the reporting period, by gender, race and ethnicity.  Number of children placed in out of home care during the reporting period.
	Average length of stay for children in out of home care.	The average length of time (in days) that children remain in out of home care during the reporting period. Program records are the preferred data source.	Total number of days between entering and exiting out of home care during the reporting period.  Number of children placed in out of home care during the reporting period.
	Number of children reunited after being removed from the home and placed in temporary placement.	An unduplicated count of the number of children who were reunited with parents or guardians after being removed from the home and placed in temporary placement during the reporting period.	Number of children removed from their parents' or guardians' home during the reporting period.  Number of children reunited with their parents or guardians after being removed from the home.
	Number of parents or guardians whose parental rights were terminated.  Number of children in permanent placement.	An unduplicated count of the number of parents or guardians whose parental rights were terminated during the reporting period.  An unduplicated count of the number of children in permanent placement during the reporting period.	Number of parents or guardians whose parental rights were terminated during the reporting period.  Number of parents or guardians in the program  Number of children awaiting permanent placement.  Number of children in permanent placement during the reporting period.



OJJDP does not require applicants to submit performance measures data with their application. Performance measures 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.

### **Note on Project Evaluations**

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subject’s protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the [“Research and the Protection of Human Subjects”](#) section of the [OJP Funding Resource Center](#) webpage. Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

**Project Design and Implementation.** Applicants should detail how the project will operate throughout the funding period and describe the strategies that 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 6. OJJDP encourages applicants to select evidence-based practices for their programs.

This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project. Applicants should identify any other federal, state, or private foundation grants that serve the same local area and target population.

In addition, applicants must address each of the eight components outlined below:

## **(1) Collaborative Planning**

- Describe steps taken to engage stakeholders, including government and community entities. Describe the planning process, its participants, major milestones accomplished, and commitments obtained for the continuing involvement of these participants. Identify related governmental or community initiatives that complement or will be coordinated with the proposal.
- Discuss how a shared mission was developed based on common grounds and principles and how the agencies and staff can work together to best ensure family reunification and permanency and a safe and stable home for children with parents in recovery.
- Describe a long-term strategy and detailed implementation plan that provides for consultation and coordination with appropriate state and local prosecutors, particularly when participants fail to comply with program requirements.
- 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.
- Discuss the governance structure and decision making process that is in or will be in place for policy changes and oversight of the family drug court program.
- Describe the inability to fund the program adequately without federal assistance and certify that federal support will be used to supplement, not supplant, state, tribal, or local sources of funding that would otherwise be available.

## **(2) Eligibility, Engagement, and Screening**

- Define the target population and eligibility criteria aligned with the program's goals and objectives. To the extent possible, this should include support for parents with substance use disorders and with co-occurring mental health problems, learning disorders, and histories of trauma. This may necessitate the development of approaches to include and support parents to participate in family drug court while they are using prescribed medications for mental health disorders or medication assistance for opiate addiction.
- Describe how the nature and extent of any substance use disorder is determined and what (mode of treatment) level of care is clinically appropriate.
- Specify drugs of choice and substance use patterns of the target population.
- Note any recent or emerging trends.
- Specify strategies to improve the engagement of parents in family drug court.

- OJJDP encourages applicants to identify efforts to promote parental engagement. For example, discuss the use of recovery coaches/mentors/specialists, skills such as motivational interviewing and strength-based approaches to work with families, and use of process improvement analyses of client drop-off points through the program and strategies to address the findings.
- Provide specific engagement and retention strategies to ensure families' and parents' stay in treatment for a sufficient period to keep them on track in meeting recovery needs.
- Explain how, when, and by whom eligible adult clients are identified, screened, and referred to the family drug court. Identify the screening instrument(s) for substance use disorders and co-occurring mental health disorders. If all individuals under court supervision for child abuse and neglect are not routinely screened for substance use and mental health disorders, explain what triggers such screening and possible changes to the procedures.
- Indicate the average length of time between when child welfare substantiates the case and files a dependency petition and the client first appears in family drug court and enrolls in treatment. Describe any plans to shorten these time frames.
- Describe how applicants will determine the capacity of the family drug court and what process they will use to ensure that they reach and maintain the capacity. Specify the number of children, parents, foster parents, or other family members to be served per year.

### **(3) Assessment, Service Delivery, and Case Management**

- Explain the process and criteria that will be used to conduct a comprehensive clinical assessment of the client, children, and family for substance use, mental health disorders, parenting capacity, trauma, and family functioning. Identify the individuals or agencies who will conduct these tasks and specify the time period for conducting the initial and subsequent assessments and the instruments to be used.
- Describe how the assessment will be used to develop treatment plans and match treatment needs with services.
- Describe the role of the substance abuse treatment, medical, mental health, trauma, social services, domestic violence, housing, legal, and employment-related services with the family drug court and how available community resources will be used to provide for the needs of the families in the program.
- Describe how services will be delivered, with specific reference to the following issues:

Services for parents:

- Specify the treatment providers who will deliver services and the specific interventions that they will employ (i.e., treatment modality, structure, levels of care).
- Specify a plan for parental engagement that ensures parents/guardians have or will have a voice in developing support services. Services to the adults may include parenting skills, mental/physical health services, and any other services to improve the parents' ability to regain and maintain custody of their children. However, OJJDP encourages applicants to describe how parents will have a voice in the development of the family drug court support service plan and how they will play a role in developing policy that the program will operate under. This may be reflected in manuals, handbooks, etc.
- Describe how treatment, discharge, and aftercare plans are developed, and explain how interventions will be evidence-based and tailored to the individual needs of the client, be gender appropriate, trauma informed, and culturally competent.
- For parents with co-occurring mental health problems that the family drug court cannot support, describe how the grant will provide for enhanced case coordination to support access to mental health services.
- Describe how the long-range recovery support needs of families will be met.
- Explain how the family drug court and partners will monitor the quality and effectiveness of the treatment services.
- Describe evidence-based strategies to address women's experience of trauma (e.g., seeking safety, trauma recovery, and empowerment, etc.).
- Describe how the family drug court parents are screened for primary health concerns and how services are coordinated to meet their needs.

#### Services for children:

- Describe how services will be coordinated with the child welfare agency around safety planning, reunification, and/or other permanent placements.
- Describe services to meet children's mental health needs, including attention to the trauma-informed service needs of children and services to address the long-term impact of parents' substance abuse disorders on the children.
- Describe how children are screened, assessed, and provided treatment and other services based on their unique developmental, social, and cognitive needs.
- Describe how children are screened, assessed, and provided treatment or linkages to resources for trauma-informed services. Specify what evidence-based programs are used to meet this need.

- Describe how children will be linked to primary medical and dental care.
- Describe how children, including those known to be substance-exposed during pregnancy, will be assessed and provided services for developmental delays across a spectrum of childhood development indicators, such as linguistic, motor, and cognitive processing skills.
- Specify evidence-based early intervention and preventive services that might be provided to address the increased risk for intergenerational abuse and dependence on alcohol and other drugs.
- Describe any use of home visiting services, if planned.

Services for families:

- Describe evidence-based family and parenting interventions for children of parents with substance use disorders and their parents (e.g., Celebrating Families, Nurturing Families, Strengthening Families, Parent-Child Psychotherapy, etc.).
- Describe strategies to strengthen parent-child bonding, such as mentoring programs, home visits, and supervised visits as well as family counseling to strengthen family functioning and assist with reunification of families when children have been in out-of-home placements.
- Describe linkages to ancillary services for families to assist them in securing services, such as safe and drug-free housing, transportation, vocational training and education, government benefits, legal services, and child care.
- Specify plans to coordinate with domestic violence prevention/intervention services.
- Describe training for foster parents, relatives, and other substitute caregivers about the special needs of children and youth who have been abused or neglected and whose parents have a substance use disorder.
- Describe how families are screened, assessed, and provided treatment or linkages to resources for trauma services. Specify what evidence-based programs are utilized to meet this need.

Case management:

- Specify who will provide case management, what services will be provided, how frequently cases will be monitored, and the expected average caseload per case manager. Discuss how case management services will be coordinated, especially for parents with multiple case managers (such as those on formal probation).

- Describe how information from each system impacting the family will be shared to promote child safety, engagement, and retention of parents in recovery, and to measure program effectiveness.
- Describe the process in which families are connected with community-based organizations to support comprehensive needs and to provide on-going support after formal services have ended.

#### **(4) Program Design and Duration**

- Describe how the family drug court will be structured (i.e., pre-adjudication, post-adjudication, post-disposition, or a combination thereof) and the anticipated average length of participation.
- Describe the various phases of the family drug court program and the requirements for the client to proceed from one phase to another.
- Describe the family drug court model that is or will be used (i.e. an integrated court model [same court and judge hears the dependency and recovery matters] or parallel court model [one court/judge hears the dependency matter and a different judge in a different court hears the recovery component]).
- Indicate the requirements for successful completion of the program.
- Explain under what circumstances a program would terminate a client.
- Explain the use of incentives and sanctions in response to behaviors.
  - Describe how the family drug court will respond to participant behavior or use incentives and sanctions and guidelines to apply them.
  - Indicate behaviors (e.g., positive urine tests, missed counseling sessions, completion of milestones) that are eligible for incentives or sanctions during each program phase.
  - Indicate methods used to develop incentives and sanctions and whether consideration was given to research that demonstrates which are effective for the target population.
- Describe how the program will be integrated within the dependency court process and how it will help the court comply with the permanency placement timeframes that the Adoption and Safe Families Act of 1997 mandates.
- Specify plans to obtain necessary support and continue the proposed program following the conclusion of federal support. (See 42 U.S.C. 3797u-3(d)(7)).
- Describe a sustainability plan to develop multi-year stability for the program to maintain its innovative approaches in services for parents and children.

Explain how the program will leverage cross-system resources and access opportunities for expanded funding. If possible, note any cost savings or a cost.

#### **(5) Continuing Judicial Supervision**

- Specify how frequently the client appears before the judge.
- Describe how the initial schedule or frequency of hearings is linked to a client's needs or risk assessment. Explain what criteria are used to determine whether to increase or decrease the frequency of hearings.
- Indicate whether the family dependency drug court team meets before scheduled status hearings to review and discuss the progress of clients. If not, explain how this information is communicated to the judge and the team.
- Explain the process by which information is exchanged between team members in preparation for the status hearings. Indicate who, in addition to the client and judge, participates in the hearings.
- Certify that one or more designated judges with responsibility for the drug court program will supervise participants. See 42 U.S.C. 3797u-3(d)(6).

#### **(6) Mandatory Drug Testing and Monitoring**

- Indicate how drug testing of specimens will be used, including frequency of testing, events that trigger additional testing, the randomization process and the methods of analysis that will be used for the initial testing, and for confirmation testing (e.g., test cups, EMIT, GCMS). Describe who will administer the drug tests and what procedures will be used to guard against tampering and disruptions in the chain of custody.
- Specify whether point of collection tests, laboratory tests, or both will be used and describe the turnaround time for results.
- Explain the rationale for determining the drugs for which to test.
- Describe nonspecimen monitoring efforts that will be used, especially as it relates to alcohol use given alcohol's limited detection window.
- Indicate whether a family member can be tested for drugs.
- Describe the graduated sanctions that increase punitive measures, therapeutic measures, or both whenever a participant fails a drug test.

#### **(7) Staff Training**

- Specify training for all partners involved in the activities to support interagency communication and performance of the family drug court and delivery of related services.

- Describe training to ensure that all partners (e.g. judges, attorneys, court professionals, mental health and primary care providers and obstetricians, child welfare professionals, etc.) fully understand substance abuse and dependence and are trained to intervene appropriately with families.
- Describe training for alcohol and drug treatment professionals and other behavioral health service providers to understand risk assessment, court rules, and other child welfare requirements impacting their clients.
- Explain the process of cross and joint training of family drug court partners/stakeholders (courts, child welfare, treatment, and others).

#### **(8) Management Information System, Performance Measures and Evaluation**

- Describe methods to collect, store, and maintain data to support the family drug court's operations and the process and outcome evaluations.
- Describe the methodology that will be used in evaluating the program.
- Discuss plans for data-sharing agreements with treatment service providers, child protection services, the court, and other agencies and explain how applicable local, state, and federal confidentiality guidelines and requirements will be met.
- Specify how frequently progress reports will be submitted to the court and the minimum data elements that are required in these reports.
- Describe how the program will develop shared outcomes with partner agencies. Explain what the shared outcomes are and how they will be measured. Discuss how the family drug court will demonstrate to partner agencies that outcomes have been achieved.

**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. See sample logic models [here](#). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 28.

**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" [here](#)).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 28. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

**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.

**Letters of Support/Memoranda of Understanding.** Provide a memoranda of understanding, including signed letters of support from each of the key drug court team members: (1) judge, (2) child protection services representative, (3) agency attorney/prosecutor, (4) parent attorney/defense attorney, (5) child representative, (6) treatment provider, and (7) drug court coordinator. The documents should detail the:

- Expression of support for the program and a statement of willingness to participate and collaborate with it.
- 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.

Letters of support may be addressed to OJJDP Administrator Robert L. Listenbee. During the review process, OJJDP will consider only letters that are submitted by the due date and with the full application.

#### **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.

Grantees must plan to attend two grantee meetings the first year (one will be the kick-off/new grantee orientation meeting) and one grantee meeting each successive year. Grantees must plan to send a minimum of four people (including the project director, family drug court judge/ judicial officer, child welfare representative, and treatment representative). For budgetary purposes, assume that the meetings will be in the Washington, DC, area. Each meeting will be for a minimum of 2.5 days. Attendance is mandatory.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [Financial Guide](#).

- a. **Budget Detail Worksheet.** Find a sample Budget Detail Worksheet [here](#). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.
- b. **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. **Noncompetitive 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 [Financial Guide](#).
- d. **Preagreement Cost Approvals.** For information on preagreement costs, see Section [B. Federal Award Information](#).

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

Indirect costs are allowed only under the following circumstances:

- a. The applicant has a current, federally approved indirect cost rate; or
- b. The applicant is eligible to use and elects to use the *de minimis* indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that 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 the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). 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 <http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the *de minimis* indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the *de minimis* rate) and its election. If the applicant elects the *de minimis* method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>4</sup>

## **6. Tribal Authorizing Resolution (if applicable)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

Applicants unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, OJJDP will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

## **7. 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 email the following information to [OJPCComplianceReporting@usdoj.gov](mailto:OJPCComplianceReporting@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.

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<sup>4</sup> See 2 C.F.R. § 200.414(f).

- Reasons for the high risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing 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.

## 8. 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; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment to their application. The file should be named “Disclosure of Pending Applications.”

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. Research and Evaluation Independence and Integrity.** If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:

a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by OJJDP grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization;

OR

b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current

colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

- c. Logic model (see page 24).

- d. Timeline or milestone chart (see page 24).
- e. Résumés of all key personnel.
- f. Job descriptions outlining roles and responsibilities for all key positions.
- g. Letters of support/memoranda of understanding from partner organizations (see page 25).
- h. Evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable.
- i. Evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.

## 9. Financial Management and System of Internal Controls Questionnaire

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, federal agencies must have in place a framework to evaluate the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

## 10. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). Applicants that do not expend any funds for lobbying activities are to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

### How To Apply

Applicants must register in and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application [here](#). Applicants that 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 email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Browser Information.** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome or another browser, contact Grants.gov Customer Support.

**Note on Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please ensure all required documents are attached in the mandatory category.

**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.

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;#x26;” format.</b>		

Grants.gov is designed to forward successfully submitted applications to OJP’s Grants Management System (GMS).

**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:

OJP may not make a federal award to an applicant organization until the organization has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

- 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 validating 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. SAM registration and renewal can take as long as 10 business days to complete.

Applicants cannot successfully submit their applications until Grants.gov receives the SAM registration information. **The information transfer from SAM to Grants.gov can take as long as 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

Access information about SAM registration procedures [here](#).

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. Applicant organizations must use their DUNS number to complete this step. For more information about the registration process, go [here](#).
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. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. 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 "*Family Drug Court Programs*," and the funding opportunity number is OJJDP-2016-9171.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

Category 1: Implementation Grants. Competition ID: OJJDP-2016-10061.

Category 2: Enhancement Grants. Competition ID: OJJDP-2016-10060.

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 two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully 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. Applicants must submit their applications and have received a validation message in Grants.gov by 11:59 p.m. ET on May 31, 2016.

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 the same application, OJJDP will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicant must e-mail the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) **within 24 hours after the application deadline** and request approval to submit their application. 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 the program office 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. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, including firewalls, browser incompatibility, etc.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding [webpage](#).**

## **E. Application Review Information**

### **Selection Criteria**

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria.

1. Statement of the Problem (10 percent)
2. Goals, Objectives, and Performance Measures (20 percent)
3. Project Design and Implementation (40 percent)
4. Capabilities and Competencies (20 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>5</sup> (10 percent)

See What an Application Should Include, page 10, 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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as critical elements.
- Applicants will be checked against the System for Award Management (SAM).

For a list of critical elements, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

OJJDP may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of

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<sup>5</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.

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, although their views are considered carefully. 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 under prior OJJDP and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the [Financial Guide](#).
3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those 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, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior OJJDP and OJP awards, and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

## **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ, or other federal regulations that will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>6</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements that may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

## **General Information about Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with

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<sup>6</sup> See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative obligations of the recipient or the program.

## **G. Federal Awarding Agency Contact(s)**

For additional Federal Awarding Agency Contact(s), see the title page.

For additional contact information for Grants.gov, see the title page.

## **H. Other Information**

### **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 résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your résumé. **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.

## Appendix A: Key Components of Drug Courts

In January 1997, the Drug Courts Program Office (DCPO) released *Defining Drug Courts: The Key Components*, which describes the 10 key components of a drug court and provides performance benchmarks for each component. It was developed through a cooperative agreement between DCPO and the National Association of Drug Court Professionals, which convened the Drug Court Standards Committee. The committee comprised drug court practitioners throughout the nation and included judges, prosecutors, defense attorneys, treatment providers, pretrial services officers, and probation officers. The Conference of Chief Justices, the Conference of State Court Administrators, and several states have adopted the following key components. The report is available online at [www.ojp.usdoj.gov/BJA/grant/DrugCourts/DefiningDC.pdf](http://www.ojp.usdoj.gov/BJA/grant/DrugCourts/DefiningDC.pdf).

### Ten Key Components of a Drug Court

1. Drug courts integrate alcohol and other drug treatment services with justice system case processing.
2. Using a nonadversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
3. Eligible participants are identified early and promptly placed in the drug court program.
4. Drug courts provide access to a continuum of alcohol, drug, and related treatment and rehabilitation services.
5. Abstinence is monitored by frequent alcohol and other drug testing.
6. A coordinated strategy governs drug court responses to participants' compliance.
7. Ongoing judicial interaction with each drug court participant is essential.
8. Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.
10. Forging partnerships among drug courts, public agencies, and community-based organizations generates local support and enhances drug court program effectiveness.

## Appendix B: Common Characteristics of Family Dependency Treatment Courts<sup>2</sup>

1. Integrated a focus on the permanency, safety, and welfare of abused and neglected children with the needs of the parents.
2. Intervened early to involve parents in developmentally appropriate, comprehensive services with increased judicial supervision.
3. Adopted a holistic approach to strengthening family function.
4. Used individualized case planning based on comprehensive assessment.
5. Ensured legal rights, advocacy, and confidentiality for parents and children.
6. Scheduled regular staffing and judicial court reviews.
7. Implemented a system of graduated sanctions and incentives.
8. Operated within the mandates of the Adoption and Safe Families Act of 1997 and the Indian Child Welfare Act of 1979.
9. Relied on judicial leadership for both planning and implementing the court.
10. Made a commitment to measuring program outcomes.
11. Planned for program sustainability.
12. Strived to work as a collaborative, non-adversarial team supported by cross training.
13. Integrated a focus on the permanency, safety, and welfare of abused and neglected children and the needs of their parents.

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<sup>2</sup>

Bureau of Justice Assistance. 2004. *Family Dependency Treatment Courts: Addressing Child Abuse and Neglect Cases Using the Drug Court Model*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance.



## Application Checklist

### OJJDP FY 2016 Family Drug Court Implementation and Enhancement Program

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

#### What an Applicant Should Do:

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

\_\_\_\_\_ Acquire a DUNS Number (see page 32)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 32)

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

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 33)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 33)

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

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 33)

\_\_\_\_\_ Select the correct Competition ID (see page 33)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 33)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 31)

\_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

\_\_\_\_\_ Read [OJP policy and guidance](#) on conference approval, planning, and reporting (see page 10)

##### *After Application Submission, Receive Grants.gov Email Notifications That:*

\_\_\_\_\_ (1) application has been received,

\_\_\_\_\_ (2) application has either been validated or rejected (see page 33)

##### *If No Grants.gov Receipt, and Validation or Error Notifications are Received:*

\_\_\_\_\_ contact the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) regarding technical difficulties.

\_\_\_\_\_ Please refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 34)

#### General Requirements:

\_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

#### Scope Requirement:

\_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$400,000 to \$600,000.

#### Eligibility Requirement:

\_\_\_\_\_ State, territory, state or local court, unit of local government, and federally recognized tribal government.

\_\_\_\_\_ Category 1: No family drug court currently exists or a family drug court has been operational for less than 1 year.

\_\_\_\_\_ Category 2: Jurisdiction with a fully operational (for at least 1 year) family drug court.

#### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 11)

\_\_\_\_\_ Project Abstract (see page 11)

- \_\_\_\_\_ Program Narrative (see page 12)
- \_\_\_\_\_ Budget Detail Worksheet and Narrative (see page 25)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 26)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 27)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 27)
- \_\_\_\_\_ Additional Attachments (see page 28)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity
  - \_\_\_\_\_ logic model
  - \_\_\_\_\_ timeline or milestone chart
  - \_\_\_\_\_ résumés of all key personnel
  - \_\_\_\_\_ job descriptions outlining roles and responsibilities for all key positions
  - \_\_\_\_\_ letters of support/memoranda of understanding from partner organizations
  - \_\_\_\_\_ evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable.
  - \_\_\_\_\_ evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 31)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 31)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 9)