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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 Statewide System Reform program. This program furthers the Department's mission by protecting the safety and welfare of children in the family drug court system while giving parents the tools they need to become sober, responsible, caregivers.

## **OJJDP FY 2016 Family Drug Court Statewide System Reform**

### **Applications Due: May 17, 2016**

#### **Eligibility**

Applicants are limited to State Administrative Offices of the Court. The applicant must coordinate closely with the Court Improvement Program in the states. Although the Administrative Office of the Court is the applicant and lead agency, the state child welfare agency and state substance abuse treatment agency are required collaborating partners, and the application must include memorandums of understanding formalizing these partnerships. Iowa, Colorado, New York, Ohio, and Alabama, which have already received funding under this initiative, are not eligible to apply.

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 other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for administering the funding and managing the entire program. Only one application per lead applicant will be considered; however, a subrecipient may be part of multiple proposals.

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.

#### **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 17, 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. Frequently asked questions will be posted at [www.ojjdp.gov/grants/solicitations/FY2016/FAQ/FamilyDrugStatewideFAQ.pdf](http://www.ojjdp.gov/grants/solicitations/FY2016/FAQ/FamilyDrugStatewideFAQ.pdf).

Grants.gov number assigned to this announcement: OJJDP-2016-9193

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# OJJDP FY 2016 Family Drug Court Statewide System Reform (CFDA #16.585)

## A. Program Description

### Overview

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) is seeking to implement effective family drug court practices established at the local level through family drug courts and institutionalize those practices in the larger state-level child welfare, substance abuse treatment, and court systems. The purpose of this state systems reform effort is to increase the capacity of family drug courts to serve more effectively all families in the child welfare system affected by parental substance use disorders and increase collaboration with the child welfare and substance abuse treatment systems to ensure a range of comprehensive services for families that improve child, parent, and family outcomes.

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

### Program-Specific Information

A family drug court is devoted to cases of child abuse and neglect that involve the child's parents or other caregivers who have substance abuse problems. Its purpose is to protect the safety and welfare of the children while giving parents the tools they need to become sober, responsible caregivers. The 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 preexisting drug courts. The drug court programs must provide services to parents/caregivers 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 defined in this solicitation, are participating in any program funded under this solicitation.

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

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

The Drug Court Discretionary Grant Program authorizing statute requires participant payments for treatment and restitution; however, it does not allow imposing a fee on a client that would interfere with the client's rehabilitation. Applicants should include in their application provisions for determining if these costs would interfere with a client's rehabilitation or graduation. Furthermore, the authorizing statute, 42 U.S.C.3797u(c) (1), requires mandatory periodic drug testing that is accurate and practicable. Participants must be tested for every controlled substance that they have been known to abuse and for any that the court may require. The family drug court must impose graduated sanctions that increase punitive measures, therapeutic measures, or both whenever a participant fails a drug test. Such sanctions and measures may include, but are not limited to, one or more of the following:

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

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

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

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

OJJDP will support as many as five states that are ready to work intensively and systematically to scale up proven family drug court practices to statewide levels and transform cross-systems decision making about policies, programs, and allocation of resources. The state's Administrative Office of the Court will serve as the lead in this systems change effort, coordinating closely with the state's Court Improvement Program.<sup>1</sup> Although the Administrative Office of the Court for a state would be the applicant and designated lead agency, the state child welfare and substance abuse treatment agencies are *required* collaborating partners and must submit a signed memorandum of understanding/agreement regarding their support (see page 18). OJJDP recognizes other key agencies (as appropriate to the applicant) may be considered essential collaborating partners. These additional partners, if any, must also indicate buy-in and active support for the initiative and should be included in the signed memorandum of understanding/agreement.

This state systems reform effort builds on the OJJDP-sponsored publication, *Guidance to States: Recommendations for Developing Family Drug Court Guidelines*.<sup>2</sup> This document helps sites support systems change that will have a lasting impact on the family drug court and the policies and practices of the court, child welfare, substance abuse treatment service systems, and the many community-based organizations that serve and support families.

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<sup>1</sup> The State Court Improvement Program was created as part of the Omnibus Budget Reconciliation Act of 1993, Public Law 103-66, which among other things, provided federal funds to state child welfare agencies and tribes for preventive services and services to families at risk or in crisis. As of FY 2001, all eligible states (50 states, the District of Columbia, and Puerto Rico) are receiving annual Court Improvement Program grants. Typical activities include development of mediation programs, joint agency-court training, automated docketing and case tracking, linked agency-court data systems, one judge/one family models, time-specific docketing, formalized relationships with the child welfare agency, improvement of representation for children and families, CSFR program improvement plan development and implementation, and legislative changes.

<sup>2</sup> Children and Family Futures. 2013. *Guidance to States: Recommendations for Developing Family Drug Court Guidelines*. Retrieved from <http://www.cffutures.org/files/publications/FDC-Guidelines.pdf>.

Since OJJDP released guidance and recommendations to the States in 2013, sites have used them to advance systems improvements and change, but on a smaller, concentrated scale. OJJDP would like to broaden the reach of these best practices and use the guidelines framework with a few selected states to guide full-scale statewide changes throughout the child welfare, treatment, and court systems.

A training and technical assistance provider that OJJDP will select will support the grantees in the systems change process. The training and technical assistance provider will provide intensive technical assistance through a systematic, multiyear, phased approach with specific timeframes and performance benchmarks associated with each phase. The development of the multiyear implementation plan recognizes that even with strong investment and commitment of state leadership, state systemic reform is a lengthy process.

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

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

OJJDP's ultimate goal is to implement a 5-year statewide reform process that improves how courts assist children and parents in the child welfare system affected by substance abuse and co-occurring mental health disorders. OJJDP will make grants to states with sufficient infrastructure to support these efforts. Applicants must demonstrate buy-in from child welfare and treatment services.

The first stage of the reform process, which is the focus of this solicitation, is a 2-year planning and early implementation phase. OJJDP will provide selected applicants with intensive technical assistance to develop a systems change plan in year 1, to be followed by initial implementation work in year 2. More specifically, the 2-year planning and early implementation phase will include five stages:

1. The state will assess its capacity to carry out family drug court principles in wider state systems, using a revised version of the Collaborative Capacity Instrument<sup>3</sup> or a similar instrument that the training and technical assistance provider will administer.
2. Development of a 2-year technical assistance plan, in consultation with the training and technical assistance provider, for each state grantee based on the results of the self-assessment.
3. Development of peer networks across the participating states, including online access to the lead staff in each agency.
4. A 12- to 18-month early implementation period in which state systems will carry out their reform redesign efforts to infuse the effective practices of family drug courts into broader state policy and practice.

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<sup>3</sup> Retrieved from [http://www.cffutures.org/files/publications/Collaborative\\_Capacity\\_Instrument.pdf](http://www.cffutures.org/files/publications/Collaborative_Capacity_Instrument.pdf).

5. Development of evaluation and information sharing systems to track the family's progress and cost savings across state systems/agencies. OJJDP will require states to have reporting systems in place to be eligible for additional funding after the first 2 years.

**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.

### **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 five awards of as much as \$650,000 each for the initial 24-month planning and early implementation project period, beginning on October 1, 2016.



OJJDP expects to invite successful applicants in the initial 2-year planning and early implementation stage under this solicitation to submit an application in FY 2018 to compete for an individual implementation award totaling \$1 million to enable the state to reform their family drug court system over a subsequent 3-year time period.

OJJDP may, in certain cases, provide supplemental funding in future years to awards made under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

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>4</sup>**

OJJDP expects to make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if OJJDP will have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and working with the grantee organization to implement the grant but does not involve day-to-day project management. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#) for details regarding the federal involvement anticipated under an award from this solicitation.

#### **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>5</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.

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<sup>4</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)).

<sup>5</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.

- (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 available [here](#).

## Budget Information

### Cost Sharing or Match 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 nonfederal portion of the total project costs and how they will use match funds. If a successful applicant's proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. (Match is restricted to the same uses of funds as allowed for the federal funds.) Applicants may satisfy this match requirement with either cash or in-kind services. The formula for calculating the match is:

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

$$\text{Required Recipient's Share Percentage} \times \text{Adjusted Project Cost} = \text{Required Match}$$

**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 the [Financial Guide](#).

### Preagreement Cost (also known as Preaward 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>6</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 the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to 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 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](#).

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<sup>6</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.

## 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 and signed and dated memoranda of understanding/agreement from the state child welfare agency and state substance abuse treatment agency.

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 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 to submit semiannual performance metrics of relevant data through the [Data Reporting Tool](#). Performance measures for this solicitation are as follows:

Objectives Objective	Performance Measures Performance Measure(s)	Description	Data Grantee Provides Data Grantee Provides
To increase the capacity of state courts to intervene with adults with substance use and/or co-occurring mental health disorders who are involved with the court as a result of child abuse and neglect issues.	Number of system-level initiatives implemented.	The number of current system-level initiatives implemented during the reporting period. Preferred data source is program records.	Number of current system-level initiatives.
	Number of memoranda of understanding developed.	The number of memoranda of understanding developed during the reporting period. Include all formal partnering or coordination agreements. Preferred data source is program records.	Number of memoranda of understanding developed.
	Number of professionals trained.	Number of program staff or other relevant youth-serving professionals trained during the reporting period. The number is the raw number of program staff receiving any formal training relevant to the program or their position as program staff. Include any training from any source or medium received during the reporting period as long as receipt of training can be verified. Training does not have to have been completed during the reporting period. <u>Training on cultural or race and ethnic issues should also be identified.</u> Preferred data source is program records.	Number of program staff or other relevant professionals who participated in training.  <u>Number of people trained on cultural or racial and ethnic diversity during the reporting period.</u>
	Number of hours of training received.	The number of training hours provided to program staff or other relevant youth-serving professionals during the reporting period. Training hours include both in-house and external training.	Total number of hours of training received.



		Preferred data source is program records.	
	Number of program materials developed.	The number of program materials that were developed during the reporting period. Include only substantive materials such as program overviews, client workbooks, lists of local service providers. Do not include program advertisements or administrative forms such as sign-in sheets or client tracking forms. <u>The number of program materials related to cultural or racial and ethnic diversity should also be identified.</u> Program records are the preferred data source.	Number of material developed during the reporting period.  <u>Number of program materials related to cultural or racial and ethnic diversity developed during the reporting period.</u>
	Number of planning activities conducted.	Number of system planning activities undertaken during the reporting period. Planning activities include creation of task forces or inter-agency committees, meetings held, needs assessments undertaken, etc. Preferred data source is program records.	Number of system planning activities undertaken.
	Number of agency policies or procedures changed or amended.	The number of cross-program or agency policies or procedures changed during the reporting period. A policy is a plan or specific course of action that guides the general goals and directives of programs and/or agencies. Include polices that are relevant to the topic area of the program or that affect program operations. Preferred data source is program records.	Number of program/agency policies changed or amended.
	Percentage of staff trained in family drug court procedures.	Number and percentage of program staff trained during the reporting period.	Number of staff trained.  Number of staff trained in family drug court procedure.
	Number of trainings conducted.	Number of trainings conducted on racial and ethnic disparities.	Number of trainings conducted on racial and ethnic disparities.
	Number of program youth and/or families served.	An unduplicated count of the number of individual youth and family members participating and served by the program during the reporting period. Definition of the number of youth and family members served for a reporting period is the number of program youth and family members carried over from previous reporting	Number of program youth/families (by gender, race and ethnicity) carried over from the previous reporting period.  New admissions during the reporting period.



		period, plus new admissions during the reporting period.	
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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 subjects 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.

- c. **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 7. Applicants should describe their commitment to statewide reform on how courts handle children and parents in the child welfare system affected by substance abuse and co-occurring mental health disorders. This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project and discuss plans for sustainability beyond the grant period.

**Logic Model.** Applicants should include a logic model that graphically illustrates how the performance measures are related to the project’s problems, goals, objectives,

and design. See sample logic models [here](#). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 23.

**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 23. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

**d. Capabilities and Competencies.** This section should describe the experience and capability of the applicant organization and any contractors or subgrantees that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing projects of similar design or magnitude. Applicants should highlight their experience/capability/capacity to manage subawards, including details on their system for fiscal accountability. Management and staffing patterns should be clearly connected to the project design described in the previous section. Applicants should describe the roles and responsibilities of project staff and explain the program’s organizational structure and operations. Applicants should include a copy of an organizational chart showing how the organization operates, including who manages the finances; how the organization manages subawards, if there are any; and the management of the project proposed for funding.

- **Memoranda of Understanding.** Applicants must provide signed and dated memoranda of understanding/agreement from the state child welfare agency and state substance abuse treatment agency. The memoranda of understanding should include:
  - 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.

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

- **Shared mission and vision.** The state Administrative Office of the Court applicant and its key partners representing child welfare, substance abuse

treatment, attorneys, and other agencies, as appropriate, must have a shared mission and vision to define their joint work. State leadership must agree they will collaborate on behalf of all families in child welfare experiencing substance use disorders.

- **Strength of state-level interagency collaborative relationships.** Effective collaboration and partnerships are essential to systems improvement and change. An effective state systems reform effort relies on the applicant having a well-established team with broad-based representation that includes the courts, child welfare, substance abuse treatment, attorneys, and other service agencies, as appropriate. Although family drug courts are part of the legal framework of the court, they must collaborate with these other agencies to provide the range of services and support to ensure child safety, sustained recovery for parents, and family stability and well-being. OJJDP will expect applicants to demonstrate experience and success in the following areas: (1) routine consultation and interaction with other agencies, (2) joint accountability and shared outcomes among agencies, (3) cross training and staff development, and (4) processes for communication and information sharing. Applicants that address how their partners' values and principles help or hinder their collaboration and that have agreements about shared costs and budgets are in the best position to pursue collaborative efforts on behalf of children and families.
- **Leadership, support, and buy-in.** Systems change requires having supportive internal and external environments and strong agency leadership and champions to facilitate the desired change. The investment and commitment of department heads and other administrators is key to ensuring that staff members have the time, resources, and authority to make decisions on behalf of their agency. Buy-in should extend beyond the core partners to include important community-based organizations that support the multiple needs of parents, children, and families during family drug court program participation and in transitioning back to the community once they have completed services.
- **Effective communication protocols for information sharing.** Systems change requires a continuous feedback loop that information systems provide. Effective, timely, and efficient communication with key stakeholders and the community is required to monitor cases, gauge family drug court effectiveness, ensure joint accountability, promote child safety, and engage and retain parents in recovery. The applicant should have formal data-sharing agreements, practices, or protocols in place to accommodate information exchange and/or data sharing across systems at both the case-level and aggregate level.
- **Program evaluation and performance monitoring capacity.** The applicant has experience with and a solid foundation for evaluation, including the existence and use of cross-systems data for program monitoring and improvement. The applicant and key partners have agreed on goals and established performance measures. The applicant measures outcomes on a regular basis and uses evaluation results to guide and inform program policy and practice improvements. The applicant is able to collect contextual data that shows how the local family drug court target population fits in the context of the larger child welfare and substance abuse treatment systems. Further, the applicant and key

partners have connected with existing outcome measurement initiatives (e.g., Child and Family Services Reviews, Court Improvement Program initiatives, Children's Justice Assistance initiatives, etc.)

- **Connections to parallel initiatives.** Being part of the system means knowing how family drug courts complement other child welfare, substance abuse treatment, and related community initiatives. The applicant identifies and discusses how efforts to expand the scale of family drug court practices relates to parallel initiatives/reforms at the state level and how this family drug court system reform effort may link to those other institutional or system improvements in the courts, child welfare, treatment, and other agencies. Where applicable, applicants should describe how they currently work with or propose to work with other collaborative courts (such as a veterans treatment court or mental health court) to serve overlapping populations.
- **Prior success with practice and systems improvement.** The applicant has a track record or history of engaging in systems improvements and program adaptations to enhance family drug courts' effectiveness and capacity to reach and serve families. The applicant has adapted strategies, as needed, in response to emerging client needs, new evidence, contextual changes, etc., and provides examples of how the local family drug courts have already had an impact on the broader systems of care. Applicants and their key partners have identified barriers to systems change/improvements. They share information about institutional barriers and see them as targets for change.
- **Implemented funding and sustainability strategies.** Systems change accepts that funding and staffing resources are critical for institutional change. Family drug courts must have access to the full range of funding, staffing, and community resources to sustain and institutionalize their innovative approaches over the long term. The applicant addresses sustainability of family drug court practices on a continual basis, using outcomes and cost savings to drive decisions. Sustainability planning addresses financial needs and support from a broad range of stakeholders.
- **Established governance structure.** Applicants need a governance structure that ensures ongoing commitment from policymakers, managers, community partners, and operational staff members. The governance structure should include an oversight committee composed of agency leaders from the key partnering agencies. These leaders must have decisionmaking authority on behalf of their agencies and expertise to facilitate successful systems reforms and guide overall collaborative operations. Further, members must have sufficient time to participate in collaborative meetings, build cross-systems relationships, and address systems change issues and barriers.
- **Evidence of the effectiveness of family drug court services to be scaled up.** The applicant must demonstrate that local family drug courts have achieved desired results, as defined across partner agencies. Effective practices likely include but are not limited to:

- Early Identification and assessment processes. Effective family drug courts identify participants early in the dependency case process, use screening and assessment to determine the needs and strengths of parents, children, and families and identify the most appropriate treatments and other services based on these needs and strengths. This may include jointly developed policies and practices for consistent and standardized screening and assessment of substance use issues among families in child welfare, the developmental and therapeutic service needs of children, and the parenting and other service needs of parents.
- Comprehensiveness and appropriateness of existing substance abuse treatment and related supportive services for parents and families. Family drug courts provide early access to substance abuse treatment to parents with the essential clinical and community treatment and support services they need. Policies and procedures are in place to ensure parents obtain timely access to treatment that is appropriate for their needs (e.g., family-centered, trauma-informed, gender-responsive, culturally appropriate, addresses co-occurring mental disorders). Specialized strategies, including the use of recovery support specialists or substance abuse treatment navigators, exist to successfully engage and retain parents in treatment, including adequate support services and aftercare.
- Services that address the needs of parents. Family drug court partner agencies encourage parents to complete the recovery process and help them meet treatment goals and child welfare and court requirements. Judges respond to parents in a timely way that supports continued engagement in recovery. By working toward permanency and using active client engagement, accountability, and behavior change strategies, the entire family drug court team ensures that each parent has access to a broad scope of services.
- Services include evidence-based or evidence-informed parenting interventions appropriate for the specific needs of parents with substance use disorders and the ages of their children, and qualified staff provide them with fidelity. A logical pathway or client flow exists for how and when parents participate in these services; processes are in place to ensure they are connected to the appropriate parenting services.
- Services that address the direct needs of children. Family drug courts must address the physical, developmental, social, emotional, and cognitive needs of the children they serve through prevention, intervention, and treatment programs. Family drug courts must implement a holistic and trauma-informed perspective to ensure that children receive effective, coordinated, and appropriate services. There are processes for linking children to intervention and treatment services that address their identified needs. A logical pathway or client flow exists for how and when families access these services, and qualified staff provide services.

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

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

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

- a. **Budget Detail Worksheet.** A [sample Budget Detail Worksheet](#) is posted on the OJP website. 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 noncompetitive procurements of products or services, where the noncompetitive 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, please 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>7</sup>

## 6. Applicant Disclosure of High Risk Status

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

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

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

## 7. Additional Attachments

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

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<sup>7</sup> See 2 C.F.R. § 200.414(f).

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 17).
- d. Timeline or milestone chart (see page 18).
- 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 18).

## **8. 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 for evaluating 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](#).

## **9. 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 insure 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;” 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 applicant 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](#). 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.

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

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 "Drug Court Discretionary Grant Program," and the funding opportunity number is OJJDP-2016-9193.

**6. 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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. ET on May 17, 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. The 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. For example, the first criteria, Statement of the Problem, is worth 10 percent of the entire score in the application review process.

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

See What an Application Is Expected To Include, page 12, 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 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>8</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

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<sup>8</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)).



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](#).

As stated above, OJJDP expects to make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard federal involvement conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with OJJDP. OJJDP's role will include the following tasks:

- Reviewing and approving major work plans, including changes to such plans, and key decisions pertaining to project operations.
- Reviewing and approving major project-generated documents and materials used to provide project services.
- Providing guidance in significant project planning meetings and participating in project-sponsored training events or conferences.

In addition to any federal involvement condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposiums, training activities, or similar events funded under the award, consistent with OJP policy and guidance on conference approval, planning, and reporting.

### **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 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 Federal Awarding Agency Contact(s), see the title page.

For 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.

# Application Checklist

## OJJDP FY 2016 Family Drug Court Statewide System Reform

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 28)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 28)

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

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 28)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 28)

#### *To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 28)

\_\_\_\_\_ Download Funding Opportunity and Application Package

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 27)

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

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

#### *After application submission, receive Grants.gov email notifications that:*

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

\_\_\_\_\_ (2) application has either been validated or rejected (see page 29)

#### *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 (see page 29)

### 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 \$650,000.

### Eligibility Requirement:

\_\_\_\_\_ State Administrative Office of the Court, working with the state's Court Improvement Program.

### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 12)

\_\_\_\_\_ Project Abstract (see page 13)

\_\_\_\_\_ Program Narrative (see page 13)

\_\_\_\_\_ Budget Detail Worksheet and Narrative (see page 22)

\_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 22)

\_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 23)

\_\_\_\_\_ Additional Attachments (see page 23)

\_\_\_\_\_ Applicant Disclosure of Pending Applications

\_\_\_\_\_ Research and Evaluation Independence and Integrity

- \_\_\_\_\_ logic model
- \_\_\_\_\_ timeline or milestone chart
- \_\_\_\_\_ résumés of all key personnel
- \_\_\_\_\_ letters of support/memoranda of understanding from partner organizations
- \_\_\_\_\_ job descriptions outlining roles and responsibilities for all key positions
- \_\_\_\_\_ letters of support/memoranda of understanding from partner organizations
  
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 26)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 26)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 11)