

**U.S. Department of Justice**  
Office of Justice Programs  
*Office of Juvenile Justice and Delinquency Prevention*



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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 funding under the fiscal year (FY) 2018 Drug Treatment Courts Program. This program furthers the Department's mission by providing resources to state, local, and tribal governments to enhance drug court programs for juveniles in the justice system with substance abuse problems, specifically those related to opioid abuse.

# OJJDP FY 2018 Drug Treatment Courts Program

**Applications Due: June 21, 2018**

## Eligibility

Eligible applicants are limited to states (including territories), units of local government,<sup>1</sup> and federally recognized tribal governments as determined by the Secretary of the Interior. Faith- and community-based, nonprofit, and for-profit organizations are ineligible as applicants, but OJJDP encourages them to partner with eligible applicants as a community provider of services, if applicable and appropriate.

Eligible applicants who propose to provide direct services to youth under Category 1: Juvenile Drug Treatment Courts must **not** include youth who are older than age 18. Eligible applicants under Categories 2 and 3: Family Drug Courts Enhancement and Family Drug Courts Implementation must provide direct services to youth who are younger than age 18 and to their parents.

Category 1: Juvenile Drug Treatment Court grants are available to jurisdictions with a fully operational (for at least 1 year) drug court.

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

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<sup>1</sup> A "unit of local government" means—

- (a) Any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a state.
- (b) Any law enforcement district or judicial enforcement district that—
  - (i) Is established under applicable state law, and
  - (ii) Has the authority to, in a manner independent of other state entities, establish a budget and impose taxes.
- (c) For the purposes of assistance eligibility, any agency of the government of the District of Columbia or the federal government that performs law enforcement functions in and for—
  - (i) The District of Columbia, or
  - (ii) Any Trust Territory of the United States.

Category 3: Family Drug Courts Implementation grants are available to jurisdictions that are ready to implement a family drug court. These are for jurisdictions where either no family drug court currently exists or a family drug court has been operational for less than 1 year. Jurisdictions may already have other types of drug or treatment courts (such as adult drug or mental health courts).

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

## Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time (ET) on June 21, 2018.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date to allow time for the applicant 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.

OJP encourages all applicants 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, at <https://www.grants.gov/web/grants/support.html>, or at [support@grants.gov](mailto:support@grants.gov). The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the National Criminal Justice Reference Service Response Center (Response Center) at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) **within 24 hours after the application deadline** to request approval to submit its application after the deadline. Additional information on reporting technical issues appears 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) or by email at [grants@ncjrs.gov](mailto:grants@ncjrs.gov). Response Center hours of operation are 10 a.m. to 6 p.m. ET, Monday through Friday, and 10 a.m. to 8 p.m. ET on the solicitation close date. General information on

applying for OJJDP awards can be found at <https://www.ojjdp.gov/funding/funding.html>.  
Answers to frequently asked questions that may assist applicants are posted at  
<https://www.ojjdp.gov/grants/solicitations/FY2018/FAQ/DrugTC.pdf>.

Grants.gov number assigned to this solicitation: OJJDP-2018-13551

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# OJJDP FY 2018 Drug Treatment Courts Program

## CFDA # 16.585

### A. Program Description

#### Overview

The Drug Treatment Courts Program builds the capacity of states, state and local courts, units of local government, and federally recognized tribal governments to enhance pre-existing drug courts or implement new drug courts for individuals with substance abuse problems<sup>2</sup> or co-occurring mental health disorders, including histories of trauma. OJJDP expects successful applicants to develop and implement a sustainability plan during the grant period to continue operation of the drug court when the grant ends.

**Statutory Authority:** This program is authorized pursuant to 34 U.S.C. 10611 et seq.

#### Program-Specific Information

When implemented in an evidence-based manner, drug treatment courts reduce recidivism and substance abuse among high-risk participants and increase their likelihood of successful rehabilitation.<sup>3</sup> The success of adult drug courts, first implemented in the 1980s, led to the creation of a wide variety of other types of drug courts, including juvenile and family drug treatment courts.<sup>4</sup> As of June 2015, more than 3,000 drug courts were operating in the United States; 409 of them were juvenile drug treatment courts and 312 were family drug courts.

Juvenile and family drug treatment courts offer a specialized way to respond to the needs of substance-abusing individuals and their complex disorders, which require targeted interventions. The Drug Treatment Courts Program seeks to build the capacity of states, state courts, local courts, units of local government, and federally recognized tribal governments by enhancing pre-existing or implementing new family and juvenile drug treatment courts to provide services for individuals with substance abuse problems, specifically those related to opioid abuse or co-occurring mental health disorders who are involved with the court. In 2013, Children and Family Futures prepared family drug court guidelines for OJJDP, which were updated and published in 2015.<sup>5</sup> A bolstering of family drug court research contributed to the 2015 guidelines, which summarize the evidence supporting guidance to states and offer a significant contribution to present and future family drug courts. In 2016, OJJDP released the new [Juvenile](#)

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<sup>2</sup> When describing substance abuse, the [Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition](#) (DSM-V) uses the term “substance use disorder” for the clinical and functional assessment of an individual’s recurrent use of alcohol and/or drugs that cause significant impairment, such as health problems; disabilities; or failure to meet work, school, or home responsibilities. For more information, see <https://www.samhsa.gov/disorders/substance-use>.

<sup>3</sup> Mitchell, O., Wilson, D.B., Eggers, A., and MacKenzie, D.L. 2012. Assessing the effectiveness of drug courts on recidivism: A meta-analytic review of traditional and non-traditional drug courts. *Journal of Criminal Justice* 40:60–71.

<sup>4</sup> National Drug Court Institute. 2016. *Painting the Current Picture: A National Report on Drug Courts and Other Problem-Solving Courts in the United States*, pp. 11–12.

<sup>5</sup> Children and Family Futures. 2013 (revised 2015). *Guidance to States: Recommendations for Developing Family Drug Court Guidelines*. Prepared for the Office of Juvenile Justice and Delinquency Prevention. Available at <http://www.cffutures.org/files/publications/FDC-Guidelines.pdf>.

[Drug Treatment Court \(JDTC\) Guidelines](#) to assist courts in treating youth with substance abuse problems by implementing research-informed approaches that are most likely to reduce future offending and improve outcomes. The intent of these recommendations is to help states and local communities create systems improvement that will have a lasting impact on family and juvenile drug treatment courts and on the policies of the court, child welfare and treatment service systems, and community-based organizations serving parents, children, youth, and families.

This program is authorized by 34 U.S.C. 10611 et seq., which requires that any drug treatment court that this program funds prohibit participation by violent offenders. For the purposes of this solicitation, “adult violent offender” means a person who (1) is charged with or convicted of an offense that is punishable by a term of imprisonment exceeding 1 year, during the course of which (a) the person carried, possessed, or used a firearm or dangerous weapon, (b) the person caused the death of or serious bodily injury to another person, or (c) the person used force against another person without regard to whether any of the circumstances described above are an element of the offense or conduct of which or for which the person is charged or convicted; or (2) has one or more prior convictions for a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm (34 U.S.C. 10613(a)). For the purposes of this solicitation, “juvenile violent offender” means a juvenile who has been convicted of or adjudicated delinquent for a felony-level offense that (1) has as an element the use, attempted use, or threatened use of physical force against the person or property of another, or the possession or use of a firearm or (2) by its nature involves a substantial risk that physical force against the person or property of another may be used in the course of committing the offense (34 U.S.C. 10613(b)). Funding will be immediately suspended if DOJ determines that violent offenders are participating in any program funded under this solicitation.

Drug treatment courts must also meet the requirements of 34 U.S.C. 10611(a). The requirements include:

1. Continuing judicial supervision over juveniles, and other individuals under the jurisdiction of the court, with substance abuse problems who are not violent offenders.
2. Coordination with the appropriate state or local prosecutor.
3. The integrated administration of other sanctions and services, which shall include:
  - Mandatory periodic testing for the use of controlled substances or other addictive substances during any period of supervised release or probation for each participant.
  - Substance abuse treatment for each participant.
  - Diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress.
  - Offender management and aftercare services such as relapse prevention, health care, education, vocational training, job placement, housing placement, and child care or other family support services for each participant who requires such services.
  - Payment, in whole or in part, by the offender for treatment costs, to the extent practicable, such as costs for urinalysis or counseling.
  - Payment, in whole or in part, by the offender, of restitution, to the extent practicable, to either a victim of the offender’s offense or to a restitution or similar victim support fund.

While the Drug Court Discretionary Grant Program authorizing statute requires participant payments for treatment and restitution (see above), 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, 34 U.S.C. 10611(c)(2), requires mandatory periodic drug testing that is accurate and practicable. Each participant must be tested for every controlled substance that the participant has been known to abuse and for any that the court may require. The courts 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.

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

### **Category 1: Juvenile Drug Treatment Courts (JDTC)**

This program will support service delivery and programming enhancements that are aligned with OJJDP's *JDTC Guidelines*, which were released in 2016. The new guidelines provide juvenile courts with an evidence-based, treatment-oriented approach that emphasizes family engagement and addresses the substance abuse and often co-occurring mental health challenges experienced by youth. The guidelines are grounded in research on youth development, substance abuse treatment, youth interventions, family engagement, juvenile courts, and juvenile drug courts.

The goal of this program is for JDTCs to enhance their program based on the *JDTC Guidelines*. The objective is to provide funding for existing JDTCs to develop and implement strategies to enhance their programs. Programmatic enhancements should be consistent with the [JDTC Guidelines](#). JDTCs should propose enhancements according to their greatest areas of need for improvement to reach consistency with the guidelines. Areas of emphasis in the guidelines that courts often have to address are highlighted below. More comprehensive information is available in the full [JDTC Guidelines](#).

- Focus the JDTC philosophy and practice on effectively addressing substance abuse and criminogenic needs to decrease future offending and substance abuse and to increase positive outcomes.
  - Guideline 1.5: JDTCs should be deliberate about engaging parents or guardians throughout the court process, which includes addressing the specific barriers to their full engagement.
- Ensure equitable treatment for all youth by adhering to eligibility criteria and conducting an initial screening. Eligible youth (1) have a substance abuse problem<sup>6</sup> (as identified by a validated screening instrument), (2) are 14 years old or older but younger than age 18, and (3) have a moderate to high risk of reoffending (as identified by a validated risk assessment instrument), but are not currently referred for a violent offense.
- Provide a JDTC process that engages the full JDTC team (e.g., drug court coordinator, judge, prosecutor, defense attorney, treatment providers, schools, probation officer, families) and follows procedures fairly.
- Conduct comprehensive needs assessments that inform individualized case management. Validated needs assessments should include information for each participant on use of alcohol or other drugs; criminogenic needs; mental health needs; history of abuse or other traumatic experiences; well-being needs and strengths; and parental substance abuse, parental mental health needs, and parenting skills.
- Implement contingency management, case management, and community supervision strategies effectively.
- Refer participants to evidence-based substance abuse treatment, to other services, and for prosocial connections. This can align with new and creative practices that will address opioid abuse. Applicants should specifically address if and how the substance abuse treatments to which youth will be referred align with the categories described in the *JDTC Guidelines* and the following:
  - Assertive continuing care.
  - Behavioral therapy.
  - Cognitive behavioral therapy.
  - Family therapy.
  - Motivational enhancement therapy.
  - Motivational enhancement therapy/cognitive behavioral therapy.
  - Multiservice packages.
- Monitor and track program completion and termination.

Applicants should describe the long-term strategy and detailed implementation plan to enhance their juvenile drug treatment court in alignment with the *JDTC Guidelines* and include an overview of both (1) the JDTC's current practices and (2) proposed practices to change or implement during this initiative that align with the *JDTC Guidelines*.

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<sup>6</sup> See footnote 2 on page 5, which addresses how the DSM-V describes substance abuse.



**Coordination with the OJJDP Initiative To Develop and Test Guidelines for Juvenile Drug Courts.** OJJDP is currently in the [testing phase](#) of the JDTC Guidelines Initiative. OJJDP expects to work with successful applicants under this program to collect programmatic data, participate in a limited number of meetings, provide information regarding program implementation, and communicate with OJJDP and its contractors regarding their projects as they pertain to work being done under the JDTC Guidelines Initiative. All applicants must allocate \$7,500 in their budgets to support travel costs associated with participation in the JDTC Guidelines Initiative, technical assistance, and capacity-building activities that OJJDP-designated technical assistance providers will sponsor or OJJDP will approve.

## **Category 2: Family Drug Courts Enhancement and Category 3: Family Drug Courts Implementation**

Families nationwide have been devastated by increasing prescription and illicit opioid abuse, addiction, and overdose. According to the Substance Abuse and Mental Health Services Administration's (SAMHSA's) 2016 National Survey on Drug Use and Health, in 2016 more than 11 million Americans misused prescription opioids, almost 1 million used heroin, and 2.1 million had an opioid use disorder due to prescription opioids or heroin. Data from the Federal Adoption and Foster Care Analysis and Reporting System (AFCARS) indicate that parental alcohol and other substance abuse is the second most frequent reason for removing children from their homes.<sup>7</sup> Parents who abuse opioids and other substances are often unable to provide stable, nurturing home environments; have low likelihoods of successful reunification with their children; and have children who tend to stay longer in foster care systems than children of parents who do not abuse substances.<sup>8</sup> In addition, states, tribes, counties, and jurisdictions are encountering multiple challenges in meeting the complex treatment needs of parents who abuse opioids and their infants with prenatal substance exposure due to recent changes to the Child Abuse Prevention and Treatment Act (CAPTA) legislation through the Comprehensive Addiction and Recovery Act.<sup>9</sup> The evidence is clear that the current opioid crisis is having a dramatic impact on families nationwide. Family drug courts have a unique opportunity to improve outcomes for this population, as well as their children.

The goal of the Family Drug Court Program is to implement new or enhance pre-existing drug courts to provide substance-abusing parents with support, treatment, and access to services that will protect children; reunite families, when safe to do so; and expedite permanency. The objective is for new and pre-existing family drug courts to expand services of state child welfare, drug treatment, and court systems to more effectively intervene with parents and families with substance abuse, including opioid abuse problems and/or co-occurring mental health disorders who are involved in the child welfare system as a result of child abuse and neglect issues.

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<sup>7</sup> AFCARS collects case-level information from state and tribal Title IV-E agencies on all children in out-of-home care and those who have been adopted with Title IV-E agency involvement (<http://www.acf.hhs.gov/cb/research-data-technology/reporting-systems/afcars>).

<sup>8</sup> Kaplan, C., Schene, P., De Panfilis, D., and Gilmore, D. 2009. Shining light on chronic neglect. *Protecting Children* 24:1–7; Gregoire, K.A., and Schultz, D.J. 2001. Substance-abusing and child welfare parents: Treatment and child placement outcomes. *Child Welfare* 80:433–452; and Brook, J., and McDonald, T. 2010. The impact of parental substance abuse on the stability of family reunifications from foster care. *Child and Youth Services Review* 31:193–198. doi: 10.1016/j.childyouth.2008.07.010.

<sup>9</sup> Administration for Children and Families. 2017. *Guidance on Amendments Made to the Child Abuse Prevention and Treatment Act (CAPTA) by Public Law 114-198, the Comprehensive Addiction and Recovery Act of 2016*. Washington, DC: U.S. Department of Health and Human Services, Administration for Children and Families. Available at <https://www.acf.hhs.gov/cb/resource/pi1702>.

**Category 2: Family Drug Courts Enhancement** grants are available to jurisdictions with a fully operational (for at least 1 year) family drug court to enhance the operation of the court. Applicants must address each of the eight components listed on page 12 and explain the extent of any categories that they have already implemented.

**Category 3: Family Drug Courts Implementation** grants are available to jurisdictions that are ready to implement a family drug court. These are for jurisdictions where either no family drug court currently exists or a family drug court has been operational for less than 1 year. Jurisdictions may already have other types of drug or treatment courts (such as adult drug or mental health courts).

Family drug courts enhancement and implementation grants will implement new services and enhance and expand services in pre-existing family drug courts in the following ways:

- Provide direct services to children and supportive services for parents, caregivers, and families affected by substance abuse, including opioid abuse.
- Focus on the child and parent-child dyad by addressing the complex needs of children and then integrating the needs of children and parents to create a family-centered approach to case management.
- Address the specific needs of children who have been prenatally exposed to drugs, including opioids, or have experienced post-natal exposure to substance abuse, including opioid abuse (e.g., living with a parent/caregiver who abuses opioids or other substances), and identify specific services that best improve child, parent, and family outcomes.
- Create linkages to hospitals, private physicians, maternal and child health agencies, and early intervention services, as needed.
- Engage new partnerships to address the needs of an infant affected by substance abuse or withdrawal symptoms resulting from prenatal drug exposure or a fetal alcohol spectrum disorder. Partners from multiple agencies and disciplines, including maternal health care providers (obstetricians/gynecologists, midwives, and neonatologists), pediatricians, Medicaid, home visiting, department of health, and the Early Intervention Program for Infants and Toddlers With Disabilities (Part C of the Individuals with Disabilities Education Act), are all integral to providing services that meet the needs of infants and their caregivers.
- Expand partnerships with medication-assisted treatment (MAT) providers and other medical professionals (including American Society of Addiction Medicine board certified addiction specialists) to provide high-quality, evidence-based opioid addiction treatment.
- Use evidence-based interventions focused on parenting, child and parent trauma, parent-child relationships, and parental substance abuse, including opioid abuse recovery. Applicants should describe the population(s) for which the practice(s) has been shown to be effective and demonstrate that the practice(s) is appropriate for the population(s) targeted. Examples of evidence-based practices for program population(s) include Celebrating Families!, Strengthening Families Program, Nurturing Parenting Program, Parent-Child Psychotherapy, and Seeking Safety, among others (see [SAMHAS's National Registry of Evidence-based Programs and Practices](#) and [CrimeSolutions.gov](#)).

- Implement relationship-based parenting programs and developmental and behavioral-based interventions to improve family functioning and outcomes.
- Coordinate services that target children, family outreach, and family engagement and retention efforts. Applicants should consider employing specialized engagement or outreach positions.
- Establish new and/or revise existing policy and practice procedures to facilitate a collaborative effort across child welfare services, treatment agencies, and the court, building capacity to provide children's services.
- Offer ongoing cross-training opportunities to assist new and existing family drug court staff, and other team providers, in providing direct services to children and supportive services for parents, caregivers, and families affected by substance abuse, including opioid abuse, ensuring consistent, effective practice. Family drug court team members should receive training and education in the following areas:
  - Working with families in the child welfare system that are affected by substance abuse, including opioid abuse; the dynamics of addition and recovery; and evidence-based training approaches, including MAT.
  - The effects of pre- and post-natal substance exposure on children and meeting children's needs across developmental stages.
  - The responsibilities and mandates of child welfare workers, including Adoption and Safe Families Act timelines.
  - The Indian Child Welfare Act.
  - The responsibilities and mandates of the judge and attorneys, as well as criminal and juvenile justice system practices.
  - The use of engagement strategies for parents with substance abuse problems.
  - The effect of substance abuse, including opioid abuse, on family relationships.
- Establish and/or strengthen mutually agreed upon performance measures across family drug court partners for joint accountability. Applicants must have a process for developing and measuring outcomes and using evaluation results to guide the work of the collaborative team.
- Establish and/or strengthen data collection and reporting methods around performance measures, including data-sharing agreements with relevant stakeholders and partner agencies. Applicants should include a data-sharing agreement with child welfare as part of their proposal. Agreements should contain specific language around what data will be shared, as well as the process by which data sharing will occur.

Applicants are encouraged to design their programs to address the unique community context of their family drug courts and the needs of their participants. Proposals should detail the impact of substance abuse (including opioid abuse) in their jurisdiction and how it affects child and family outcomes and admissions to treatment (including the frequency of substance abuse), and the impact of opioid abuse compared to other substances and data on polydrug abuse that includes opioids.

The program should reflect an understanding of the methods and accomplishments of relevant prior initiatives, including SAMSHA's Children Affected by Methamphetamine and Pregnant and Parenting Women programs, and the Children's Bureau, Administration for Children and Families, Department of Health and Human Services, Regional Partnership Grants program.

Applicants under Categories 2 and 3 must address each of the following eight components in their program design:

1. Collaborative planning.
2. Eligibility, engagement, and screening.
3. Assessment, service delivery, and case management (including services for children, parents, and families).
4. Program design and duration.
5. Continuing judicial supervision.
6. Mandatory drug testing and monitoring.
7. Staff training.
8. Management information systems and evaluation.

### **(1) Collaborative Planning**

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

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

- Define the target population and eligibility criteria aligned with the program's goals and objectives. To the extent possible, this should include support for parents with substance abuse problems, particularly opioid abuse, and with co-occurring mental health problems, learning disorders, and histories of trauma. This may necessitate the development of approaches to include and support parents' participation in family drug court while they are using prescribed medications for mental health disorders or medication assistance for opiate addiction.

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

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

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

Services for parents:

- Specify the treatment providers who will deliver services and the specific interventions they will employ (i.e., treatment modality, structure, levels of care).

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

#### Services for pregnant women:

- For pregnant women with substance abuse problems, particularly opioid abuse, describe how the grant will provide enhanced case coordination to support access to comprehensive services that match the complex nature of substance abuse in this population.
- Describe the services provided for this population, such as a comprehensive assessment, including a medical examination and psychosocial assessment, health care, and supportive services at birth.
- Specify the treatment services provided to this population, such as opioid agonist treatment, that are co-managed by an obstetrician and an additional specialist physician.
- Explain how the family drug court, child welfare, medical (including obstetrics, pediatrics, substance abuse treatment, and mental health), and addiction treatment providers in the community will collaborate and coordinate services to better serve this population and ensure positive outcomes for the children and families.

#### Services for children:

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

- Describe how children are screened, assessed, and provided treatment or linkages to resources for trauma-informed services. Specify what evidence-based programs are used to meet this need.
- Describe how children will be linked to primary medical and dental care.
- Describe how children, including those known to be substance-exposed during pregnancy, will be assessed and provided services for developmental delays across a spectrum of childhood development indicators, such as linguistic, motor, and cognitive processing skills.
- For children prenatally exposed to opioid use, applicants should strongly consider incorporating the National Center on Substance Abuse and Child Welfare's five-point intervention framework for substance-exposed infants—a comprehensive model that identifies five major timeframes when intervention in the life of an infant can help reduce the potential harm of prenatal substance exposure: pre-pregnancy, prenatal, birth, neonatal, and throughout childhood and adolescence.
- Specify evidence-based early intervention and preventive services that might be provided to address the increased risk for intergenerational abuse and dependence on alcohol and other drugs.
- Describe any use of home visiting services, if planned.

#### Services for families:

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

#### Case management:

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

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

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

- Describe how the family drug court will be structured (i.e., pre-adjudication, post-adjudication, post-disposition, or a combination thereof) and the anticipated average length of participation.
- Describe the various phases of the family drug court program and the requirements for the client to proceed from one phase to another.
- Describe the family drug court model that is or will be used (i.e., an integrated court model [same court and judge hear the dependency and recovery matters] or parallel court model [one court/judge hears the dependency matter and a different judge in a different court hears the recovery component]).
- Indicate the requirements for successful completion of the program.
- Explain under what circumstances a program would terminate a client.
- Explain the use of incentives and sanctions in response to behaviors, as follows:
  - Describe how the family drug court will respond to participant behavior or use incentives and sanctions, and guidelines to apply them.
  - Indicate behaviors (e.g., positive urine tests, missed counseling sessions, completion of milestones) that are eligible for incentives or sanctions during each program phase.
  - Indicate methods used to develop incentives and sanctions and whether consideration was given to research that demonstrates which are effective for the target population.
- Describe how the program will be integrated within the dependency court process and how it will help the court comply with the permanency placement timeframes that the Adoption and Safe Families Act of 1997 mandates.
- Specify plans to obtain necessary support and continue the proposed program following the conclusion of federal support (see 34 U.S.C. 10614(d)(7)).
- Describe a sustainability plan to develop multiyear stability for the program to maintain its innovative approaches in services for children and parents. Explain how the program will leverage cross-system resources and access opportunities for expanded funding. If possible, note any cost savings or costs.

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

- Specify how frequently the client appears before the judge.
- Describe how the initial schedule or frequency of hearings is linked to a client's needs or risk assessment. Explain what criteria are used to determine whether to increase or decrease the frequency of hearings.
- Indicate whether the family dependency drug court team meets before scheduled status hearings to review and discuss the progress of clients. If not, explain how this information is communicated to the judge and the team.



- Explain the process by which information is exchanged between team members in preparation for the status hearings. Indicate who, in addition to the client and judge, participates in the hearings.
- Certify that one or more designated judges with responsibility for the drug court program will supervise participants (see 34 U.S.C. 10614(d)(6)).

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

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

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

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

#### **(8) Management Information Systems and Evaluation**

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

- Describe how the program will develop shared outcomes with partner agencies. Explain what the shared outcomes are and how they will be measured. Discuss how the family drug court will demonstrate to partner agencies that outcomes have been achieved.

The program narrative should reflect how the applicant will accomplish the above-described program activities through the proposed objectives and deliverables. Applications should be realistic in estimating the cost of deliverables and in detailing the expansion schedule.

OJJDP expects grantees selected under this program to work collaboratively with the OJJDP training and technical assistance provider, Children and Family Futures, who will support grantees in the execution of their expansion plans. Children and Family Futures will provide intensive technical assistance through a systematic, multiyear approach with specific timeframes and performance benchmarks. Children and Family Futures will also assist with the development or improvement of family drug court policies and practices to enhance or expand court services. Additionally, technical assistance will be provided to help grantees develop and monitor evaluation and information-sharing systems.

**All Categories.** The Goals, Objectives, and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

### **Evidence-Based Programs or Practices**

OJP strongly emphasizes the use of data and evidence in policymaking 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](#) website and the [OJJDP 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.

### **Information Regarding Potential Evaluation of Programs and Activities**

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that the Office of Justice Programs may conduct or support an evaluation of the programs and activities

funded under this solicitation. Recipients and sub-recipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

## **B. Federal Award Information**

OJJDP expects to make up to 19 awards under this solicitation, for an estimated total amount awarded of \$12.1 million.

Under Category 1: Juvenile Drug Treatment Courts, OJJDP expects to make up to seven awards of up to \$400,000 each, with an estimated total amount awarded of up to \$2.8 million. OJJDP expects to make awards for a 48-month period of performance, to begin on October 1, 2018.

Under Category 2: Family Drug Courts Enhancement, OJJDP expects to make up to seven awards of up to \$900,000 each, with an estimated total amount awarded of up to \$6.3 million. OJJDP expects to make awards for a 48-month period of performance, to begin on October 1, 2018.

Under Category 3: Family Drug Courts Implementation, OJJDP expects to make up to five awards of up to \$600,000 each, with an estimated total amount awarded of up to \$3 million. OJJDP expects to make awards for a 48-month period of performance, to begin on October 1, 2018.

OJJDP does not plan to provide additional funding in future years to awards made under this solicitation. 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**

OJJDP expects to make any award under this solicitation in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>10</sup>) must, as described in the Part 200 Uniform Requirements<sup>11</sup> as set out at 2 C.F.R. 200.303:

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<sup>10</sup> For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient (subgrantee) to carry out part of the funded award or program. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section D of this solicitation.

<sup>11</sup> The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R. Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

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

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information), which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire – the [OJP Financial Management and System of Internal Controls Questionnaire](#) – that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

## **Budget Information**

### **Cost Sharing or Match Requirement (cash or in-kind)**

Federal funds awarded under this solicitation may not cover more than 75% of the total costs of the project. An applicant must identify the source of the 25% nonfederal portion<sup>12</sup> of the total project costs and how it 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” funds may be used only for purposes that would be allowable for the federal funds.) Recipients may satisfy this match requirement with either cash or in-kind services. See the DOJ Grants

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<sup>12</sup> Indian tribes and tribal organizations that otherwise are eligible for an award may be able to apply certain types of funds received from the federal government (for example, certain funds received under an Indian “self-determination contract”) to satisfy all or part of a required “nonfederal” match.

Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm> for examples of “in-kind” services. The formula for calculating the match is:

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

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

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

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

For additional information on cost sharing and match requirements, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>

### **Preagreement Costs (also known as Preaward Costs)**

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

OJP does **not** typically approve preagreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving preagreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for preagreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm> 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, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the 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>13</sup> The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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. (Nonfederal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

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<sup>13</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

<https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include 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 "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

## **C. Eligibility Information**

For eligibility information, see the title page.

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

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

### **What an Application Should Include**

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an

award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, including the funding limit, or that OJP determines does not include the application elements that OJJDP has designated to be critical, will neither proceed to peer review nor receive further consideration. For this solicitation, OJJDP has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative.

**NOTE:** OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the “Note on File Names and File Types” under [How To Apply](#) to be sure applications are submitted in permitted formats.

## **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 preapplications, applications, and related information. Grants.gov and the OJP 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).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP’s financial system). Also, current recipients should enter the Employer Identification Number (EIN) in box 8b exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice (GAN) updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.



**Intergovernmental Review:** This solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response 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 (such as Times New Roman) with 1-inch margins.

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 26.

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

## 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:<sup>14</sup>

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<sup>14</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).



- a. **Statement of the Problem.** Applicants should briefly describe the nature and scope of the problem that the program will address (e.g., Category 1: youth with substance abuse problems who come in contact with the juvenile court; Categories 2 and 3: opioid-exposed newborns, reunification rates for children with substance-abusing parents, lack of access to treatment services for parents, reentry rates, poor family functioning). 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. Any data or research referenced in the narrative should include information about the source of the data and/or a citation. 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 their 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. (Examples of measurable objectives include the following: to provide training to 40 practitioners on trauma-informed care, to refer 50 children/youth/parents to a partner organization substance abuse treatment program, or to expand substance abuse treatment services to cover an additional 50 children/youth/parents).

**Performance Measures.** OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information About Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in [Section A. Program Description](#).

Applicants should visit OJP's performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP.

Performance measures for this solicitation are listed in [Appendix A: Performance Measures Table](#).

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

OJJDP will require award recipients to submit semiannual performance metrics of relevant data through the [Data Reporting Tool](#).

### **Note on Project Evaluations**

An applicant that proposes to use award funds 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.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) webpage of the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards,”](#) available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Every prospective applicant whose application may propose 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. OJJDP encourages applicants to select evidence-based practices for their programs.

This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project 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 33.

**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 33. 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.

**Letters of Support/Memoranda of Understanding.** If submitting a joint application, as described under Eligibility, page 1, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners that include the following:

- 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.

**Categories 2 and 3: Family Drug Courts Enhancement and Family Drug Courts Implementation.** Family drug court applicants should provide a memorandum of understanding, including signed letters of support from each of the key drug court team members: judge, child protection services representative, agency attorney/prosecutor, parent attorney/defense attorney, child representative, treatment provider, and drug court coordinator.

**All Categories.** Letters of support may be addressed to the OJJDP Administrator. Only letters of support that are submitted by the due date and with the full application will be considered during the review process.

#### 4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

**Category 1: Juvenile Drug Treatment Courts.** All applicants must allocate \$7,500 in their budgets to support travel costs associated with technical assistance and capacity-building activities that OJJDP-designated technical assistance providers will sponsor or OJJDP has approved.

**Categories 2 and 3: Family Drug Courts Enhancement and Family Drug Courts Implementation.** Grantees must plan to attend two meetings the first year (one will be the kickoff/new grantee orientation meeting) and one grantee meeting each successive year. Grantees must plan to send a minimum of four people (including the project director, family drug court judge/judicial officer, child welfare representative, and treatment representative). For budgetary purposes, assume the meetings will be in the Washington, DC, area. Each meeting will be for a minimum of 2.5 days. Attendance is mandatory.

**All Categories.** For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

##### a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

## **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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

## **c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make *subawards*. Applicants also may propose to enter into procurement *contracts* under the award.

Whether an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction, as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

In general, the central question is the relationship between what the third party will do under its agreement with the recipient and what the recipient has committed (to OJP) to

do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a *subaward* for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other nonfederal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

## **1. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

## **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317–200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a noncompetitive approach for the procurement. An applicant that (at the time of its application) intends—without competition—to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently, \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source GAN. Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

#### **d. Preagreement Costs**

For information on preagreement costs, see [Section B. Federal Award Information](#).

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

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (unexpired) federally approved indirect cost rate; or
- (b) The recipient 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).

An applicant with a current (unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, contact the Office of the Chief Financial Officer Customer Service Center at 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 <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the *de minimis* indirect cost rate. An applicant that is eligible to use the *de minimis* rate and that wishes to use the *de minimis*



rate should attach written documentation to the application that advises OJP of both (1) the applicant's eligibility to use the *de minimis* rate and (2) its election to do so. If an eligible applicant elects the *de minimis* rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The *de minimis* rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the *de minimis* rate.) For the "de minimis" rate requirements (including on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f)..

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

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

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

## **7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the preaward risk assessment process.

The questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the questionnaire directly impact the preaward risk assessment and should accurately reflect the applicant's financial management and internal controls system at the time of the application. The preaward risk assessment is only one of multiple factors and criteria used in determining funding. However, a preaward risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements,



monitoring, special conditions, withholding of award funds, or other additional award requirements.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.
- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

## **8. Disclosure of Lobbying Activities**

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## **9. Additional Attachments**

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their applications. While the materials listed below are not assigned specific point values, peer reviewers will, as appropriate, consider these items when rating applications. For example, reviewers will consider résumés and/or letters of support/memoranda of understanding when assessing “capabilities/competencies.” Peer reviewers will not consider any additional information that the applicant submits other than that specified below.

### **a. Applicant Disclosure of Pending Applications**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also

applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid 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.

Each applicant that has one or more pending applications as described above is 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 federal or state funding agency.

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

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant’s legal name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.”

## **b. Research and Evaluation Independence and Integrity**

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The

applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** items i. and ii below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including thorough review of pertinent information on the principal investigator, any coprincipal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any coprincipal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are 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 would not be given an award 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), because the organization in such an instance might 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, each applicant is to address 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 actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the

specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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 27).
- d. Timeline or milestone chart (see page 27).
- 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 27).

### **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 at <https://www.grants.gov/web/grants/support.html>. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

**Important Grants.gov update.** Grants.gov has updated its application tool. The legacy PDF application package has been phased out and was retired on December 31, 2017. Grants.gov

Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date to allow time for the applicant 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.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. 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. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.). Applicants should ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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

Characters
Upper case (A – Z)
Lower case (a – z)
Underscore ( _ )
Hyphen ( - )
Space
Period ( . )

Special Characters		
Parenthesis ( )	Curly braces { }	Square brackets [ ]
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma ( , )	Semicolon ( ; )	Apostrophe ( ' )
At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Percent sign ( % )	Plus sign ( + )	Equal sign ( = )

**\*When using the ampersand (&) in XML, applicants must use the “&amp;” format.**

**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:

### **Unique Entity Identifier (DUNS Number) and System for Award Management**

Every applicant entity must comply with all applicable SAM and unique entity identifier (currently, a DUNS number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

### **Registration and Submission Steps**

1. **Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at [https://www.fsd.gov/fsd-gov/answer.do?sysparm\\_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm\\_search=kb0013183](https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183).

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an EIN. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **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.

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>.
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 (CFDA) number for this solicitation is 16.585, titled "OJJDP FY 2018 Drug Court Discretionary Grant Program," and the funding opportunity number is OJJDP-2018-13551.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

Category 1: Juvenile Drug Treatment Courts. **Competition ID:** OJJDP-2018-13552.

Category 2: Family Drug Courts Enhancement. **Competition ID:** OJJDP-2018-13553.

Category 3: Family Drug Courts Implementation. **Competition ID:** OJJDP-2018-14520.
7. **Access funding opportunity and application package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
8. **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. The second will state whether the application has been validated and successfully submitted, or whether it has been 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 an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **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. Applications must be successfully submitted through Grants.gov by 11:59 p.m. ET on June 21, 2018.



Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

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

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties and must 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: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desk to verify 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 untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are 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, such as issues with firewalls or browser incompatibility.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.**

## **E. Application Review Information**

### **Review Criteria**

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

1. Statement of the Problem (20%)
2. Goals, Objectives, and Performance Measures (5%)
3. Project Design and Implementation (45%)



4. Capabilities and Competencies (20%)
5. Budget (10%): complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>15</sup> Federal funds awarded under this solicitation may not cover more than 75% of the total costs of the project. An applicant must identify the source of the 25% nonfederal portion<sup>16</sup> of the total project costs and how it will use match funds.

See What an Application Should Include, page 22, 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 making awards. 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 an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as critical elements.
- The applicant must not be identified in SAM as excluded from receiving federal awards.

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. OJJDP may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review 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. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJJDP include geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget

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<sup>15</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

<sup>16</sup> Indian tribes and tribal organizations that otherwise are eligible for an award may be able to apply certain types of funds received from the federal government (for example, certain funds received under an Indian “self-determination contract”) to satisfy all or part of a required “nonfederal” match.

narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by the applicant. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the nonpublic segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System (FAPIIS)).

**Important note on FAPIIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by the applicant.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as—

1. Applicant financial stability and fiscal integrity.
2. Quality of the applicant's management systems, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide.
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies.
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

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 take into account not only peer review ratings and OJJDP recommendations, but also other factors as indicated in this section.

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

### **Federal Award Notices**

Award notifications will be made by September 30, 2018. OJP sends award notifications 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 steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9 p.m. ET on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning and submission 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 OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

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

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) to view the overview of performance measurement activities at OJP. Performance measures for this specific program are listed as [Appendix A](#).

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

For OJP contact(s), see the title page.

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

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement-sensitive information.

## Provide Feedback to OJP

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

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, email your résumé to [ojppeerreview@l-secb.com](mailto:ojppeerreview@l-secb.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

## Appendix A: Performance Measures Table

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 program must provide data that measure the results of their work done under this program. OJP will require any award recipient, post award, to provide the data requested in the “Data Recipient Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this Invitation are as follows:

### Category 1: Juvenile Drug Treatment Courts

Objective	Performance Measure(s)	Description	Data Recipient Provides
To support existing juvenile drug treatment courts to implement system changes, service delivery, and programming that are in alignment with the <i>Juvenile Drug Court Treatment Guidelines</i> .	Percent of programs/initiatives employing evidence-based programs or practices.	Number and percent of programs/initiatives employing evidence-based programs or practices. These include programs and practices that have been shown, through rigorous evaluation and replication, to be effective at preventing or reducing juvenile delinquency or related risk factors, such as substance abuse. Model programs can come from many valid sources (e.g., Blueprints, OJJDP’s Model Programs Guide, SAMHSA’s Model Programs, state model program resources, etc.)	A. Number of programs/initiatives employing evidence-based programs or practices. B. Total number of programs/initiatives. C. Percent (A/B).
	Percent of youth with whom an evidence-based program or practice was used.	Number and percent of youth served with whom an evidence-based program or practice was used. These include programs and practices that have been shown, through rigorous evaluation and replication, to be effective at preventing or reducing juvenile delinquency or related risk factors, such as substance abuse. Model programs can come from many valid sources (e.g., Blueprints for Violence Prevention, OJJDP’s Model Programs Guide, SAMHSA’s Model Programs, etc.).	A. Number of youth served using an evidence-based program or practice. B. Total number of youth served during the reporting period. C. Percent (A/B).

	Number of program youth served during the reporting period.	An unduplicated count of the number of individual youth served by the program during the reporting period. Definition of the number of youth served for a reporting period is the number of program youth carried over from the previous reporting period, plus new admissions during the reporting period.	A. Number of program youth carried over from the previous reporting period. B. New admissions during the reporting period.
	Number of youth screened, assessed, and receiving the required treatment intervention.	Number and percent of youth who were screened, assessed, and received the required treatment intervention during the reporting period.	A. Number of youth screened using the required screening tool during the reporting period. B. Of A, the number of youth who demonstrated a need for services or treatment during the reporting period. C. Of B, the number of youth who actually received services or treatment during the reporting period.
	Number of services provided to youth.	This measure is designed to assess both need and program capacity. Report the number of youth who are assessed as needing various types of services during the reporting period and also the number of youth who actually receive various services during the reporting period. Other services may include educational services, social skills building, cultural skills building, or any services other than substance abuse counseling, mental health, or housing services. Program records are the preferred data source.	A. Number of youth assessed as needing substance abuse counseling/services during the reporting period. B. Number of youth enrolled in substance abuse counseling/services during the reporting period. C. Number of youth assessed as needing mental health services during the reporting period. D. Number of youth enrolled in mental health services during the reporting period. E. Number of youth assessed as needing housing services during the reporting period. F. Number of youth who successfully found housing during the reporting period.

			<p>G. Number of youth assessed as needing other services during the reporting period.</p> <p>H. Number of youth enrolled in other services during the reporting period.</p>
	Percent of program youth exhibiting a desired change in the targeted behavior (short and long term).	Number and percent of program youth who exhibited a desired change in the targeted behavior during the reporting period or 6–12 months after exiting the program.	<p>A. Number of program youth served during the reporting period or who exited the program 6–12 months ago with the noted behavioral change (behavior targeted will depend on specific program goals and activities and may include family relationships, substance abuse, etc.).</p> <p>B. Total number of youth receiving services for the targeted behavior during the reporting period or who exited the program 6–12 months ago.</p> <p>C. Percent (A/B).</p>
	Percent of program youth who passed the drug testing.	Number of drug and alcohol tests performed on youth served by the program during the reporting period. Tests could be urinalysis, blood tests, or other proven reliable forms of drug and alcohol testing. Report the number of tests conducted, rather than the number of people tested (it is understood that one person may be tested several times, or tested using several methods during a reporting period).	<p>A. Number of drug and alcohol tests performed on program youth during the reporting period.</p> <p>B. Number of positive tests recorded (by type: drug or alcohol).</p> <p>C. Percent (A/B).</p>
	Percent of program youth who were adjudicated during the reporting period (short term).	Number and percent of participating program youth who were adjudicated for a new delinquent offense during the reporting period. This does NOT include technical violations and is appropriate for any youth-serving program. A juvenile residential facility is a place where young persons	<p>A. Number of program youth who were committed to a juvenile residential facility as a result of a new adjudication during the reporting period.</p> <p>B. Number of youth sentenced to adult prison as a result of a new</p>



		<p>who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages. Official records (police, juvenile court) are the preferred data source.</p>	<p>adjudication during the reporting period.  C. Number of youth given some other sentence as a result of a new adjudication during the reporting period.  D. Number of program youth tracked for adjudications during the reporting period.  E. Percent <math>((A+B+C)/D)</math>.</p>
	<p>Number and percent of program youth who were adjudicated during the reporting period (long term).</p>	<p>Number and percent of program youth who exited the program 6–12 months ago and were adjudicated for a new delinquent offense during the reporting period. This does NOT include technical violations and is appropriate for any youth-serving program. A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping units, such as wings, floors, dorms, barracks, or cottages. Official records (police, juvenile court) are the preferred data source.</p>	<p>A. Number of program youth who exited the program 6–12 months ago and were recommitted to a juvenile residential facility as a result of a new adjudication during the reporting period.  B. Number of youth who exited the program 6–12 months ago and were sentenced to adult prison as a result of a new adjudication during the reporting period.  C. Number of youth who exited the program 6–12 months ago and were given some other sentence as a result of a new adjudication during the reporting period.  D. Number of program youth who exited the program 6–12 months ago and were tracked for new adjudications during the reporting period.  E. Percent <math>((A+B+C)/D)</math>.</p>
	<p>Percent of program youth who had technical violations during the reporting period (short term).</p>	<p>Number and percent of program youth who had a violation of the terms of their supervision (commonly referred to as a technical violation) during the reporting period. A juvenile residential facility is a place where young persons who have committed offenses may be housed overnight. A facility has living and sleeping</p>	<p>A. Number of program youth who were committed to a juvenile residential facility as a result of a technical violation during the reporting period.  B. Number of youth who were sentenced to adult prison as a result of a technical violation during the reporting period.</p>

		units, such as wings, floors, dorms, barracks, or cottages. The number of youth tracked should reflect the number of program youth who are followed or monitored for arrests or offenses during the reporting period. Program records are the preferred data source.	C. Number of youth who received some other sentence as a result of a technical violation during the reporting period. D. Number of program youth tracked for technical violations during the reporting period. E. Percent $((A+B+C)/D)$ .
	Percent of program youth who had technical violations during the reporting period (long term).	Number and percent of program youth who exited the program 6–12 months ago and had a violation of the terms of their supervision (commonly referred to as a technical violation) during the reporting period.	A. Number of program youth who exited the program 6–12 months ago and were committed to a juvenile residential facility as a result of a technical violation during the reporting period. B. Number of youth who exited the program 6–12 months ago and were sentenced to adult prison as a result of a technical violation during the reporting period. C. Number of youth who exited the program 6–12 months ago and received some other sentence as a result of a technical violation during the reporting period. D. Number of program youth who exited the program 6–12 months ago and were tracked for technical violations during this reporting period. E. Percent $(A+B+C)/D)$ .
	Percent of program youth completing program requirements.	Number and percent of program youth who have successfully fulfilled all program obligations and requirements. This does not include youth who are still in ongoing programs. Program obligations will vary by program, but should be a predefined list of requirements or obligations that clients must meet before	A. Number of program youth who exited the program having completed all program requirements during the reporting period. B. Total number of youth who exited the program during the reporting period (either successfully or unsuccessfully). C. Percent $(A/B)$ .

		<p>program completion. The total number of youth (the “B” value) includes those youth who have exited successfully as well as those who have exited unsuccessfully.</p> <p>Program records are the preferred data source.</p>	
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### Categories 2 and 3: Family Drug Courts Enhancement and Family Drug Courts Implementation

Objective	Performance Measure(s)	Description	Data Recipient Provides
Increase the capacity of courts to intervene with substance-abusing adults and adults with co-occurring mental health disorders who are enrolled with the court as a result of child abuse and neglect issues.	Number of enrolled parents or guardians served during the reporting period.	An unduplicated count of the number of enrolled parents or guardians served by the program during the reporting period. Program records are the preferred data source.	<p>A. Number of enrolled parents or guardians carried over from the previous reporting period.</p> <p>B. New admissions during the reporting period.</p> <p>C. Total of enrolled parents and guardians served during the reporting period (A+B).</p>
	Number of additional family members served during the reporting period.	An unduplicated count of the number of additional family members (youth and adults) served by the program during the reporting period. Program records are the preferred data source.	<p>A. Number of additional family members carried over from the previous reporting period.</p> <p>B. New admissions during the reporting period.</p> <p>C. Total (A+B).</p>
	Number of enrolled parents or guardians with whom an evidence-based program or practice was used.	Number of enrolled parents or guardians served with whom an evidence-based program or practice was used. These include programs that have been shown, through rigorous evaluation and replication, to be effective at preventing or reducing substance abuse. Model programs can come from many valid sources (e.g., Blueprints for Violence Prevention, OJJDP’s Model Programs Guide, SAMHSA’s	<p>A. Number of enrolled parents or guardians served using an evidence-based program or practice.</p> <p>B. Total number of enrolled parents or guardians served during the reporting period.</p> <p>C. Percent (A/B).</p>

		Model Programs, state model program resources, etc.).	
	Number (by type) of services provided to enrolled parents or guardians.	This measure is designed to assess both need and program capacity. Report the number of enrolled parents and guardians who are assessed as needing various types of services during the reporting period, and also the number of parents and guardians who actually receive various services during the reporting period. Services may include substance abuse counseling/services, mental health services, housing, or other services.	<p>A. Number of enrolled parents or guardians assessed as needing substance abuse counseling/services during the reporting period.</p> <p>B. Number of enrolled parents or guardians enrolled in substance abuse counseling/services during the reporting period.</p> <p>C. Number of enrolled parents or guardians assessed as needing mental health services during the reporting period.</p> <p>D. Number of enrolled parents or guardians enrolled in mental health services during the reporting period.</p> <p>E. Number of enrolled parents or guardians assessed as needing housing services during the reporting period.</p> <p>F. Number of enrolled parents or guardians who successfully found housing during the reporting period.</p> <p>G. Number of enrolled parents or guardians assessed as needing other services during the reporting period.</p> <p>H. Number of enrolled parents or guardians enrolled in other services during the reporting period.</p>
	Number (by type) of services provided to additional family members.	This measure is designed to assess both need and program capacity. Report the number of additional family members who are assessed as needing various types of services during the reporting period, and also the number of additional family members	<p>A. Number of additional family members assessed as needing substance abuse counseling/services during the reporting period.</p> <p>B. Number of additional family members enrolled in substance abuse</p>

		who actually receive various services during the reporting period. Services may include substance abuse counseling/services, mental health services, housing, or other services.	counseling/services during the reporting period. C. Number of additional family members assessed as needing mental health services during the reporting period. D. Number of additional family members enrolled in mental health services during the reporting period. E. Number of additional family members assessed as needing housing services during the reporting period. F. Number of additional family members who successfully found housing during the reporting period. G. Number of additional family members assessed as needing other services during the reporting period. H. Number of additional family members enrolled in other services during the reporting period.
	Percent of parents or guardians and additional family members exhibiting a desired change in the targeted behavior (short and long term).	Number and percent of parents or guardians and additional family members who have exhibited a desired change in the targeted behavior during the reporting period or 6–12 months after exiting the program.	A. Number of parents or guardians and additional family members served during the reporting period or who exited the program 6–12 months ago with the noted behavioral change (behavior targeted will depend on specific program goals and activities and may include family relationships, substance abuse problems, etc.). B. Total number of parents or guardians and additional family members receiving services for the targeted behavior during the reporting period or who exited the program 6–12 months ago. C. Percent (A/B).

	Percent of enrolled parents or guardians who passed the drug testing	Number of drug and alcohol tests performed on enrolled parents or guardians served by the program during the reporting period. Tests could be urinalysis, blood tests, or other proven reliable forms of drug and alcohol testing. Report the number of tests conducted, rather than the number of people tested (it is understood that one person may be tested several times or tested using several methods during a reporting period).	A. Number of drug and alcohol tests performed on enrolled parents or guardians during the reporting period. B. Number of positive tests recorded (by type: drug or alcohol). C. Percent (A/B).
	Number of enrolled parents or guardians arrested for technical violations (short term).	Number of enrolled parents or guardians who were arrested for violations of the family drug court conditions during the reporting period. This may include non-drug-related charges. A and B may be the same number depending on how your jurisdiction handles technical violations.	A. Number of enrolled parents or guardians arrested for a new technical violation during the reporting period. B. Number of enrolled parents or guardians with a technical violation during the reporting period. C. Number of enrolled parents or guardians tracked for a technical violation during the reporting period. D. Percent of arrests for technical violations (A/C). E. Percent of technical violations (B/C).
	Number of enrolled parents or guardians arrested for technical violations (long term).	Number of enrolled parents or guardians who were arrested for violations of the family drug court program conditions 6–12 months after exiting the program. This may include non-drug-related charges. A and B may be the same number depending on how your jurisdiction handles technical violations.	A. Number of enrolled parents or guardians arrested for a new technical violation 6–12 months after exiting the program. B. Number of enrolled parents or guardians with a technical violation 6–12 months after exiting the program. C. Number of enrolled parents or guardians tracked for technical violations 6–12 months after exiting the program.

			D. Percent of arrests for technical violations (A/C). E. Percent of technical violations (B/C).
	Number of enrolled parents or guardians arrested for new drug offenses (short term).	Number of enrolled parents or guardians who were arrested for a new drug offense during the reporting period.	A. Number of enrolled parents or guardians arrested for a new drug offense during the reporting period. B. Number of enrolled parents or guardians tracked for drug offenses during the reporting period. C. Percent (A/B).
	Number of enrolled parents or guardians arrested for new drug offenses (long term).	Number of enrolled parents or guardians who were arrested for a new drug offense 6–12 months after exiting the program.	A. Number of enrolled parents or guardians arrested for a new drug offense 6–12 months after exiting the program. B. Number of enrolled parents or guardians tracked for drug offenses 6–12 months after exiting the program. C. Percent (A/B).
	Number of enrolled parents or guardians who successfully exit the court (short term).	Number of enrolled parents or guardians who have successfully met all of the court obligations and requirements. Court obligations will vary by court, but should be a predefined list of obligations or requirements that participants must meet before completion. Court records are the preferred data source. The total number of enrolled parents and guardians (the “B” value) includes those enrolled parents and guardians who have exited successfully as well as those who have exited unsuccessfully during the reporting period.	A. Number of enrolled parents or guardians who exited the court having completed all requirements during the reporting period. B. Total number of enrolled parents or guardians who exited the court during the reporting period (either successfully or unsuccessfully). C. Percent (A/B).
	Average length of program stay for	The average length of time (in days) that enrolled parents or guardians remain	A. Total number of parents or guardians who exited the program regardless of

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



			B. Number of children in permanent placement during the reporting period. C. Percent (A/B).
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## Appendix B: Application Checklist

### OJJDP FY 2018 Drug Treatment Courts Program

This application checklist has been created as an aid in developing an application.

#### What an Applicant Should Do:

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

- \_\_\_\_\_ Acquire a DUNS Number (see page 38)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 38)

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

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 39)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 39)

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

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 39)
- \_\_\_\_\_ Select the correct Competition ID (see page 39)
- \_\_\_\_\_ Access Funding Opportunity and Application Package (see page 39)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 37)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm> (see page 22)

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

- \_\_\_\_\_ (1) Application has been received
- \_\_\_\_\_ (2) Application has either been successfully validated or rejected with errors (see page 39)

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

- \_\_\_\_\_ Contact Grants.gov and/or SAM regarding technical difficulties. Refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 40)
- \_\_\_\_\_ Contact the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) to request to submit the application after the deadline because of unforeseen technical issues. Refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 40)

#### Overview of Post-Award Legal Requirements:

- \_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

#### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$400,000 for Category 1 applicants and \$900,000 for Category 2 applicants.

## Eligibility Requirement:

See title page.

## What an Application Should Include:

_____	Application for Federal Assistance (SF-424)	(see page 23)
_____	Project Abstract	(see page 24)
_____	Program Narrative	(see page 24)
_____	Statement of the Problem	
_____	Goals, Objectives, and Performance Measures	
_____	Project Design and Implementation	
_____	Capabilities and Competencies	(see page 27)
_____	Budget Detail Worksheet	(see page 28)
_____	Budget Narrative	(see page 29)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 31)
_____	Tribal Authorizing Resolution (if applicable)	(see page 32)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 32)
_____	<a href="#">Disclosure of Lobbying Activities (SF-LLL)</a>	(see page 33)
_____	Additional Attachments	(see page 33)
_____	Applicant Disclosure of Pending Applications	
_____	Research and Evaluation Independence and Integrity	
_____	Logic model	
_____	Timeline or milestone chart	
_____	Résumés of all key personnel	
_____	Job descriptions outlining roles and responsibilities for all key positions	
_____	Letters of support/memoranda of understanding from partner organizations	
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 21)