

**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) 2019 Drug Treatment Courts Training and Technical Assistance Program. This program furthers the Department's mission by building the capacity of states, state and local courts, units of local government, and tribal governments to develop, maintain, and enhance drug courts for juveniles and parents/guardians with substance abuse problems or co-occurring mental health disorders, specifically those related to opioid abuse.

## **OJJDP FY 2019 Drug Treatment Courts Training and Technical Assistance Program**

**Applications Due: May 6, 2019**

### **Eligibility**

Eligible applicants are limited to nonprofit organizations<sup>1</sup> and for-profit organizations (including tribal nonprofit and for-profit organizations) and institutions of higher education (including tribal institutions of higher education). All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

OJJDP welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (subgrantees).<sup>2</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application.

### **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 May 6, 2019.

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

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<sup>1</sup> See [ojp.gov/funding/Explore/SolicitationRequirements/OrganizationalRequirements.htm](http://ojp.gov/funding/Explore/SolicitationRequirements/OrganizationalRequirements.htm) for additional information on demonstrating nonprofit status.

<sup>2</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

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/FY2019/FAQ/DCTPTTA.pdf>.

Grants.gov number assigned to this solicitation: OJJDP-2019-15023

Release date: March 5, 2019

# Contents

A. Program Description .....	4
Overview .....	4
Program Specific Information .....	4
Goals, Objectives, and Deliverables .....	5
Evidence-Based Programs or Practices .....	11
B. Federal Award Information .....	12
Type of Award .....	13
Financial Management and System of Internal Controls .....	13
Budget Information .....	14
Cost Sharing or Match Requirement .....	14
Preagreement Costs (also known as Preaward Costs) .....	14
Limitation on Use of Award Funds for Employee Compensation; Waiver .....	14
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	15
Costs Associated With Language Assistance (if applicable) .....	15
C. Eligibility Information .....	15
D. Application and Submission Information .....	156
What an Application Should Include .....	156
How To Apply .....	30
E. Application Review Information .....	34
Review Criteria .....	34
Review Process .....	34
F. Federal Award Administration Information .....	36
Federal Award Notices .....	36
Administrative, National Policy, and Other Legal Requirements .....	36
General Information About Post-Federal Award Reporting Requirements .....	37
G. Federal Awarding Agency Contact(s) .....	38
H. Other Information .....	38
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a) .....	38
Provide Feedback to OJP .....	39
Appendix A: Performance Measures Table .....	40
Appendix B: Application Checklist .....	46

# OJJDP FY 2019 Drug Treatment Courts Training and Technical Assistance Program CFDA #16.585

## A. Program Description

### Overview

OJJDP is working towards a nation where children are free from crime and violence. If they come into contact with the justice system, the contact should be both just and beneficial to them. To help OJJDP fulfill this vision, this program will fund training and technical assistance (TTA) to states, state and local courts, units of local government, and tribal governments that will build their capacity to develop, maintain, and enhance drug courts for juveniles and parents/guardians with substance abuse problems<sup>3</sup> or co-occurring mental health disorders, specifically those related to opioid abuse. This solicitation has two categories—Category 1: Juvenile Drug Treatment Courts Training and Technical Assistance Program and Category 2: Family Drug Courts Training and Technical Assistance Program.

**Statutory Authority:** This program is authorized pursuant to 34 U.S.C. § 10619.

### Program-Specific Information

For the purposes of this solicitation, the term “drug court” means a specially designed court calendar or docket; a separate or special jurisdiction court is neither necessary nor encouraged. When implemented using an evidence-based approach, drug treatment courts can reduce recidivism and substance abuse among high-risk participants and increase their likelihood of successful rehabilitation.<sup>4</sup> Juvenile and family drug treatment courts offer a specialized way to respond to the needs of substance-abusing juveniles and parents/guardians and their complex disorders, which require targeted interventions.

OJJDP seeks providers with extensive expertise in providing training and technical assistance to develop and enhance juvenile or family drug court strategies. The providers should have substantial experience conducting assessments of technical assistance needs, using evidence-based best practices, assessing the capacity of established juvenile or family drug court programs to address substance abuse/co-occurring mental health needs, developing and conducting training for juvenile or family drug courts, conducting post-training evaluations, and effectively communicating and collaborating with other agencies to enhance juvenile or family drug treatment court outcomes. Successful applicants will work with OJJDP to provide guidance

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<sup>3</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>4</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.

on training topics, publications, manuals, training conferences, selection of grantees for onsite visits, and other substantive issues and deliverables.

Providers will be expected to coordinate and collaborate with the OJJDP Opioid Affected Youth Initiative<sup>5</sup> TTA provider in efforts to develop a comprehensive approach to help states, local governments, and tribal jurisdictions develop and implement an effective, data-driven, coordinated response that addresses the abuse of opioids and provides services to improve public safety and outcomes for children, youth, and their families impacted by the opioid crisis. Providers will also be expected to coordinate and collaborate with the OJJDP Tribal Youth TTA Center.<sup>6</sup>

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

The overall goal of the Drug Treatment Court TTA Program is to assist new and operational juvenile or family drug treatment court programs in the development and implementation of improved practices for increased program effectiveness and long-term participant success. OJJDP requires providers to assist new and operational courts (federally funded and nonfederally funded) with building and maximizing local capacity around effectively identifying and assessing potential drug court participants; ensuring drug court participants receive targeted research-based services; implementing consistent, efficient, and effective case planning, monitoring, and supervision procedures; enhancing the provision of treatment and recovery support services; and helping collect and report on performance measures to identify and assess successes, gaps, and trends in drug court case processing and service delivery.

### **Category 1: Juvenile Drug Treatment Courts TTA Program**

The goal of the Juvenile Drug Treatment Courts TTA Program is to build the capacity and effectiveness of juvenile drug treatment courts. The successful applicant should have substantial experience in assessing TTA needs, effectively communicating and collaborating with drug courts, providing peer-to-peer training, providing individualized technical assistance, and conducting post-training follow-up and evaluations. Training and technical assistance should be targeted to all OJJDP-funded juvenile drug treatment courts and reach as many juvenile drug treatment courts as possible.

The program's overall objective is to provide juvenile drug treatment court practitioners with training and technical assistance that will develop, maintain, and enhance their juvenile drug treatment court. It is expected that the successful applicant will develop a TTA strategy and prioritization approach that includes both OJJDP-funded juvenile drug treatment courts and other juvenile drug treatment courts with identified needs.<sup>7</sup> To achieve this overall objective, it is expected that the successful applicant will:

- Develop, implement, expand, and enhance TTA materials and activities based on best JDTC practices and treatment practices.

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<sup>5</sup> See [OJJDP FY 2018 Opioid Affected Youth Initiative](#).

<sup>6</sup> See [OJJDP FY 2018 Supporting Tribal Youth: Training and Technical Assistance and Youth Leadership Development](#).

<sup>7</sup> OJJDP-funded juvenile drug treatment court grantees may be found at <https://external.ojp.usdoj.gov/selector/solicitations>.

- Provide JDTCs with local and regional TTA (including rural and remote areas) that will enhance their capacity, knowledge, and skills about best practices related to JDTC operations and the delivery of treatment services. It is expected that this will include assessing needs, initiating and supporting strategic planning, helping implement appropriate program improvements, assessing program performance, and helping to sustain effective juvenile drug treatment court programs.
- Assist OJJDP in identifying promising, innovative, and effective adolescent recovery programs, and assist JDTCs in establishing and sustaining collaborative partnerships with adolescent recovery service providers and stakeholders.
- Assess and address the national training needs for the treatment component of the JDTC.
- Coordinate and collaborate with the Opioid Affected Youth Initiative TTA provider, Tribal Youth Center TTA Program, and Family Drug Court TTA provider in helping program sites develop and implement effective, data-driven responses that address substance abuse, particularly opioids, and provide services to improve public safety and outcomes for children, youth, and families impacted by the national opioid crisis.

**Deliverables.** In addition to the strategy and content of the program design, the successful applicant should complete the following deliverables during the project period. The program narrative should reflect how the applicant will accomplish these activities. Prior to the end of the project, if specified, OJJDP will require the awardee to transfer OJJDP-funded work products to OJJDP. With guidance from OJJDP, the successful applicant will develop the following:

### **1. TTA Transition Plan (if necessary)**

- A transition work plan that describes how the grantee will incorporate data, materials, and processes from the current OJJDP-funded TTA provider into the applicant's proposed TTA approach, including collaboration and interface between outgoing and incoming providers during the transition phase.

### **2. TTA Needs Assessment**

- A plan (including timelines, performance measures, and benchmarks) that specifies which activities the grantee will conduct to achieve the program goals and objectives. Potential activities and deliverables should include, but are not limited to:
  - Develop cost-effective and sustainable strategies for local juvenile drug treatment courts to internally evaluate court programs and monitor participant outcomes.
- A plan for managing training requests to assist in developing a comprehensive strategic plan using JDTC assessment tools for both OJJDP-funded and nonfunded JDTCs.

### 3. TTA Plan, Protocols, and Delivery

- A strategic TTA plan (in coordination with OJJDP) and protocols (including timelines, performance measures, and benchmarks) that specify which activities the applicant will conduct to achieve the program goals and objectives.
- A plan to deliver consistent and quality TTA and performance monitoring. Potential activities and deliverables should include, but are not limited to:
  - Use of JDTC assessment tools to capture grantees' technical assistance needs to track and report results and participant outcomes to OJJDP.
  - Develop strategies to engage OJJDP juvenile drug treatment court grantees and maintain ongoing communication.
  - Develop an individualized, site-specific technical assistance approach based on the results of the self-assessment tool.
  - Follow up with trained drug court teams; track implementation processes; note implementation challenges; monitor participant outcomes; and provide limited, ongoing technical assistance.
- A directory of training experts in juvenile drug treatment courts, trauma-informed care approaches, substance use and co-occurring disorders, mental health, and diverse treatment approaches such as inpatient, outpatient, telehealth,<sup>8</sup> and medication-assisted treatment and recovery communities.
- A projected plan for delivering remote TTA. Potential activities and deliverables could include, but are not limited to:
  - Web-based and/or virtual technical assistance tools (webinars, Skype, etc.) for download and/or online streaming, and determine how they will be marketed to reach all jurisdictions, particularly rural areas.
- A projected plan for coordinating and collaborating with OJJDP's Opioid Affected Youth Initiative TTA provider, Tribal Youth Center TTA Program, and Family Drug Court TTA provider in helping program sites develop and implement an effective, data-driven response that addresses the abuse of opioids and provides services to improve public safety and outcomes for children, youth, and their families impacted by the opioid crisis.

### 4. Marketing Plan

- A program marketing plan that outlines the development of products and materials that will inform JDTCs of the available training services.
- A web-based, interactive map of JDTCs across the nation.

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<sup>8</sup> Use of telecommunications technology to deliver healthcare at a distance from the patient.

## Category 2: Family Drug Courts TTA Program

The goal of the Family Drug Courts TTA Program is to help family drug court practitioners develop, maintain, and enhance family drug courts. The successful applicant should have substantial experience in assessing training needs, effectively communicating and collaborating with drug courts, providing peer-to-peer training, and conducting post-training follow-up and evaluations. It is expected that the successful applicant will develop a TTA strategy and prioritization approach that includes both OJJDP-funded family drug courts and other family drug courts with identified needs.<sup>9</sup>

The program's overall objective is to provide family drug court practitioners with TTA that will develop, maintain, and enhance their family drug court. It is expected that the successful applicant will:

- Assess and address the TTA needs of family drug courts and recommend a plan to deliver assistance to jurisdictions at national, regional, and state levels.
- Develop, implement, and enhance TTA materials and activities, including but not limited to standards, guidelines, protocols, and TTA intake and delivery methods.
- Provide TTA to OJJDP-funded family drug court grantees that includes implementation, enhancement, and veterans initiatives. TTA support should help family drug courts build program capacity, assess needs, initiate strategic planning, implement appropriate program improvements, evaluate program performance, and sustain their programs.
- Identify and describe best practices and lessons learned regarding family drug court implementation, enhancement, and veteran initiatives to share with other jurisdictions. Disseminate those practices and lessons learned through models, case studies, articles, and white papers to strengthen the family drug court community.
- Coordinate and collaborate with OJJDP's Opioid Affected Youth Initiative TTA provider, Tribal Youth Center TTA Program, and Juvenile Drug Treatment Court TTA provider in helping program sites develop and implement effective, data-driven responses that address substance abuse, particularly opioids, and provide services to improve public safety and outcomes for children, youth, and families impacted by the national opioid crisis.

**Deliverables.** In addition to the strategy and content of the program design, the successful applicant must complete the following deliverables during the project period. Additional deliverables may be developed annually according to need and funding availability. Prior to the end of the project, if specified, OJJDP will require the awardee to transfer OJJDP-funded work products to OJJDP. With guidance from OJJDP, the successful applicant will develop the following:

### 1. TTA Transition Plan (if necessary)

- A transition work plan that describes how the grantee will incorporate data, materials, and processes from the current OJJDP-funded TTA provider into the applicant's

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<sup>9</sup> OJJDP-funded family drug court grantees may be found at <https://external.ojp.usdoj.gov/selector/solicitations>.



proposed TTA approach, including collaboration and interface between outgoing and incoming providers during the transition phase.

## **2. TTA Needs Assessment**

- A plan (including timelines, performance measures, and benchmarks to measure internal progress) that specifies which activities the grantee will conduct to achieve the program goals and objectives. Potential activities and deliverables should include, but are not limited to:
  - Develop cost-effective and sustainable strategies for local family drug courts and statewide initiatives to internally evaluate court programs and monitor participant outcomes.
  - Develop strategies to address the disparate needs of urban versus suburban and rural family drug court programs and their beneficiaries.
- A plan of action to address TTA requests from family drug court programs that includes the collection and use of program evaluation management data. Potential activities and deliverables should include, but are not limited to:
  - Conduct a TTA needs assessment with family drug courts to identify strengths and gaps in current knowledge and practices.
  - Propose methods for family drug courts to conduct self-assessments of their drug court operations as a guide to shaping their TTA requests and maximizing the value and impact of TTA.
  - Develop and implement a prioritization process for fulfilling training requests.

## **3. TTA Plan, Protocols, and Delivery**

- Training, technical assistance, and evaluation protocols to ensure quality of service delivery. Potential activities and deliverables should include, but are not limited to:
  - A projected plan describing how the applicant will engage OJJDP family drug court grantees and maintain ongoing communication.
  - Implementing an instrument to capture, track, and report to OJJDP evaluation and feedback data on the technical assistance recipients' level of satisfaction with the services provided.
- A mechanism for identifying and responding to family drug court training needs (local, regional, and statewide) that maximizes OJJDP funding and increases training participation and use and adoption of TTA recommendations.
- A training proposal to support OJJDP-funded implementation, enhancement, and veterans initiatives.

- A multidisciplinary directory of experts who possess diverse skills and abilities relevant to the family drug court issues identified in the TTA needs assessment, including but not limited to trauma-informed care approaches; substance use and co-occurring disorders; mental health; and diverse treatment approaches such as inpatient, outpatient, telehealth, and medication-assisted treatment and recovery communities.
- A projected plan for onsite training and technical assistance visits. Potential activities and deliverables could include but are not limited to:
  - Develop and facilitate strategic planning meetings, conduct trainings, assist with program design, review data collection and analysis tools and strategies, and advise grantees on meeting their objectives.
  - Submit site visit reports to OJJDP after each onsite visit, summarizing findings and recommended next steps.
  - Develop and implement a mechanism to track courts' implementation of technical assistance recommendations.
  - Follow up with family drug court teams, track implementation processes, note implementation challenges, and provide ongoing technical assistance.
- A projected plan for delivering remote TTA. Potential activities and deliverables could include but are not limited to:
  - Make web-based and/or virtual technical assistance tools (webinars, Skype, etc.) available for download and/or online streaming and determine how they will be marketed to reach all jurisdictions, particularly rural areas.
- A projected plan to facilitate and coordinate mentor court peer-learning opportunities.
- A projected plan for coordinating and collaborating with OJJDP's Opioid Affected Youth Initiative TTA provider, Tribal Youth Center TTA Program, and Juvenile Drug Treatment Court TTA provider in helping program sites develop and implement an effective, data-driven response that addresses the abuse of opioids and provides services to improve public safety and outcomes for children, youth, and their families impacted by the opioid crisis.

#### **4. Marketing Plan**

- A program marketing plan to inform family drug court personnel about available technical assistance, trainings, products, and materials. Potential activities and deliverables should include but are not limited to:
  - A projected plan describing how web-based and/or virtual technical assistance opportunities (webinars, Skype, etc.) will be made available for download and/or online streaming, and how they will be marketed to reach all jurisdictions, particularly in rural areas.

- A program marketing plan for disseminating information and lessons learned from OJJDP family drug court implementation, enhancement, and veterans initiatives. Potential activities and deliverables may include:
  - Family drug court fact sheets, videos, social media campaigns, listservsF, podcasts, and interactive webinars.
- A plan for maintaining a presence at national and/or state drug court conferences and training events to engage a larger audience representing stakeholders across multiple, relevant disciplines.

**Categories 1 and 2.** Applicants should be realistic in estimating the cost of deliverables and in detailing the implementation schedule. OJJDP expects that all program materials developed will be adaptable to address diverse populations. OJJDP also encourages applicants to be innovative and expects applicants to propose alternative approaches to the delivery of training and technical assistance to maximize resources.

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](https://www.crimesolutions.gov) website at <https://www.crimesolutions.gov> 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.

**OJJDP training and technical assistance awardee standards.** OJJDP has developed the Core Performance Standards for Training, Technical Assistance, and Evaluation to promote among providers the consistency and quality of OJJDP-sponsored training and technical assistance and to advance common expectations of performance excellence. The standards present minimum expectations that providers must meet for effective practice in the planning,

coordination, delivery, and evaluation of training. Award recipients must coordinate with OJJDP's National Training and Technical Assistance Center (NTTAC) in the assessment and delivery of services to ensure the effective use of OJJDP grant funding.

Requirements related to coordination of activities will include, but are not limited to:

- **Coordination with OJJDP NTTAC.** OJJDP requires all training and technical assistance projects to coordinate their activities with OJJDP NTTAC by complying with all OJJDP/NTTAC protocols to ensure coordinated delivery of services among providers and the effective use of OJJDP grant funding. OJJDP reserves the right to modify these protocols at any time with reasonable notice to the grantee prior to project completion.
- **OJJDP-funded webinars.** The award recipient must comply with OJJDP's Webinar Guidelines, as described in the core performance standards. Minimally, OJJDP training and technical assistance providers will submit information to OJJDP NTTAC in advance of all events for the online calendar, use the approved OJJDP presentation template, and record events and provide the final files which are compliant with Section 508 of the Workforce Rehabilitation Act to OJJDP or OJJDP's representative. For more information on Section 508 of the Workforce Rehabilitation Act, visit [www.section508.gov](http://www.section508.gov).
- **Training information sharing.** OJP will collect information from its program offices on OJP-funded training and technical assistance events. Award recipients must use OJJDP's standard electronic training request form, submit information to NTTAC on all training events (e.g., name of requestor, description of request, dates of event) 30 days in advance of the event date, and report additional data, as OJJDP requires.

### **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 OJP may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and subrecipients 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 two awards with an estimated total amount awarded of up to \$8,000,000. OJJDP expects to make awards for a 36-month period of performance, to begin on October 1, 2019.

Under Category 1 (Juvenile Drug Treatment Courts TTA), OJJDP expects to make one award of up to \$3,500,000.

Under Category 2 (Family Drug Courts TTA), OJJDP expects to make one award of up to \$4,500,000.

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

### **Type of Award**

OJJDP expects to make any award under this solicitation in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

### **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:

- (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

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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.

Financial Management Online Training, available at <https://onlinegfmt.training.ojp.gov>. (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**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

### **Preagreement Costs (also known as Preadward 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>12</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>12</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://www.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 (D-U-N-S) 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 D-U-N-S 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 D-U-N-S 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 19. All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

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>13</sup>

- a. **Description of the Issue.** Applicants should briefly describe the nature and scope of the problem that the program will address (e.g., gang activity, underage drinking, drug abuse, truancy, youth employment, school performance, etc.). The applicant should use data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document the effects of the problem on the target population and the larger community. 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 services to 200 juvenile/family drug court staff, to offer onsite technical assistance services to 30 juvenile/family drug courts).

**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](#).

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<sup>13</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](#).

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 5. 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 27.

**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 27. 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.

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>.

##### 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) and 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 \$250,000)**

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, \$250,000—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 \$250,000 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, \$250,000) 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 \$250,000 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 information 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.

## **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. 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 Office)	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.”

## **10. Applicant Disclosure and Justification – DOJ High-Risk Grantees<sup>14</sup> (if applicable)**

An applicant that is designated as a DOJ High-Risk Grantee is to submit, as a separate attachment to its application, information that OJP will use, among other pertinent information, to determine whether it will consider or select the application for an award under this solicitation. The file should be named “DOJ High-Risk Grantee Applicant Disclosure and Justification.” (See also “Review Process” below, under Section E. Application Review Information, for a brief discussion of how such information may be considered in the application review process.)

OJP constantly seeks to optimize its investments in criminal- and juvenile justice-focused programs and activities, increase program effectiveness, and maximize the return – and program impact – from limited programmatic resources. Therefore, OJP may remove from consideration or not select for award a “DOJ High Risk Grantee” applicant that is determined to pose a substantial risk of program implementation failure. In making such determinations, OJP will consider one or more of the following factors: the applicant’s lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee designation; the nature and severity of the issues leading to or accompanying the applicant’s DOJ High Risk Grantee designation; or the applicant’s expected ability to manage grant funds and achieve grant goals and objectives.

In this attachment, the applicant is to provide any additional information or justification – especially with regard to corrective actions yet to be implemented (as of the application date) – that may help demonstrate how the applicant has addressed or otherwise mitigated such uncorrected matters, such that any negative impact on the proposed program and its implementation would be immaterial or would be significantly reduced or eliminated. (To the extent that the applicant believes that any of the information provided pursuant to this disclosure may be confidential in nature, the applicant should specifically identify it.)

## **11. 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

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<sup>14</sup> A “DOJ High-Risk Grantee” is a recipient that has received a DOJ High-Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

will not consider any additional information that the applicant submits other than that specified below.

**a. 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** 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 through 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.

- b. Logic model (see page 20).
- c. Timeline or milestone chart (see page 20).
- d. Résumés of all key personnel.
- e. Job descriptions outlining roles and responsibilities for all key positions.
- f. Letters of support/memoranda of understanding from partner organizations (see page 20).

## 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.

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). 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.

An applicant must use the **Add Attachment** button to attach a file to its application. Do not click the paperclip icon to attach files. This action will not attach the files to the application. After adding an attachment, select the **View Attachment** button to confirm you attached the correct file. To remove the file, select the **Delete Attachment** button.

An application can be checked for errors via the **Check Application** button on the **Forms** tab of the **Manage Workspace** page. The button is active if the set of forms in the workspace matches those required in the application package. If you receive a **Cross-Form Errors** message after clicking the **Check Application** button, refer to the Cross-Form Errors help article for more detailed information about this validation error.

**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 (D-U-N-S Number) and System for Award Management**

Every applicant entity must comply with all applicable SAM and unique entity identifier (currently, a D-U-N-S number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A D-U-N-S number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the D-U-N-S 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 D-U-N-S number).** 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 D-U-N-S 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 D-U-N-S number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a D-U-N-S number or apply online at [www.dnb.com](http://www.dnb.com). A D-U-N-S number is usually received within 2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a new entity registration (or updating or renewing a registration) in SAM.gov must submit an original, signed notarized letter appointing the authorized Entity Administrator within thirty (30) days of the registration activation. **Notarized letters must be submitted via U.S. Postal Service Mail.** Read the Alert at [sam.gov/SAM/](http://sam.gov/SAM/) to learn more about what is required

in the notarized letter, and read the *Frequently Asked Questions (FAQs)* at [www.gsa.gov/samupdate](http://www.gsa.gov/samupdate) to learn more about this process change. 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 Employer Identification Number (EIN). Information about SAM registration procedures can be accessed at [sam.gov/SAM/](http://sam.gov/SAM/).

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.

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" (D-U-N-S 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 "Drug Treatment Courts Training and Technical Assistance Program," and the funding opportunity number is OJJDP-2019-15023.
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.
  - For Category 1 in this solicitation, the Competition ID is OJJDP-2019-15024.
  - For Category 2 in this solicitation, the Competition ID is OJJDP-2019-15025.
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.** To preview the application prior to (or after) submitting, go to the **View Application** tab in Workspace. For additional information, review the [View Application Tab](#) help article and [Attachments Tab](#) help article. 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 May 6, 2019.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on D-U-N-S 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 D-U-N-S 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. Description of the Issue (10%)
2. Goals, Objectives, and Performance Measures (10%)
3. Project Design and Implementation (45%)
4. Capabilities and Competencies (25%)
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>

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

### Review Process

OJP is committed to ensuring a fair and open process for 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.

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

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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.

internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. An external peer reviewer is an expert in the subject matter of a given

solicitation who is not a current DOJ employee. 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 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 \$250,000 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, 2019. 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 a physical signature of the award document by the authorized representative. The fully executed award document must then be scanned and submitted 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 2019. 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.

As stated above, OJJDP expects that it will make any award under this solicitation in the form of a cooperative agreement. Cooperative agreements include a condition in the award document that sets out the nature of the “substantial federal involvement” in carrying out the award and program. Generally stated, under OJP cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as substantive coordination of technical efforts and site selection, as well as review and approval of project work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award terms and conditions that it may redirect the project if necessary.

In addition to an award condition that sets out the nature of the anticipated “substantial federal involvement” in the award, cooperative agreements awarded by OJP include an award condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

OJJDP's role will include the following tasks:

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

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

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to verification of employment eligibility. The condition will, generally speaking, require the recipient (and any subrecipient) that accepts the award to verify the employment eligibility of any individual hired under the award, consonant with 8 U.S.C. § 1324a(1).

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to competition requirements set forth at 2 C.F.R. § 200.319. The condition will, generally speaking, prohibit recipients (and any subrecipients) from procuring goods and services with award funds by means of any competition that disadvantages or excludes vendors on the basis of their having (or their having had) a prior or existing contractual relationship with the federal government.

### **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) for an overview of performance measurement activities at OJP. Performance measures for this 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 [ojppsupport@usdoj.gov](mailto:ojppsupport@usdoj.gov). (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

### Category 1: Juvenile Drug Treatment Courts TTA Program

Objective	Performance Measure(s)	Description	Data Recipient Provides
To provide training and technical assistance (TTA) to juvenile drug courts to build their competency, performance, and capacity.	Number of training requests received.	Number of training requests received during the reporting period. Requests can come from individuals or organizations served.	Number of training requests received during the reporting period.
	Number of technical assistance requests received.	Number of technical assistance requests received during the reporting period. Requests can come from individuals or organizations served.	Number of technical assistance requests received during the reporting period.
	Number of program materials developed during the reporting period.	Number of program materials that were developed during the reporting period. Include only substantive materials, such as program overviews, client workbooks, and lists of local service providers. Do not include program advertisements or administrative forms such as sign-in sheets or client tracking forms. Count the number of pieces developed. Program records are the preferred data source.	Number of program materials developed during the reporting period.
	Number of planning or training events held during the reporting period.	Number of planning or training activities held during the reporting period. Planning and training activities include creation of task forces or interagency committees, meetings held, needs assessments undertaken, etc. Program records are the preferred data source.	Number of planning or training activities held during the reporting period.



	Number of people trained during the reporting period.	Number of people trained during the reporting period. The number is the raw number of people receiving any formal training relevant to the program or their position as program staff. Include any training from any source or medium received during the reporting period as long as receipt of training can be verified. Training does not have to have been completed during the reporting period. Program records are the preferred data source.	Number of people trained.
	Percent of people exhibiting increased knowledge of the program area during the reporting period.	Number of people who exhibit an increased knowledge of the program area after participating in training. Use of pre- and post-tests is preferred.	<ul style="list-style-type: none"> <li>A. Number of people exhibiting an increase in knowledge post-training.</li> <li>B. Number of people trained during the reporting period.</li> <li>C. Percent of people trained who exhibited increased knowledge (A/B).</li> </ul>
	Number of program policies changed, improved, or rescinded during the reporting period.	Number of cross-program or agency policies or procedures changed, improved, or rescinded during the reporting period. A policy is a plan or specific course of action that guides the general goals and directives of programs and/or agencies. Include policies that are relevant to the topic area of the program or that affect program operations. Program records are the preferred data source.	<ul style="list-style-type: none"> <li>A. Number of program policies changed during the reporting period.</li> <li>B. Number of program policies rescinded during the reporting period.</li> </ul>
	Percent of organizations reporting improvements in operations based on TTA.	Number and percent of organizations reporting improvements in operations as a result of TTA 1 to 6 months post-service.	<ul style="list-style-type: none"> <li>A. Number of organizations reporting improvements in operations based on TTA during the reporting period.</li> <li>B. Number of organizations served by TTA during the reporting period.</li> <li>C. (A/B).</li> </ul>

	Percent of those served by TTA who reported implementing an evidence-based program and/or practice during or after the TTA.	Number and percent of programs served by TTA that reported implementing an evidence-based program and/or practice during or after the TTA. Evidence-based programs and practices include program models 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 use.	<p>A. Number of programs served by TTA that reported implementing an evidence-based program and/or practice.</p> <p>B. Number of programs served by TTA.</p> <p>C. Percent of programs served by TTA that report using an evidence-based program and/or practice (A/B).</p>
	Number of program materials disseminated during the reporting period.	Number of program materials disseminated during the reporting period.	Enter the number of program materials disseminated during the reporting period.

## Category 2: Family Drug Courts TTA Program

Objective	Performance Measure(s)	Description	Data Recipient Provides
To provide training and technical assistance (TTA) to family drug court practitioners to develop, maintain, and enhance family drug courts.	Number of training requests received.	Number of training requests received during the reporting period. Requests can come from individuals or organizations served.	Number of training requests received during the reporting period.
	Number of technical assistance requests received.	Number of technical assistance requests received during the reporting period. Requests can come from individuals or organizations served.	Number of technical assistance requests received during the reporting period.
	Number of program materials developed during the reporting period.	Number of program materials that were developed during the reporting period. Include only substantive materials, such as program overviews, client workbooks, and lists of local service providers. Do not include program advertisements or administrative forms such as sign-in sheets or client tracking forms. Count the number of pieces developed. Program records are the preferred data source.	Number of program materials developed.
	Number of planning or training events held during the reporting period.	Number of planning or training activities held during the reporting period. Planning and training activities include creation of task forces or interagency committees, meetings held, needs assessments undertaken, etc. Program records are the preferred data source.	Number of planning or training events held during the reporting period.

	Number of people trained during the reporting period.	Number of people trained during the reporting period. The number is the raw number of people receiving any formal training relevant to the program or their position as program staff. Include any training from any source or medium received during the reporting period as long as receipt of training can be verified. Training does not have to have been completed during the reporting period. Program records are the preferred data source.	Number of people trained.
	Percent of people exhibiting increased knowledge of the program area during the reporting period.	Number of people who exhibit an increased knowledge of the program area after participating in training. Use of pre- and post-tests is preferred.	<ul style="list-style-type: none"> <li>A. Number of people exhibiting an increase in knowledge post-training.</li> <li>B. Number of people trained during the reporting period.</li> <li>C. Percent of people trained who exhibited increased knowledge (A/B).</li> </ul>
	Number of program policies changed, improved, or rescinded during the reporting period.	Number of cross-program or agency policies or procedures changed, improved, or rescinded during the reporting period. A policy is a plan or specific course of action that guides the general goals and directives of programs and/or agencies. Include policies that are relevant to the topic area of the program or that affect program operations. Program records are the preferred data source.	<ul style="list-style-type: none"> <li>A. Number of program policies changed during the reporting period.</li> <li>B. Number of program policies rescinded during the reporting period.</li> </ul>

	Percent of organizations reporting improvements in operations based on TTA.	Number and percent of organizations reporting improvements in operations as a result of TTA 1 to 6 months post-service.	<ul style="list-style-type: none"> <li>A. Number of organizations reporting improvements in operations based on TTA during the reporting period.</li> <li>B. Number of organizations served by TTA during the reporting period.</li> <li>C. (A/B).</li> </ul>
	Percent of those served by TTA who reported implementing an evidence-based program and/or practice during or after the TTA.	Number and percent of programs served by TTA that reported implementing an evidence-based program and/or practice during or after the TTA. Evidence-based programs and practices include program models 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 use.	<ul style="list-style-type: none"> <li>A. Number of programs served by TTA that reported implementing an evidence-based program and/or practice.</li> <li>B. Number of programs served by TTA.</li> <li>C. Percent of programs served by TTA that report using an evidence-based program and/or practice (A/B).</li> </ul>
	Number of program materials disseminated during the reporting period.	Number of program materials disseminated during the reporting period.	Enter the number of program materials disseminated during the reporting period.

## Appendix B: Application Checklist

### OJJDP FY 2019 Drug Treatment Courts Training and Technical Assistance 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 D-U-N-S Number (see page 31)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 31)

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

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 32)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 32)

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

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 32)

\_\_\_\_\_ Select the correct Competition ID (see page 32)

\_\_\_\_\_ Access Funding Opportunity and Application Package (see page 23)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 30)

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

\_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 15)

##### *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 32)

##### *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 33)

\_\_\_\_\_ 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 33)

#### 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 \$3,500,000 for Category 1 and \$4,500,000 for Category 2.

#### Eligibility Requirement:

\_\_\_\_\_ Nonprofit or for-profit organization, including tribal nonprofit and for-profit organizations.

\_\_\_\_\_ Institution of higher education, including tribal institution of higher education.

## What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)
- \_\_\_\_\_ Project Abstract (see page 17)
- \_\_\_\_\_ Program Narrative (see page 17)
  - \_\_\_ Description of the Issue
  - \_\_\_ Goals, Objectives, and Performance Measures
  - \_\_\_ Project Design and Implementation
  - \_\_\_ Capabilities and Competencies
- \_\_\_\_\_ Budget Detail Worksheet (see page 21)
- \_\_\_\_\_ Budget Narrative (see page 21)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 24)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 25)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 25)
- \_\_\_\_\_ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 26)
- \_\_\_\_\_ Applicant Disclosure of Pending Applications
- \_\_\_\_\_ [Applicant Disclosure and Justification – DOJ High-Risk Grantees \(if applicable\)](#) (see page 26)
- \_\_\_\_\_ Additional Attachments (see page 26)
  - \_\_\_\_\_ 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 14)