



The [U.S. Department of Justice, Office of Justice Programs \(OJP\) Bureau of Justice Assistance](#) and the [U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration \(SAMHSA\), Center for Substance Abuse Treatment \(CSAT\)](#) are pleased to announce that they are seeking applications for funding for enhancing drug court services, coordination, and substance abuse treatment and recovery support services. This program furthers the Departments of Justice's and Health and Human Services' mission by providing resources to state, local, and tribal governments and state, local, and tribal courts to enhance drug court programs and systems for nonviolent substance-abusing offenders. In order to fulfill all of the requirements for this grant program, applicants must comply with the requirements outlined in this grant announcement as well as those, incorporated by reference, in the Drug Court Discretionary Grant Program: FY 2010 Enhancing Adult Drug Court Services, Coordination, and Treatment Solicitation [Requirements Resource Guide](#).

Enhancing Adult Drug Court Services, Coordination, and Treatment FY 2010 Competitive Grant Announcement

Eligibility

Applicants are limited to states, state courts, local courts, counties, other units of local government, or Indian tribal governments (as defined under the Indian Self Determination Act, 25 U.S.C. 450b(e)); Indian tribal governments may apply directly or through other public or not-for-profit private entities. For the purposes of this solicitation, the definition of "adult drug court" shall include Driving While Intoxicated (DWI)/Driving Under the Influence (DUI) Courts, Co-Occurring Drug and Mental Health Courts, Veterans Courts, and Community Courts that serve substance-abusing adults in the respective problem-solving court, as long as the court meets all the elements required for drug courts, as described herein.

Coordination Requirement: Applicants must include a letter from the State Substance Abuse Agency (SSA) Director or designated representative that they support the application and confirm that the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment. Applicants must include this letter in Attachment 7 of the application. In addition, applicants must submit a letter from the Chief Justice of the state's highest court, the State Court Administrator, or a designee (for example the state drug or problem solving court coordinator) describing how the proposed application would enhance the statewide efforts related to problem-solving courts. Applicants must include this letter as Attachment 8 of their application. Applications submitted by or on the behalf of a tribe/tribal organization must submit a Tribal Authorizing Resolution in Attachment 9 of their application (see page 14). Applications will be evaluated on how the proposed project will enhance statewide/tribal efforts related to treatment for substance use disorders and problem-solving courts (see "Selection Criteria").

Deadline

Registration with OJP's Grants Management System (GMS) is required prior to application submission. (See "How to Apply," page 9.)

All applications are due by 8:00 p.m. eastern time on February 11, 2010.
(See "Deadlines: Registration and Application", page 2)

Contact Information

For technical assistance with submitting the application, call the Grants Management System Support Hotline at 1-888-549-9901, option 3, or via e-mail to GMSHelpDesk@usdoj.gov.

Note: The GMS Support Hotline hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. eastern time.

For assistance with any other requirement of this solicitation, contact either Tim Jeffries, BJA Policy Advisor at (202) 616-7385 or by e-mail timothy.jeffries@usdoj.gov or Holly Rogers, CSAT Public Health Advisor at (240) 276-2916 or by e-mail holly.rogers@samhsa.hhs.gov.

BJA encourages stakeholder feedback on its solicitations and award processes. Send feedback on this solicitation to askbjia@usdoj.gov

Release Date: December 15, 2009

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Enhancing Adult Drug Court Services, Coordination, and Treatment CFDA #s 16.585 (BJA) and 93.243 (CSAT)

Overview

The U.S. Department of Justice, Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA), in collaboration with the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT), is accepting applications for FY 2010 grants to enhance the court services, coordination, and substance abuse treatment capacity of adult drug courts. The purpose of this joint initiative is to invite applicants to submit for consideration one comprehensive strategy for enhancing drug court capacity, allowing applicants to compete for access to both criminal justice and substance abuse treatment funds with one application. In order to fulfill all of the requirements for this grant program, applicants must comply with the requirements outlined in this grant announcement as well as those, incorporated by reference, in the Drug Court Discretionary Grant Program: FY 2010 Enhancing Adult Drug Court Services, Coordination, and Treatment Solicitation [Requirements Resource Guide](#).

Under this program, grantees will receive two separate awards; BJA will fund the drug court component and CSAT will fund the substance abuse treatment component. Please note that BJA will make a one-time award, up to \$300,000 (**match is required**) per grantee, for the entire 3-year grant period, while CSAT will make annual awards, up to \$325,000 per grantee, for each year of the 3-year grant period. Therefore, grantees must have a system in place to track drug court and substance abuse treatment grant fund expenditures separately. Applicants must compete for both BJA and CSAT funding. Applications that do not compete for both BJA and CSAT funding will not be reviewed and will not be considered for funding.

The BJA adult drug court grants are authorized under 42 U.S.C. 3797u et seq. The CSAT substance abuse treatment grants are authorized under Section 509 of the Public Health Service Act, as amended, and this announcement addresses Healthy People 2010 focus area 26 (substance abuse). SAMHSA/CSAT intends that its services grants result in the delivery of services as soon as possible after award, but no later than the fourth month of the project. Note: BJA and CSAT also plan to announce separate grant programs for drug courts to meet the needs of their respective judicial and/or treatment agency audiences. In addition to this CSAT-BJA coordinated grant solicitation, the following “stand alone” CSAT and BJA drug court grant solicitations are scheduled to be announced in FY 2010:

- 1. BJA’s “Adult Drug Court Discretionary Grant Program,”** provides funding for Implementation grants, Enhancement grants and Statewide grants.
- 2. SAMHSA’s “Grants to Expand Substance Abuse Treatment Capacity for Adult Drug Courts Short Title: Adult Treatment Drug Courts), TI-10-011,”** provides funding only to expand and/or enhance substance abuse treatment services in “problem solving’ courts.

Applicants should review each of these grant announcements to determine their interest and eligibility to apply and address the specific requirements for each announcement. The

solicitations/RFA may be found on the respective OJP/BJA and SAMHSA/CSAT web sites as follows: www.ojp.usdoj.gov/BJA/grant/drugcourts.html and www.samhsa.gov/grants.

Applicants may apply simultaneously for any or all posted drug court grant solicitations offered by BJA and/or CSAT. However, BJA and CSAT will not make more than one award for the same proposed services within a program.

Deadlines: Registration and Application

Registration is required prior to submission. The deadline to register in GMS is 8:00 p.m. eastern time on February 11, 2010, and the deadline for applying for funding under this announcement is 8:00 p.m. eastern time on February 11, 2010. Please see the “How to Apply” section, page 9 for more details.

Eligibility

Please refer to the cover page for eligibility under this program.

Enhancing Adult Drug Court Services, Coordination, and Treatment Program—Specific Information

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

Applicants are able to apply for grants to demonstrate sound drug court strategies which provide comprehensive supervision of offenders; increase offenders’ drug court participation; positively impact criminal recidivism; generate cost savings; and successfully bridge the gap between multiple publicly funded systems. In a single proposal, applicants must propose a comprehensive strategy to enhance court services, coordination, and substance abuse treatment and recovery support services. Applicants must provide evidence that the proposed expansion and/or enhancement will address the overall goals and objectives of the project within the 3-year grant period. Applicants must provide a detailed description of the methods and approaches to reduce substance use and recidivism of offenders. **Applicants must state clearly the number of clients to be served for each year of the proposed grant (see “Proposed Number of Service Recipients-Guidelines and Definitions” in the [Requirements Resource Guide](#)).**

Drug Court Component

Drug courts are problem-solving courts which help reduce recidivism and substance abuse among offenders and increase an offender’s likelihood of successful rehabilitation through early, continuous, and intense judicially supervised treatment, mandatory periodic drug testing, community supervision, and appropriate sanctions and other habilitation services. A drug court can be a specially designed court calendar or docket as well as a specialized court program. Drug courts funded through this grant solicitation are required by law to involve only nonviolent offenders¹ and must operate an adult drug court based on BJA’s and the National Association

¹ Programs funded through this solicitation may not permit participation by violent offenders. As defined in 42 U.S.C. 3797u-2, a “violent offender” means a person who—(1) is charged with or convicted of an offense that is punishable by a term of imprisonment exceeding one year, during the course of which offense or conduct— (A) the person carried, possessed, or used a firearm or

of Drug Court Professionals' publication: [Defining Drug Courts: The Key Components](#), which addresses the statutory requirements. Additionally, drug courts funded through this grant solicitation must operate an adult drug court which imposes graduated sanctions that increase punitive measures, therapeutic measures, or both whenever a participant fails a drug test and must include diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress.

Service Expansion and Enhancement: Applicants may propose to use funding to expand the population of focus and/or to enhance court operations, court services, and offender services. Applicants may propose to enhance court operations including the development of training programs for drug court practitioners; collection of restitution costs; and the development and implementation of an automated management information system. Applicants may propose to improve the quality and/or intensity of services; for instance, funding may be used for enhancing offender services such as healthcare, education, vocational training, job placement, housing placement, and childcare or other family support services for each participant who requires such services. Applicants may also propose to use funding to expand or enhance court services such as offender management, including drug testing, case management, and community supervision.

For examples of drug court services allowable under this program, please see the [Requirements Resource Guide](#).

Substance Abuse Treatment Component

Applicants may propose to expand or enhance substance abuse treatment and recovery support services.

Service Expansion and Enhancement: An applicant may propose to improve **the quality and/or intensity of substance abuse treatment services and recovery support services**, for instance, by adding state-of-the-art treatment approaches, or adding a new service to address emerging trends or unmet needs. For example, a substance abuse treatment project may propose to add co-occurring treatment intervention to the current treatment protocol for a population being served by the program. An applicant may also propose to **increase access and availability of services to a larger number of clients**. Applications should propose to increase the number of clients receiving services as a result of the award. For example, if a treatment facility currently serves 50 persons per year and has a waiting list of 50 persons (but no funding to serve these persons), the applicant may propose to expand service capacity to be able to admit some or all of those persons on the waiting list.

For information on allowable substance abuse treatment and recovery support services, please see the [Requirements Resource Guide](#). Applicants are reminded that SAMHSA's treatment funding is intended to fund services or practices that have a demonstrated evidence base and that are appropriate for the drug court population of focus. An evidence-based practice, also called EBP, refers to approaches for treatment that are validated by some form of documented research evidence. Applicants should address the evidence base for their

dangerous weapon; (B) there occurred the death of or serious bodily injury to any person; or (C) there occurred the use of force against the person of another, without regard to whether any of the circumstances described in subparagraph (A) or (B) is an element of the offense or conduct of which or for which the person is charged or convicted; or (2) has 1 or more prior convictions for a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

proposed service selection in the project narrative. **For more information on EBP's, see "Using Evidence Based Practices" in the [Requirements Resource Guide](#).**

Applicants are required to use a screening tool to make appropriate referrals for further assessment for substance abuse or mental health disorders. CSAT highly recommends the use of the Global Appraisal of Individual Needs—Short Screener (GAIN-SS). This 5-minute, 20-item screener is available from Chestnut Health Systems at http://chestnut.org/LI/gain/GAIN_SS/index.html. Instructions for reporting the GAIN-SS data will be provided following the award of the grant. For more detailed information on the instrument, contact Sarah Knecht, GAIN Projects Manager, at sknecht@chestnut.org or by phone at 309–451–7803. Training will be provided by CSAT for those choosing to use the GAIN-SS.

Applicants must also screen and assess clients for the presence of co-occurring substance use (abuse and dependence) and mental disorders and use the information obtained from screening and assessment to develop appropriate treatment approaches for persons identified as having such co-occurring disorders. For more information on the process of selecting screening instruments to identify co-occurring substance use and mental health disorders, go to http://coce.samhsa.gov/products/cod_presentations.aspx.

Applicants must demonstrate that they have developed linkages with community-based organizations with experience in providing services to the population of focus. **Examples of possible community linkages are provided in the [Requirements Resource Guide](#).**

To demonstrate that a comprehensive service system is in place, the substance abuse treatment providers for the drug court must provide letters of commitment or formal contractual agreements (outlining services to be provided, level and intensity of resources committed) from collaborating organizations. Simply providing a "letter of support" from proposed partners is not sufficient to meet this requirement of documented agreements with community based organizations. **These documents must be provided as Attachment 6 of the application or it will not be reviewed or considered for an award.**

Recognizing that medication-assisted treatment (MAT) may be an important part of a comprehensive treatment plan, grantees may use up to 20 percent of their annual SAMHSA treatment grant award to pay for medication (e.g., Naltrexone, Disulfiram, Acamprosate Calcium, Suboxone, and Buprenorphine) as appropriate when the client has no other source of funds to do so.

Grantees are encouraged to provide HIV rapid preliminary antibody testing as part of their treatment regimen. Grantees providing HIV testing must do so in accordance with state and local requirements. No more than 5 percent of grant funds may be used for HIV rapid testing. (Note: Grant funds may be used to purchase such services from another provider.)

All clients who have a preliminary positive HIV test result must be administered a confirmatory HIV test result. Post award, grantees must develop a plan for medical case management of all clients who have a preliminary positive HIV and confirmatory HIV test result. Grantees will be required to report the number of HIV tests and counseling sessions purchased with CSAT grant funds; data on rapid and confirmatory test results; and risk behaviors and other data that may be required by CSAT. All data will be collected using a standardized CSAT-approved instrument and reported to a CSAT web-based data collection site.

As appropriate, post-award, CSAT will provide technical assistance to: train grantee staff in HIV rapid testing; obtain required state certification to conduct onsite testing; develop, as may be required, agreements with state and local health departments regarding HIV testing activities; and develop a case management system for monitoring and tracking.

Because this solicitation is a collaboration between BJA and CSAT, any application that does not meet the requirements of one or both agencies will not be granted an award by either BJA or CSAT.

Amount and Length of Awards

A total of up to 31 grant awards of up to \$625,000 (\$300,000 in BJA drug court funding and \$325,000 in CSAT substance abuse treatment funding) will be made in FY 2010. Please note that BJA will make a one-time award, up to \$300,000 (**match is required**), per grantee for the entire 3-year grant period, while CSAT will make annual awards, up to \$325,000, per grantee for each year of the 3-year grant period. Annual CSAT continuation awards will depend on the availability of funds, grantee progress in meeting project goals and objectives, timely submission of required data and reports, and compliance with all terms and conditions of award.

Budget Information

Applicants must provide two separate budgets (i.e., one for BJA drug court funds and one for CSAT substance abuse treatment funds). Additionally, grantees must have a system in place to track drug court and substance abuse treatment grant fund expenditures separately.

Funding Limitations/Restrictions

BJA Drug Court Funding

Limitation on Use of Award Funds for Employee Compensation; Waiver: No portion of any award of more than \$250,000 made under this solicitation may be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2009 salary table for SES employees is available at www.opm.gov/oca/09tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General (AAG) for the Office of Justice Programs. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request that the applicant adjust and resubmit their budget.

CSAT Treatment Funding

- 1) Grantees may use **up to 20 percent** of their annual CSAT treatment grant award to pay for medication (e.g., Naltrexone, Disulfiram, Acamprosate Calcium, Buprenorphine) as appropriate when the client has no other source of funds to do so.
- 2) **No more than 20 percent** of the total CSAT grant award may be used for data collection, performance measurement, and performance assessment.
- 3) **No more than 15 percent** of the total CSAT services grant award may be used for infrastructure development. For examples of allowable infrastructure activities, **see “Infrastructure Development” in the [Requirements Resource Guide](#).**
- 4) When the tribal/state, county, or local government is the applicant, all grant funds awarded must be dedicated to the individual drug court with the exception of a small set aside, **not to exceed 2 percent** of the total award, that is permissible to cover the cost of administration and oversight of the grant.
- 5) **No more than 5 percent** of CSAT grant funds may be used for HIV rapid testing. (Note: CSAT grant funds may be used to purchase such services from another provider.)

For a comprehensive list of CSAT funding restrictions, please see the [Requirements Resource Guide](#).

Match Requirement (cash or in-kind): For BJA funding ONLY

BJA funds awarded under this program may not cover more than 75 percent of the total costs of the drug court project being funded. The applicant must identify the source of the 25 percent non-federal portion of the total drug court project costs and how match funds will be used. (Match is restricted to the same uses of funds as allowed for the BJA federal funds.) Applicants may satisfy this match requirement with either cash or in-kind services.

The formula for calculating the BJA match is:

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

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

Example: 75% / 25% match requirement: for a BJA federal award amount of \$300,000, match would be calculated as follows:

$$\frac{\$300,000}{75\%} = \$400,000 \quad 25\% \times \$400,000 = \$100,000 \text{ match}$$

[Note: Grantees are not required to match CSAT treatment funding.]

Performance Measures

To assist BJA and CSAT in accessing the performance and efficiency of each grant project, applicants will be required to submit a bi-annual report which provides an overview of the goals

and objectives of the grant as proposed in the application and the progress made in achieving these measures. There will be two primary types of data reporting required by OJP and SAMHSA: the bi-annual report and Government Performance and Results Act (GPRA) reporting requirements of both agencies. Information on both reporting requirements is provided in this section.

Also, to assist in fulfilling the Department of Justice’s and Department of Health and Human Services’ responsibilities under GPRA, P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work. **Additionally, applicants must discuss in their application their methods for collecting data for performance measures. Please refer to “What An Application Must Include” (below), for additional information on applicant responsibilities for collecting and reporting data.**

Drug Court Component

BJA performance measures for this solicitation are as follows:

Objective	Performance Measures	Data Grantee Provides
<p>To increase drug court participation and to enhance the provision of services to drug court participants by way of additional services, meeting special needs, training, data collection or management information system (MIS), or evaluation.</p>	<p>Enhancement: Additional Services Percent increase in units of services (additional or secondary drug court activity that address needs of drug court clients).</p> <p>Percent increase in service provided to participant.</p>	<p>Enhancement: Additional Services</p> <p>a) Total number of types of drug court services before grant funding.</p> <p>b) Number of new types of drug court services added during the reporting period.</p> <p>c) Total number of drug court service providers before grant funding.</p> <p>d) Number of new drug court service providers or provider sites added during the reporting period.</p> <p>e) Number of drug court participants referred for new services resulting from grant funding.</p> <p>f) Total number of drug court participants served.</p> <p>g) Number of referrals made for expanded service types or sites during the reporting period.</p> <p>h) Number of drug court slots added during the reporting period.</p>
	<p>Enhancement: Training</p> <p>Percent increase in participant satisfaction with training.</p>	<p>Enhancement: Training</p> <p>During this reporting period:</p> <p>a) Number of individuals trained</p> <p>b) Number of training participants who rated the training as satisfactory.</p>

	Percent increase in knowledge of subject matter as a result of training.	<p>c) Number of training participants who showed increased knowledge post training.</p> <p>d) Total number of training participants to whom a knowledge test was administered.</p>
	<p>Enhancement: Data collection/ MIS</p> <p>Percent increase in drug court case automation.</p> <p>Percent increase in staff trained on data collection/MIS.</p>	<p>Enhancement: Data collection/ MIS</p> <p>During the reporting period:</p> <p>a) Number of active drug court cases during the reporting period.</p> <p>b) Number of active drug court cases fully automated as a result of grant funding.</p> <p>c) Number of individuals who were trained on to use the data collection, MIS or evaluation system.</p> <p>d) Total number of drug court staff</p>

The Office of Justice Programs (OJP) is currently reviewing performance measures for the Drug Court Program. These measures will be completed in the coming months, and grantees will be notified of the revised measures that they will be required to report on. By applying for this solicitation, all applicants agree that they will report on these measures when they are released.

Substance Abuse Treatment Component

CSAT’s Data Collection and Performance Measurement Requirements:

Grantees will be required to report performance on the following CSAT client-level performance measures: client’s substance use, family and living condition, employment status, social connectedness, access to treatment, retention in treatment, and criminal justice status. This information will be gathered using the data collection tool referenced below. The collection of these data will enable CSAT to report on the National Outcome Measures (NOMs), which have been defined by SAMHSA as key priority areas relating to substance use. In addition to these measures, grantees will be expected to collect and report data on the frequency and type of substance use 90 days prior to incarceration.

These data must be collected at baseline (i.e., the client’s entry into the project), discharge, and 6 months post-baseline. To be in compliance with the requirements of the grant, grantees must collect and report individual client follow-up data (discharge and 6 months post baseline) on a minimum of 80 percent of all clients who receive a baseline interview. All data are to be entered into CSAT’s GPRA Data Entry and Reporting System via the Internet within 7 business days of the forms being completed. GPRA performance data will be reported to the public, the Office of Management and Budget (OMB), and Congress as part of SAMHSA’s budget request. Training and technical assistance on data collection, tracking, and follow-up, as well as data entry, will be provided by CSAT.

Grantees must collect and report data using the CSAT Discretionary Services Client Level GPRA Tool, which can be found at www.samhsa.gov/grants/tools.aspx, along with instructions for completing it. Hard copies are available by calling the SAMHSA Health Information Network at 1-877-SAMHSA7 (TDD: 1-800-487-4889).

SAMHSA's Performance Assessment Requirements:

Grantees must periodically review the performance data they report to SAMHSA (as required above) and assess their progress and use this information to improve management of their grant projects. The assessment should be conducted by an outside, independent evaluator and designed to help the grantee determine whether it is achieving the goals, objectives, and outcomes that were intended and whether adjustments need to be made to the project. Grantees will be required to report on progress achieved, barriers encountered, and efforts to overcome these barriers in a performance assessment report to be submitted at least bi-annually.

At a minimum, the performance assessment should include the required performance measures identified above. Grantees may also consider outcome and process questions, such as the following:

Outcome Questions:

- What was the effect of the intervention on key outcome goals?
- What program/contextual factors were associated with outcomes?
- What individual factors were associated with outcomes, including race/ethnicity?
- How durable were the effects?
- Was the intervention effective in maintaining the project outcomes at 6-month follow-up?

As appropriate, describe how the data, including outcome data, will be analyzed by racial/ethnic group or other demographic factors to assure that appropriate populations are being served and that disparities in services and outcomes are minimized.

Process Questions:

- How closely did implementation match the plan?
- What types of changes were made to the originally proposed plan?
- What led to the changes in the original plan?
- What effect did the changes have on the planned intervention and performance assessment?
- Who provided (program staff) what services (modality, type, intensity, duration), to whom (individual characteristics), in what context (system, community), and at what cost (facilities, personnel, dollars)?
- What strategies were used to maintain fidelity to the evidence-based practice or intervention across providers over time?
- How many individuals were reached through the program?

How to Apply

Applications will be submitted through OJP's Grants Management System ([GMS](#)). [GMS](#) is a web-based, data-driven computer application that provides cradle to grave support for the application, award and management of grants at OJP. Applicants should begin the process immediately to meet the GMS registration deadline, especially if this is the first time they have used the system. Complete instructions on how to register and submit an application in GMS

can be found at www.ojp.usdoj.gov/gmscbt/. If you experience technical difficulties at any point during this process, please e-mail GMSHelpDesk@usdoj.gov or call 1-888-549-9901 (option 3), Monday-Friday from 7:00 a.m.-9:00 p.m. eastern time. The Office of Justice Programs highly recommends starting the registration process as early as possible to prevent delays in the application submission by the specified deadline.

All applicants are required to complete the following six steps:

- 1. Acquire a DUNS Number.** A DUNS number is required to submit an application in GMS. The Office of Management and Budget requires that all businesses and nonprofit applicants for Federal funds include a DUNS (Data Universal Numbering System) number in their application for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling 1-866-705-5711 or by applying online at <http://www.dunandbradstreet.com>. Individuals are exempt from this requirement.
- 2. Acquire or Renew Registration with the Central Contractor Registration (CCR) Database.** CCR registration is required to receive funding. OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must update or renew their CCR registration at least once per year to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.
- 3. Acquire a GMS Username and Password.** If you are a new user, please create a GMS profile by selecting the first time user link under the sign-in box of the [GMS](http://www.ojp.usdoj.gov/gmscbt/) home page. For more information on how to register in GMS, go to www.ojp.usdoj.gov/gmscbt/.
- 4. Search for the Funding Opportunity on GMS.** After you log-in to GMS or complete your GMS profile for your username and password, go to the Funding Opportunities link on the left hand side of the page. Please select BJA and Enhancing Adult Drug Court Services, Coordination, and Treatment.
- 5. Select the Apply On-line Button Associated with the Solicitation Title.** The search results from step 4 will display the solicitation title along with the Registration and Application Deadlines for this funding opportunity. Please select the Apply On-line button in the Action Column to create an application in the system.
- 6. Submit an Application Addressing All of the Requirements Outlined in this Solicitation by Following the Directions in GMS.** Once submitted, GMS will display a confirmation screen stating your submission was successful. **Important:** You are urged to submit your application at least 72 hours prior to the due date of the application.

Note: OJP's Grants Management System (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."

Experiencing Unforeseen GMS Technical Issues

If you experience unforeseen GMS technical issues beyond your control which prevent you from submitting your application by the deadline, you must contact BJA staff **within 24 hours after the deadline** and request approval to submit your application. At that time, BJA staff will require you to email the complete grant application, your DUNS number, and provide a GMS Help Desk tracking number(s). After the program office reviews all of the information submitted as well as contacts the GMS Helpdesk to validate the technical issues you reported, OJP will contact you to either approve or deny your request to submit a late application. If the technical issues you reported cannot be validated, your application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time; (2) failure to follow GMS instructions on how to register and apply as posted on its web site; (3) failure to follow all of the instructions in the OJP solicitation; and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with GMS are posted on the OJP funding web page, www.ojp.usdoj.gov/funding/solicitations.htm.

What an Application Must Include

It is strongly recommended that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all required attachments. Where resumes are required, it is strongly recommended that all resumes be included in a single file.

Standard Form 424

Please see www07.grants.gov/assets/SF424Instructions.pdf for instructions on how to complete your SF 424 for BJA funding. You must also complete an SF 424 for CSAT funding to be included in Attachment 4 (see page 12 for instructions).

Program Narrative (Attachment 1)

The program narrative must respond to the solicitation and the Selection Criteria (1-4, 6) listed below in the order given. The program narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and must not exceed 30 pages. Please number pages "1 of 30" "2 of 30," etc. Submissions that do not adhere to the format may be deemed ineligible. The first page of the program narrative must include an abstract. This page does not count toward the 30-page limit for the program narrative. Please refer to the Selection Criteria, page 15, for the specific components of what the narrative should include.

Plan for collecting the data required for performance measures. (See Performance Measures, above.) Grantees will be expected to address the performance measures of both CSAT and BJA. In addition to the CSAT performance measures found under the Services Accountability Improvement System (SAIS) data entry and reporting site: <https://www.samhsa-gpra.samhsa.gov/home/index.htm>, grantees must address the quarterly BJA data requirements

through BJA's online Performance Measurement Tool (PMT), The PMT is found at <https://www.bjaperformancetools.org/umbrella.cfm?showform=PMT>.

Budget and Budget Narrative (Attachment 2)

Applicants must provide two budgets (Selection Criteria 5) which clearly show the use for the BJA and CSAT funds. If awarded, the applicant will be responsible for tracking the resources separately.

BJA Budget and Budget Narrative

A sample BJA budget worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If you submit a different format, you must include the budget categories as listed in the sample budget worksheet. Be sure to identify the source of the 25 percent non-federal portion of the total drug court project costs and how match funds will be used (see page 6).

Please see the OJP Financial Guide for questions pertaining to budget including allowable and unallowable costs at www.ojp.gov/financialguide/index.htm.

CSAT Budget and Narrative

You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project. Be sure to show that no more than 15 percent of the total grant award will be used for infrastructure development, if necessary, and that no more than 20 percent of the total grant award will be used for data collection and performance assessment.

A sample CSAT budget and narrative can be found in the [Requirements Resource Guide](#).

Indirect Cost Rate Agreement- For CSAT funding ONLY

CSAT will not accept a "research" indirect cost rate. The grantee must use the "other sponsored program rate" or the lowest rate available.

Meetings

Grantees are required to budget for two meetings in each year of the grant as identified by the BJA and CSAT Government Project Officers (GPO). Applicants must budget for one meeting in each of the budgets, meaning the BJA budget will include travel funds for one meeting in each year of the grant and the CSAT budget will include travel funds for one meeting in each year of the grant. One of the budgeted and mandatory meetings required is a BJA/CSAT grantee meeting that may be held in conjunction with a national drug court conference. To this BJA/CSAT mandatory meeting grantees must send a drug court team consisting of a minimum of six people (judge, project director, clinical director, evaluator, and representatives from the prosecutor's office and the defense bar). Grantees must also budget for four persons to attend a meeting that will reflect the treatment and justice collaborative. For budgetary purposes it is assumed that one of the two mandatory meetings will be held in the Washington, DC area.

Project Timeline, Resumes and Letters of Support (Attachment 3)

The project timeline should include each project goal, related objective, activity, expected completion date, and responsible person or organization. If any grant funds will be used to fund personnel, include resumes or job descriptions. Attach letters of support from any community, government or other partner organization as necessary to evidence partnership as it is needed to achieve the project goals and objectives.

SAMHSA/CSAT Application Forms (Attachment 4)

For CSAT Substance Abuse Treatment funding, applicants must complete and include in Attachment 4, the forms identified in the SAMHSA Grant Application Kit which can be found at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>.

Applicants must complete the PHS- 5161-1 Grant Application Form which includes:

- Face Page (SF- 424 v 2) (NOTE: For Item 11, insert CFDA # 93.243 and CFDA Title Substance Abuse and Mental Health Services Administration; for Item 12, insert Funding Opportunity # TI-10-013)
- Budget Information Form for Non-Construction Programs (SF- 424A)
- Assurances Form for Non-Construction Programs (SF- 424B)
- Certifications
- Checklist
- Disclosure of Lobbying Activities

In addition to the PHS-5161-1, applicants must complete the forms listed below:

- Assurance of Compliance (HHS-690)
- Survey on Ensuring Equal Opportunity for Applicants
- Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations (SMA 170)
- Project/Performance Site Location Form

Confidentiality and SAMHSA Participant Protection (Attachment 5)

Because of the confidential nature of the work in which many SAMHSA grantees are involved, it is important to have safeguards protecting individuals from risks associated with their participation in SAMHSA projects. You must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations in Attachment 5 of your application (**See Confidentiality and SAMHSA Participant Protection” in the [Requirements Resource Guide](#)**). Problems with confidentiality, participant protection, and the protection of human subjects identified during peer review of the application must be resolved prior to funding.

Evidence of Experience and Credentials for Substance Treatment Provider(s) and Letters of Commitment/Formal Contractual Agreements (Attachment 6)

Applicants must include the following as Attachment 6 of the application:

- (1) Identification of at least one experienced, licensed service provider organization;
- (2) A list of all direct service provider organizations that have agreed to participate in the proposed project;
- (3) Letters of commitment or formal contractual agreements from collaborating organizations (outlining services to be provided, level and intensity of resources committed); **these letters must be provided in Attachment 6 of the application or it will not be reviewed or considered for an award**; and
- (4) The Statement of Assurance (provided in the [Requirements Resource Guide](#)) signed by the authorized representative of the applicant organization identified on the face page of the application, that assures CSAT that all listed providers meet the 2-year experience requirement; are appropriately licensed, accredited, and certified; and that if the application

is within the funding range for an award, the applicant will send the CSAT GPO the required documentation within the specified time. If the application is within the funding range for grant award, the applicant will provide the GPO with the required documentation within the time specified. **For more information on Evidence of Experience and Credentials for Substance Treatment Provider(s) and Letters of Commitment/Formal Contractual Agreements, please see the [Requirements Resource Guide](#).**

State Substance Abuse Agency Director, or Designee Letter (Attachment 7)

Applicants must include a letter from the SSA Director or designated representative that they support the application and confirm that the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment. **A listing of the SSA's can be found on SAMHSA's web site at www.samhsa.gov/Grants/ssadirectory.pdf.** This requirement does not pertain to Indian government applicants. See below for information about the Tribal Authorizing Resolution requirement.

Chief Justice, State Court Administrator or Designee Letter (Attachment 8)

Applicants must include a letter from the Chief Justice of the state's highest court, the State Court Administrator, or a designee (for example the state drug or problem solving court coordinator) describing how the proposed application would enhance the statewide efforts related to problem-solving courts. A listing of the state drug and problem solving court coordinators can be found on BJA's web site www.ojp.usdoj.gov/BJA/grant/drugcourts.html. This requirement does not pertain to Indian government applicants. See below for information about the Tribal Authorizing Resolution requirement.

Tribal Authorizing Resolution (Attachment 9)

If an application is being submitted by either 1) a tribe or tribal organization, or 2) by a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its residents must be included with the application. The Tribal Authorizing Resolution should acknowledge the application, authorize the inclusion of the tribe or tribal organization and its residents in the application, and should endorse the strategy described in the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application must include a resolution from all tribes which will be included as a part of the services/assistance provided under the grant.

Selection Criteria

1. Statement of the Problem (15 percent of 100)

- a. Describe the current operation of the adult drug court, addressing program structure; program length; screening and assessment; services delivery plan; judicial supervision; community supervision; drug testing; case management; incentives and sanctions; treatment and restitution; costs charged to program participants; and program success data. Describe the issue or need that the enhancement and/or expansion grant seeks to address. Provide local data and program impact on the community and evaluation findings to support the requested grants. Explain the inability to fund the program adequately without federal assistance.

- b. Describe the population of focus and the geographic area to be served, and justify the selection of both with respect to the primary purpose of the grant program. Also include demographic information on the population of focus, e.g., race, ethnicity, age, socioeconomic status, geography.
- c. Describe the nature of the problem and extent of both crime and substance use/abuse (e.g., current crime rates, prevalence rates, or incidence data) for the population of focus based on data. The statement of need should include a clearly established baseline for the project. Documentation of need may come from a variety of qualitative and quantitative sources. The quantitative data could come from local crime or epidemiologic data or trend analyses, state data (e.g., from State Needs Assessments, SAMHSA's National Survey on Drug Use and Health), and/or national data (e.g., from SAMHSA's National Survey on Drug Use and Health or from National Center for Health Statistics/Centers for Disease Control reports). For data sources that are not well known, provide sufficient information on how the data were collected so reviewers can assess the reliability and validity of the data.

2. Project/Program Design and Implementation (30 percent of 100)

Identify how one or more of the following enhancements and/or expansion will be accomplished: provide additional services to drug court clients to increase the likelihood of successful rehabilitation; provide enhanced services to serve additional clients; provide evidence-based substance abuse treatment services to drug court clients; develop training programs to educate justice professionals, treatment providers, and others about the drug court philosophy and its key components; attend training programs with justice professionals, treatment providers, and others regarding the drug court model; conduct process and/or outcome evaluations; or develop and implement an automated drug court data collection system or improve an existing system.

- a. Clearly state the purpose, goals, and objectives of the proposed enhancement and/or expansion project linking it to the 10 key components of drug courts ([Defining Drug Courts: The Key Components](#)). Describe how achievement of the goals will produce meaningful and relevant results (e.g., increase drug court participation; court services; court coordination; necessary non-treatment services; and treatment access, availability, outreach, pre-services, treatment, and/or intervention).
- b. Identify the evidence-based treatment service(s)/practice(s) that the application proposes to implement and the information source (see [Requirements Resource Guide, "Using Evidence-Based Practices"](#)). Discuss the evidence that shows that this practice is effective with the population of focus. If the evidence is limited or non-existent for the population of focus, provide other information to support the intervention selection.
- c. Document the evidence that the selected treatment practice(s) is (are) appropriate for the outcomes intended to be achieved.
- d. Identify and justify any modifications or adaptations needed—or already made—to the proposed evidence-based treatment practice(s) to meet the project goals and how the changes are intended to improve outcomes.
- e. Explain why this evidence-based practice was chosen over other evidence-based practices. If this is not an evidence-based practice, explain why this treatment intervention was selected over other treatment interventions.
- f. Describe how the proposed project will address the following issues in the population of focus, while retaining fidelity to the chosen practice:
- g. Demographics—race, ethnicity, religion, gender, age, geography, and socioeconomic status;

- h. Language and literacy;
- i. Sexual identity—sexual orientation and gender identity; and
- j. Disability.
- k. Demonstrate how the proposed service(s)/practice(s) will meet project goals and objectives within the 3-year grant period.
- l. Describe how clients will be screened and assessed for the presence of co-occurring substance use (abuse and dependence) and mental health disorders and how the information obtained from the screening and assessment will be used to develop appropriate treatment approaches for the persons identified as having such co-occurring disorders.

3. Capabilities/Competencies (20 percent of 100)

- a. State clearly the unduplicated number of individuals proposed to be served (annually and over the entire project period) with grant funds, including the types and numbers of services to be provided and anticipated outcomes.
- b. Describe how the population of focus will be identified, recruited, and retained. Based on the language, beliefs, norms, values, and socioeconomic factors of the population of focus, discuss how the proposed approach addresses these issues in outreaching, engaging, and delivering programs to this population, e.g., collaborating with community gatekeepers. Identify related governmental or community initiatives which complement or will be coordinated with the proposal.
- c. Describe how project planning, implementation, and assessment will include client input.
- d. Describe how the project components will be embedded within the existing service delivery system, including other SAMHSA and OJP funded projects, if applicable. Identify collaborating organizations that will participate in the proposed project. Describe their roles and responsibilities and demonstrate their commitment to the project. Include letters of commitment or formal contractual agreements (outlining services to be provided, level, and intensity of resources committed) from all collaborating organizations in Attachment 6 of the application.
- e. Show that the necessary groundwork (e.g., planning, consensus development, development of memoranda of agreement, identification of potential facilities) has been completed or is near completion so that the project can be implemented and substance abuse treatment service delivery can begin as soon as possible and no later than 4 months after grant award.
- f. Describe the potential barriers to successful conduct of the proposed project and how they will be overcome.
- g. Describe a sustainability plan to continue the project after the funding period ends. Also describe how program continuity will be maintained when there is a change in the operational environment (e.g., staff turnover, change in project leadership) to ensure stability over time.
- h. Provide an explanation of staff positions for the project, including the role of each and their level of effort and qualifications. Include in Attachment 3 the resumes for key staff positions including, the Project Director, Clinical Director, and Evaluator.
- i. Discuss how key staff has demonstrated experience in serving the population of focus and are familiar with the culture and language of the population of focus. If the population of focus is multicultural and multilingual, describe how the staff is qualified to serve this population.
- j. Describe the resources available for the proposed project (e.g., facilities, equipment), and provide evidence that treatment and other services will be provided in a location that is adequate, accessible, compliant with the Americans with Disabilities Act (ADA), and

amenable to the population of focus. If the ADA does not apply to your organization, please explain why.

4. Coordination Requirements (5 percent of 100)

- a. Non-tribal applicants must include a letter from the SSA Director or designated representative that they support the application and confirm that the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment. Applicants must include this letter in Attachment 7 of the application.
- b. Non-tribal applicants must submit a letter from the Chief Justice of the state's highest court, the State Court Administrator, or a designee (for example the state drug or problem solving court coordinator) describing how the proposed application would enhance the statewide efforts related to problem-solving courts. Applicants must include this letter as Attachment 8 of their application.
- c. Tribe/Tribal Applicants ONLY- Applications submitted by or on the behalf of a tribe/tribal organization must submit a Tribal Authorizing Resolution in Attachment 9 of their application.

5. Budget (15 percent of 100)

Applicants must provide a proposed budget for both CSAT and BJA that is complete, allowable, and tied to the proposed activities.

- a. For CSAT treatment funds, provide a per-person or unit cost of the project to be implemented. You can calculate this figure by: 1) taking the total cost of the project over the lifetime of the grant and subtracting 20 percent for data and performance assessment; 2) dividing this number by the total unduplicated number of persons to be served.
- b. A reasonable range for Substance Abuse Per-Person Treatment Costs (regardless of client treatment modality—residential, outpatient, non-methadone, outpatient, methadone, intensive outpatient, screening/brief treatment/outreach/pretreatment services or peer recovery support services) is \$3,000 to \$5,000.

6. Impact/Outcomes and Evaluation/Plan for Collecting Data for Performance Measures (15 percent of 100)

- a. Document the ability to collect and report on the required performance measures as directed. Describe your plan for data collection, management, analysis, and reporting. Specify and justify any additional measures or instruments planned to be used for the grant project.
- b. Describe how data will be used to manage the project and assure continuous quality improvement, including consideration of disparate outcomes for different racial/ethnic groups.
- c. Describe how information related to process and outcomes will be routinely communicated to program staff and incorporated into the plan for conducting the bi-annual performance assessment.

Review Process

OJP and SAMHSA are committed to ensuring a fair and open process for awarding grants. Applications will be reviewed to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with basic minimum program or legislative requirements as stated in the solicitation (including, but not limited to,

requirements as to timeliness, proper format, and responsiveness to the scope of the solicitation).

Peer review will be conducted under a joint BJA and CSAT peer review panel. An external panel of peer reviewers will be convened to review applications and will be composed of both criminal justice and behavioral health experts in the fields related to this subject matter. These will not be current U.S. Department of Health and Human Services employees, nor will they be employees of the U.S. Department of Justice. Applications will be screened initially to determine whether applicants meet all eligibility requirements. Only applications submitted by eligible applicants that meet all other requirements (such as timeliness, proper format, and responsiveness to the scope of the solicitation) will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, strategic priorities, past performance, and available funding.

After the peer review is finalized, the SAMHSA Division of Grants Management (DGM) and the OJP Office of the Chief Financial Officer (OCFO), in consultation with CSAT and BJA, conducts a financial review of all potential discretionary grant awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the budget and budget narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

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

Additional Requirements

Additional Requirements for BJA:

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. We strongly encourage you to review the information pertaining to these additional requirements prior to submitting your application. Additional information for each can be found at http://www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality and Human Subjects Protection (if applicable)
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA) (if applicable)
- DOJ Information Technology Standards (if applicable)

- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Non-Profit Organizations
- For-Profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in excess of \$5,000,000 – federal taxes certification requirement

Additional Requirements for CSAT:

Applicants selected for awards must comply with the following:

- All terms and conditions of the grant award
- All Administrative Requirements
- Performance Requirements
- SAMHSA Confidentiality and Participant Protection

For more information on additional CSAT Requirements, please see the [Requirements Resource Guide](#).

Application Checklist
FY 2010 Enhancing Adult Drug Court Services, Coordination, and Treatment

The application checklist has been created to aid you in developing your application.

- _____ Attachment 1: Program Narrative, including abstract as the first page
- _____ Attachment 2:
 - BJA Budget Worksheet and Budget Narrative
 - CSAT Budget Worksheet and Budget Narrative
- _____ Attachment 3: Project Timeline, Resumes and Letters of Support
- _____ Attachment 4: SAMHSA/CSAT Application Forms
- _____ Attachment 5: Confidentiality and SAMHSA Participant Protection
- _____ Attachment 6: Evidence of Experience and Credentials for Substance Treatment Provider(s) and Letters of Commitment/Formal Contractual Agreements
- _____ Attachment 7: State Substance Abuse Agency Director or Designee Letter
- _____ Attachment 8: Chief Justice, State Court Administrator or Designee Letter and/or Letter Certifying Abstract Sent to State Drug or Problem Solving Court Coordinator
- _____ Attachment 9: Tribal Authorizing Resolution (If applicable)

Required Forms, Certifications, and Other Components:

- _____ Standard 424 Form
- _____ DUNS Number
- _____ CCR Registration