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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is pleased to announce that it is seeking applications for funding to establish or enhance drug court services, coordination, offender management, and recovery support services. This program furthers the Department's 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.

## Adult Drug Court Discretionary Grant Program FY 2012 Competitive Grant Announcement

### Eligibility

For Category 1: Implementation and Category 2: Enhancement, applicants are limited to states, state and local courts, counties, units of local government, and Indian tribal governments (as determined by the Secretary of the Interior).

For Category 3: Statewide, applicants are limited to state agencies such as the State Administering Agency (SAA), the Administrative Office of the Court, and the state Alcohol and Substance Abuse Agency.

**Note: Applicants must demonstrate that eligible drug court participants promptly enter the drug court program following a determination of their eligibility. A required initial period of incarceration will be grounds for disqualification unless the period of incarceration is mandated by statute for the offense in question. In such instances, the applicant must demonstrate the offender is receiving treatment services while incarcerated if available and begins drug court treatment services immediately upon release.**

**Note:** BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations in future years.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 12.) All applications are due by 11:59 p.m. eastern time on March 8, 2012. (See "Deadlines: Registration and Application," page 4.)

## Contact Information

For technical assistance with submitting the application, contact Grants.gov Customer Support Hotline at 1-800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The [Grants.gov](http://Grants.gov) Support Hotline hours of operation are 24 hours a day, seven days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact the BJA Justice Information Center at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com), or by [live web chat](#). The BJA Justice Information Center hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

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# **Adult Drug Court Discretionary Grant Program CFDA # 16.585**

## **Overview**

BJA is accepting applications for FY 2012 grants to establish new drug courts or enhance existing drug court services, coordination, and offender management and recovery support services. The purpose of the Adult Drug Court Discretionary Grant Program (42 U.S.C. 3797u et seq.) is to provide financial and technical assistance to states, state courts, local courts, units of local government, and Indian tribal governments to develop and implement drug courts that effectively integrate evidenced-based substance abuse treatment, mandatory drug testing, sanctions and incentives, and transitional services in a judicially supervised court setting with jurisdiction over substance-abusing offenders. (See page 6 for a definition of “evidence-based.”)

## **Deadlines: Registration and Application**

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register with Grants.gov several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on March 8, 2012. See the “How To Apply” section on page 13 for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on March 8, 2012, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see “Contact Information” on the title page for more information about BJA’s Justice Information Center).

## **Eligibility**

Refer to the title page for eligibility under this program.

## **Adult Drug Court Discretionary Grant Program—Specific Information**

Drug courts are part of the larger universe of problem-solving courts, and have been demonstrated (where implemented in an evidence-based manner) to reduce recidivism and substance abuse among high-risk substance abusing offenders and increase their likelihood of successful rehabilitation through:

- early, continuous, and intense treatment,
- close judicial supervision and involvement (including judicial interaction with participants and frequent status hearings),
- mandatory and random drug testing,
- community supervision,
- appropriate incentives and sanctions, and
- recovery support aftercare services.

BJA provides drug court applicants the flexibility to identify the most appropriate court (service/docket) model in which to base the drug court in order to accommodate the needs and

available resources of that jurisdiction, so long as the model conforms to the key drug court components, which describe the basic elements that define drug courts.

For the purposes of this solicitation, an “adult drug court” is a court program managed by a multidisciplinary team that responds to the offenses and treatment needs of offenders who have a drug addiction. Drug courts funded through this grant solicitation may use federal funding and matched funding to serve only nonviolent offenders<sup>1</sup> and must operate the adult drug court based on BJA’s and the National Association of Drug Court Professionals’ publication [Defining Drug Courts: The Key Components](#), which addresses the statutory requirements.

For the purposes of this solicitation the “family” of drug court models includes Driving While Intoxicated (DWI)/Driving Under the Influence (DUI) Courts; Co-Occurring Substance Abuse and Mental Health Courts; Reentry Courts; Veterans Treatment Courts; and Tribal Healing to Wellness Courts. Court programs that combine or propose to combine a drug court model (meeting the requirements of such) with other court programs or dockets are eligible for funding, although the funding under this program must be used to address only those clients eligible for drug court services. Applicants should refer to their relevant local statutes to define the legal age of an “adult.”

For Tribal [Healing to Wellness Courts](#), [Veterans Treatment Courts](#), [DUI Courts](#), and [Mental Health Courts](#), program designs must function in accordance with the corresponding key components or principles as defined at the links provided.

For more information on common definitions, sample forms, and relevant drug court publications, see the Requirements [Resource Guide](#) which serves as the companion document to this solicitation.

## Goals, Objectives, and Outcomes

The overall goal of the Adult Drug Court Discretionary Grant Program is to build and/or expand drug court capacity at the state, local, and tribal levels to reduce crime and substance abuse among high-risk, high need offenders. A [drug court program logic model](#) is available at the National Institute of Justice web site.

Program objectives include building and maximizing the capacity of jurisdictions to ensure that all offenders are identified and assessed for risk and need; ensure all substance abusing offenders receive targeted research-based services; enhance the provision of recovery support services that prevent recidivism such as individualized treatment, vocational and educational

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<sup>1</sup> Programs funded through this solicitation may not, with Adult Drug Court Discretionary Grant Program funding or matched funding, serve 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 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. A BJA Adult Drug Court Discretionary Grant Program-funded drug court may, at its own discretion and after taking a valid assessment of risk into consideration, choose to provide services to an offender that is otherwise excluded from this program if the grantee is using non-federal (including match) funding to provide the services to that offender. BJA strongly encourages the use of valid risk assessment instruments and consideration of public safety needs in this local decision making process.

services, and community reintegration services to achieve long-term recovery; and lower costs associated with this target population. For enhancement grants (state and local), objectives also include supporting strategies that ensure drug court practitioners have tools to effectively manage these interventions, including data collection and analysis, training and technical assistance, and tracking and improving drug court performance.

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

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. OJP's [CrimeSolutions.gov](http://www.crimesolutions.gov) web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## **Priority Consideration**

- A. Category 1: BJA will give priority consideration to all Category 1 Implementation applicants who have completed the BJA Drug Court Planning Initiative (DCPI) training. For more information or to register for the training, go to the resource center web site at [www.NDCRC.org](http://www.NDCRC.org).
- B. Categories 1-3: Based on a review of drug court evaluations and research, BJA has partnered with NIJ to identify recommended policies and practices to yield effective interventions that maximize the return on investment for Adult Drug Court Program funding. Findings from the NIJ's Multisite Adult Drug Court Evaluation are available at [www.ojp.usdoj.gov/nij/topics/courts/drug-courts/madce.htm](http://www.ojp.usdoj.gov/nij/topics/courts/drug-courts/madce.htm). BJA will give priority consideration to applicants who propose designs and strategies that are consistent with each of the following evidence-based program design features. More information on designing a program around recent evidence-based research findings is available from the National Center for State Courts web site at [www.research2practice.org/index.html](http://www.research2practice.org/index.html).
  1. **Screening and Assessment**—Referral sources and other stakeholders should be clear on program eligibility criteria, which must be consistent with targeted population needs and available program resources. Applicants should demonstrate an ability to screen promptly and systematically for all offenders potentially eligible for the drug court, identify the agency which will conduct this screening, and detail the procedures that will be used for screening.

The applicant should further demonstrate how those offenders determined to be eligible for the drug court as a result of screening will then be assessed to identify their risk for relapse and recidivism, as well as the nature of treatment and other rehabilitation needs. Assessments should be conducted using instruments that have been validated for the targeted population and updated periodically. Treatment and other service assessments should be reviewed and adjusted to gauge offender needs that may change over time.

2. **Target Population**—Program resources should be prioritized for offenders who demonstrate both high criminogenic risk and high substance abuse treatment need. Applicants should aim to serve offenders whose characteristics and risk factors directly relate to a high probability of offending, and who are frequent drug users diagnosed for drug dependence. Also, applicants should target offenders who are subject to (or eligible for) legal sanctions that may provide greater leverage in program compliance.
3. **Procedural and Distributive Justice**—Applicants should establish and clearly communicate a system of graduated sanctions and incentives that is activated and delivered with certainty in response to offender behavior. Information from the drug court team and the offender should be considered in determining noncompliance and the appropriate response. Specific program responses should be meaningful to the offenders, understandable, and delivered in a manner that can be perceived as fair and equitable.
4. **Judicial Interaction**—Judges should interact directly and regularly with drug court participants during drug court hearings, which should be as frequent as the participant may require. As the program leader, the judge will maintain authority by demonstrating support for the program and knowledge of individual offenders. Communication between the participant and the judge should be based on a foundation of respect, and judges must maintain an understanding of program resources available to assess and respond to participant behavior.
5. **Monitoring**—The applicant should demonstrate a comprehensive plan to: monitor drug court participants using random drug testing and community supervision; disseminate results efficiently to the drug court team; and immediately respond to noncompliance according to established program requirements.
6. **Treatment and Other Services**—The applicant should maintain program resources that: address drug court participant needs identified over time; accommodate the range of treatment and other rehabilitation services required; and apply case management beyond initial referral to confirm that providers appropriately deliver ongoing assessment and services.
7. **Relapse Prevention, Aftercare and Community Integration**—From the first program phase, the applicant should demonstrate how culturally sensitive planning and other programming will be implemented to support relapse prevention, community integration, and aftercare/continuing care services.

Applicants may propose alternative program designs that depart from this list with compelling justification; however, priority consideration may not be provided for these applicants depending on the justification.

### **Amount and Length of Awards**

The FY 2012 solicitation offers three drug court grant categories: Category 1 Implementation, Category 2 Enhancement, and Category 3 Statewide. Jurisdictions that are in the planning stages should consider participation in BJA's DCPI. Upon completion of the DCPI, jurisdictions will receive a priority consideration when applying for an implementation grant. DCPI provides

training, technical assistance, and travel support to assist jurisdictions in planning a new adult, veterans, or tribal drug court program. For more information, see [www.NDCRC.org](http://www.NDCRC.org).

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

**CATEGORY 1: IMPLEMENTATION. Grant maximum: \$350,000. Project period: 36 months. Competition ID: BJA-2012-3121**

Implementation grants are available to jurisdictions that have completed a substantial amount of planning and are ready to implement an evidence-based adult drug court as described above (i.e., meeting the 10 key components as well as the design features (items 1-7)). Applicants may propose to use funding for court operations and services; offender supervision, management and services; and provision and coordination of recovery support services including education, job training and placement, housing placement assistance, primary and mental health care; and childcare and other supportive services.

**CATEGORY 2: ENHANCEMENT. Grant maximum: \$200,000. Project period: 24 months. Competition ID: BJA-2012-3122**

Enhancement grants are available to jurisdictions with a fully operational (at least 1 year) adult drug court. Applicants may propose to use funding to incorporate the evidence-based design features above to address one or more of the following: 1) expand the target population and/or to 2) enhance court operations, 3) enhance court services, and 4) enhance offender services.

Applicants should be mindful of the following considerations:

1. Applicants are encouraged to include or establish new services for populations not currently being served in the drug court based on an examination of the emerging needs in their local offender population.
2. Applicants may propose to enhance court operations including training programs for drug court practitioners, drug court program evaluations, performance management system implementation, and automated management information system implementation.
3. Applicants may propose to use funding to expand or enhance court services in areas such as offender management, including drug testing, case management, and community supervision.
4. Applicants may also propose to improve the quality and/or intensity of services; for instance, funding may be used for enhancing offender services such as healthcare and mental health care, education, vocational training, job training and placement, housing placement assistance, and childcare or other family support services for each participant who requires such services.

**CATEGORY 3: STATEWIDE. Grant maximum per applicant for Subcategories A and B: \$1.5 million. Of the \$1.5 million, a maximum of \$200,000 is available per applicant under subcategory A, and a maximum of \$1,300,000 is available per applicant under subcategory B. Project period: 36 months. Competition ID: BJA-2012-3123**

Applicants can apply for Subcategory A or Subcategory B or can apply for both A and B.

Statewide drug court grants are available for two purposes:



- A. To improve, enhance, or expand drug court services statewide by encouraging adherence to the evidence-based design features above and through activities such as: training and/or technical assistance programs for drug court teams geared to improve drug court functioning and to increase drug court participation and participant outcomes; tracking, compiling, coordinating, and disseminating state drug court information and resources; increasing communication, coordination, and information sharing among drug court programs; conducting a statewide drug court evaluation; or establishing a statewide automated drug court data collection and/or performance management system.
- B. To financially support drug courts in local or regional jurisdictions which do not currently operate with BJA Adult Drug Court Discretionary Grant Program funding. (A list of active BJA drug court grantees is available at [www.ojp.usdoj.gov/BJA/grant/drugcourts.html](http://www.ojp.usdoj.gov/BJA/grant/drugcourts.html).) States applying for funding under this subcategory must demonstrate a statewide, data-driven strategy for reaching and expanding capacity of drug court options and services for nonviolent substance-abusing offenders, which may include: implementing new drug courts; reaching capacity of existing drug courts; and expanding/enhancing capacity of existing drug courts to reach specific or emerging offender populations with drug treatment needs. The support provided through such statewide awards must also be consistent with the evidence-based principles outlined above.

Statewide applicants should also demonstrate how the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment. Statewide applicants must identify which drug courts and the type of court they propose to fund, at what amounts, for which periods of time, how the statewide applicant will assist the funded courts in achieving their goals and objectives, and how the applicant will monitor progress. Applicants must clearly describe their rationale for drug court selection and connect this back to their statewide, data-driven goals and objectives of reducing recidivism among substance-abusing offenders.

The state must also demonstrate a plan for sustaining drug court programming after federal funding has ended. **All federal funds under this category must be passed through to drug courts within the state; no funds may be retained for administrative purposes.**

## Budget 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, federal funds may not 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 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/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 OJP. 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 its budget.

### **Minimization of Conference Costs**

No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be attained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP website at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

### **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 by individuals with limited English proficiency may be allowable costs. 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 of the OJP "Other Requirements for OJP Applications" [web page](http://www.ojp.usdoj.gov/funding/other_requirements.htm) ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

### **Match Requirement (a portion of the match must be cash and the remainder can be in-kind)**

Federal funds awarded under this program may not cover more than 75 percent of the total costs of the project being funded. The applicant must identify the source of the 25 percent non-federal portion of the total project costs and how match funds will be used. If a successful applicant's proposed match exceeds the required match amount, the match amount that is incorporated into its OJP-approved budget is mandatory and subject to audit. (Match is restricted to the same uses of funds as allowed for the federal funds.) Applicants may satisfy this match requirement with any portion of cash and the remainder can be in-kind funds. See the OJP Financial Guide for definitions and examples of in-kind funding. The formula for calculating the match is:

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

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

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

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

Applicants wishing to exceed the 25 percent match amount should reflect the amount above 25 percent in the program narrative section only. The budget detail should distinguish cash from in-kind matched funds using an asterisk to show what percentage of the budget is cash. (Please refer to the [Resource Guide](#) for a sample budget detail)

## Performance Measures

To assist in fulfilling the Department’s responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation.

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT) located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). The following measures are examples of some of the core performance measures for the Adult Drug court Discretionary Grant Program, but applicants should examine the complete list at:

- (1) Implementation, [www.bjaperformancetools.org/help/BJADrugCourtImplementationIndicator111011.pdf](http://www.bjaperformancetools.org/help/BJADrugCourtImplementationIndicator111011.pdf); (2) Enhancement and Joint, [www.bjaperformancetools.org/help/BJADrugCourtENHANCEMENT111011.pdf](http://www.bjaperformancetools.org/help/BJADrugCourtENHANCEMENT111011.pdf); or (3) Statewide, [www.bjaperformancetools.org/help/BJADRUGCOURTStatewideIndicators111011.pdf](http://www.bjaperformancetools.org/help/BJADRUGCOURTStatewideIndicators111011.pdf).

### 1. Implementation/Enhancement/Joint Grantees

Objective	Performance Measure	Data Grantees Provide
Improve, enhance, and/or expand drug court services to reduce substance use and recidivism of drug court participants.	Percentage of participants admitted to the program	During this reporting period: A. Number of drug court participants that were admitted B. Total number of eligible drug court participants
	Percentage of participants who successfully completed the program	A. Number of participants enrolled in the program B. Number of participants who successfully completed program requirements. C. Total number of successful and unsuccessful completions.

	Percentage of participants who tested positive for illegal substance	<p>A. Number of drug court participants in the program for 90 days who tested positive for the presence of an illegal substance during this reporting period.</p> <p>B. Number of drug court participants in the program for 90 days who were tested for the presence of illegal drugs during this reporting period.</p>
	<p>Percentage of program participants who recidivate while enrolled in the program</p> <p>Percentage of arrest</p> <p>Percentage of program participants who recidivate within one year after completion of the program</p>	<p>A. Number of drug court participants</p> <p>B. Number of drug court participants who recidivate while enrolled in the program.</p> <p>C. Number of drug court participants who were arrested for drug offenses.</p> <p>D. Number of drug court participants who were arrested for non-drug offenses.</p> <p>E. Number of drug court participants who were arrested for non-drug and drug offense one year after program completions.</p>

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section “What a Successful Application Should Include” on page x for additional information.

**Note on Project Evaluations**

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that web page.

## Notice of Post-Award FFATA Reporting Requirement

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

## How To Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or 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 Dun and Bradstreet at 866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days. .
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. 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**

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or renew their CCR registration annually to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
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. Please note that there can be more than one AOR for the organization.
5. **Search for the Funding Opportunity on Grants.gov.** Please 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 Court Discretionary Grant Program," and the funding opportunity number is BJA-2012-3120.
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.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
8. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** The 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."

**Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review the most recent version submitted.



## Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must e-mail the BJA Justice Information Center (see page 1 for contact information) **within 24 hours after the deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. **Note: Requests are not automatically approved by BJA.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, BJA will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

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 Grants.gov 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, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page, [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## What an Application Should Include

Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by BJA to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, and Budget Narrative. The Budget Detail Worksheet and Budget Narrative should be combined in one document and must contain **both** narrative and detail information.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Time Task Plan," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that resumes be included in a single file.

### 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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, please select "For-Profit Organization" or "Small Business" (as applicable). **Failure to indicate the entire amount of federal funds requested for the entire project period may result in the applicant receiving an incorrect federal award amount.**

## 2. Applicant Information Page

The first page of the program narrative must include the applicant information page which should contain the following information in the order listed. This page does not count toward the 20-page limit for the program narrative.

- **Abstract**

A sample abstract can be found in the Application Information section of the [Resource Guide](#) and should parallel the goals and objectives of the solicitation. In addition, the abstract should clearly state the maximum capacity the jurisdiction plans to serve with federal assistance over the life of the grant. Capacity is defined as the total number of expected clients to be served based on resource allocations. The abstract should affirm that the key components of a drug court are or will be met and must indicate which of the seven evidence-based design features are proposed to be implemented in the application, noting the page numbers where each feature is discussed in the application. More information including definitions and incorporation of program design for each of the design features can be found at [www.research2practice.org/projects/](http://www.research2practice.org/projects/).

- List the category of funding requested (1, 2, or 3a/b), jurisdiction size (state, regional, local, tribe), urbanicity (urban, suburban, rural), and type of drug court(s) for which funds are being requested (e.g. Adult, Veterans, DWI/DUI, Co-Occurring with Substance Abuse, Campus Drug Court).
- Indicate whether the applicant is designated as an Empowerment Zone or Renewal Community by the U.S. Department of Housing and Urban Development.
- Indicate whether the applicant jurisdiction is collaborating with a Second Chance, or other Office of Justice Programs-funded initiative. **Collaboration among local partners with similar initiatives is highly encouraged.**
- Indicate whether the applicant jurisdiction has ever received a Drug Court grant from the Office of Justice Programs (include grant number) or ever participated in the Drug Court Planning Initiative. If the jurisdiction received planning assistance, include the dates of the training.

## 3. Program Narrative

The program narrative must respond to the solicitation and the Selection Criteria (1-4) listed below in the order given. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 20 pages. Please number pages "1 of 20" "2 of 20," etc.

If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

The following sections should be included as part of the program narrative:

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies



- d. Evaluation, Aftercare, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures  
Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJA as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

Please refer to the Selection Criteria, page 19, for the specific components of what the narrative should include.

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

Applicants must provide a separate itemized budget for each year of grant activity. A total budget for the grant period should follow to include all combined federal and non-federal expenditures. Applicants must submit the budget worksheets and budget narrative in one file.

Applicants should allocate funds for up to eight people to attend the National Drug Court Training Conference or one BJA-sponsored training per year. A list of BJA-approved drug court trainings can be found on the National Drug Court Resource Center web site at [www.NDCRC.org](http://www.NDCRC.org).

##### **a. Budget Detail Worksheet**

A sample budget detail worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

##### **b. Budget Narrative**

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system

permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

## 6. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) 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 membership should be included with 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 should include a resolution (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions (or comparable legal documentation).

## 7. Additional Attachments

- **State Substance Abuse (SSA) Agency Director or Designee Letter**  
Applicants are encouraged to 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 SSAs can be found on Substance Abuse and Mental Health Services Administration's (SAMHSA) web site at [www.samhsa.gov/Grants/ssadirectory.pdf](http://www.samhsa.gov/Grants/ssadirectory.pdf).** See #6 above for information about the Tribal Authorizing Resolution requirement.
- **Chief Justice, State Court Administrator, or Designee Letter**  
Applicants are encouraged to include a letter from the Chief Justice of the state's highest court, the State Court Administrator, or a designee (e.g., 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 at the [National Drug Court Resource Center](#).
- **Time Task Plan** (see Selection Criteria #4, page 23).

## 8. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms:

- a. [Standard Assurances](#)  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)  
Applicants must read, certify and submit in GMS prior to the receipt of any award funds.

- c. [Accounting System and Financial Capability Questionnaire](#) (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and submitted).

## Selection Criteria

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed below after each individual criteria. For example, for the first criteria, "Statement of the Problem," for Category 1 applicants, this section is worth 20 percent of the entire application in the review process.

### 1. Statement of the Problem

Within this section all applicants should explain the inability to fund the program adequately without federal assistance.

#### Category 1: Implementation Applicants (20 percent of 100)

- Describe the nature and scope of the substance abuse problem in the jurisdiction. Include data on race, ethnicity, age, gender, arrest volume, and crime patterns for adult offenders.
- Explain the problems with the current court response to cases involving substance abuse, identify how the proposed project will address the current arrest volume, and describe how the current number of treatment slots meets the needs of anticipated referrals.
- Describe the proposed target population, including the degree to which the offenders are repeat substance abusing offenders and the average jail or prison sentence that they face, if any. **Note:** Priority consideration will be given to applicants who target repeat substance abusing offenders or offenders facing substantial jail or prison sentences.

#### Category 2: Enhancement Applicants (25 percent of 100)

- Describe the immediate issues that the enhancement grant seeks to address. The issues should be derived from one or any combination of the four criteria listed under the Category 2: Enhancement section on page 8.
- Describe the current operation of the adult drug court, addressing:
  - Referral, screening, and assessment process/eligibility requirements
  - Target population
  - Structure of the drug court (pre/post plea, etc.)
  - Current capacity
  - Length and phases of the program
  - Case management process
  - Community supervision
  - Recovery support services delivery plan
  - Judicial supervision
  - Process for randomized drug testing
  - Incentives and sanctions
  - Graduation requirements and expulsion criteria
  - Restitution costs and all fees required for program participation

- Identify the treatment service(s)/ practice(s) available for drug court participants and how those services are currently monitored for quality and effectiveness.
- Discuss the evidence that shows that the treatment service(s)/practice(s) is/are effective with the target population. If the evidence is limited or non-existent for the target population, provide other information to support the intervention selection. Provide local data and any evaluation findings that demonstrate the program's impact with regard to offender and community outcomes. Describe a mechanism that prioritizes court resources and services for the repeating substance abuse offender population (high-risk/high-need).

**Category 3: Statewide Applicants (20 percent of 100)**

- List the category and total funding amount the applicant is applying for: A, B, or both. Describe the enhancement and/or number and type of drug court(s) and other problem solving courts operating statewide with jurisdiction over substance abusing offenders.
- Describe the extent that the state or these courts meet the needs of the eligible population of nonviolent substance-abusing offenders, are operating at capacity, and the non-budgetary reasons if they are not operating at capacity.
- Provide information about the extent that the enhancement and/or drug courts within the state are incorporating evidenced-based treatment practices/services.
- Describe the issue or need that the enhancement grant seeks to address. Provide state data and any evaluation findings that demonstrate the state drug court program's impact with regard to offender and community outcomes.

**2. Project Design and Implementation**

Within the Project Design and Implementation section, all applicants should address the following two items and then address their specific category requirements below.

- 1) The Drug Court Discretionary Grant Program authorizing statute requires participant payments for treatment and restitution; however, it does not allow imposing a fee on a client that would interfere with the client's rehabilitation. Applicants should include in their application provisions for determining if these costs would interfere with a client's rehabilitation or graduation.
- 2) Applicants should demonstrate that eligible drug court participants promptly enter the drug court program following a determination of their eligibility. Drug court programs which require an initial period of incarceration are ineligible unless the period of incarceration is mandated by statute for the offense in question. In such instances, the applicant must demonstrate the offender is receiving treatment services while incarcerated if available and begins drug court treatment services immediately upon release.

**Category 1: Implementation Applicants (40 percent of 100):**

- Describe the drug court program to include the following:
  - Screening and referral process/eligibility requirements
  - Structure of the drug court (pre-/post-plea, etc.)
  - Length and phases of the program
  - Case management process
  - Community supervision
  - Treatment services

- Recovery supportive services delivery plan
  - Judicial supervision
  - Process for randomized drug testing
  - Incentives and sanctions
  - Graduation requirements and expulsion criteria
  - Restitution costs and all fees required for program participation
- Describe how the project design and strategy conforms with the **key components** and how it will be implemented in accordance with the **evidence-based design features** described on page 6.
  - Describe how the treatment provider(s) will be selected and address the frequency for which key drug court team members will monitor the providers. Monitoring should ensure that the treatment is effective as well as relevant and to the extent possible evidence-based for the target population.
  - Describe how the court will identify, assess, and prioritize participation and services for high-risk/high-need offenders. Identify the validated assessment tool which will be utilized and provide information on why the specific assessment tool was selected.
  - If a post-adjudication drug court model is proposed, discuss how the concept of “early intervention” will be implemented.
  - Discuss how the community has been engaged in the planning process and describe the community partnerships available to support the drug court program.
  - Demonstrate how the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment and the extent to which treatment resources will be available to the court.

**Category 2: Enhancement Applicants (40 percent of 100):**

- Describe the proposed enhancement and its specific goals and objectives, linking the enhancement to the evidence-based design features described on page 6 and the key components of drug courts.
- Describe how the court will identify, assess, and prioritize participation and services for high-risk/high-need offenders. Identify the validated assessment tool used and provide information on why the specific assessment tool was selected.
- Identify which of the enhancements options discussed on page 8 for which funds are being requested and explain how each will be accomplished. In the explanation address the following:
  - Describe the detailed and randomized drug testing process and how it will occur throughout all components/phases of the program. Describe the mechanism which the court will use to ensure coverage and coordination of drug testing among all available agencies associated with clients.
  - Describe the proposed frequency of judicial status hearings and related criteria in the program. Describe how the program will ensure consistent procedures in the status hearings.
  - Describe the process the court will use to ensure a perception of procedural fairness throughout all court and program operations.
  - Demonstrate how the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment.

### **Category 3: Statewide Applicants (50 percent of 100):**

- Describe the specific design, goals, and objectives for the proposed statewide enhancement project and how the project will incorporate and address the evidence-based design features identified on page 8 of this solicitation. Provide a project strategy identifying how one or more of the following statewide initiatives will be accomplished: training or technical assistance programs for drug court teams; tracking or compiling state drug court information and resources; disseminating statewide drug court information to enhance or strengthen drug court programs; increasing communication, coordination, and information sharing among drug court programs; conducting a statewide drug court evaluation; or establishing an automated drug court data collection system. Demonstrate how the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment.
- Describe the statewide, data-driven drug court strategy for expanding capacity of problem-solving court options and services for substance-abusing offenders, which may include: implementing new drug courts; reaching capacity of existing drug courts; and expanding/enhancing capacity of existing drug courts to reach specific or emerging offender populations with drug treatment needs.
- Identify which drug courts are proposed to receive funding, the type of program, at what amounts, for which periods of time, how the statewide applicant will assist the funded courts in achieving their goals and objectives, and how the applicant will monitor progress. Identify how the selected jurisdiction(s) drug court programs will operate in accordance with the [\*Defining Drug Courts: The Key Components\*](#) and will use sub-granted funds to implement research-based, data-driven strategies. Also describe:
  - The detailed and randomized drug testing process and how it will occur throughout all components/phases of the program. Describe the mechanism which the court will use to ensure coverage and coordination of drug testing among all available agencies associated with clients.
  - Describe the proposed frequency of judicial status hearings and related criteria in the program. Describe how the program will ensure consistent procedures in the status hearings.
  - Describe the process the court will use to ensure a perception of procedural fairness throughout all court and program operations.
  - Describe the plan for sustaining drug court programming after federal funding has ended.
  - Demonstrate how the SSA was consulted and how the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment.

### **3. Capabilities and Competencies**

#### **Category 1: Implementation Applicants (20 percent of 100)**

- Indicate whether the drug court team members have received training through the BJA Drug Court Planning Initiative or through another opportunity.
- Identify each member of the drug court team and describe their roles and responsibilities.
- Describe how effective communication and coordination among the team will be implemented throughout the project period. Key drug court team members must include a judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator.

- Describe the drug court program's proposed treatment partners; describe the history of this partnership and how the court will ensure these substance abuse treatment providers will use evidenced-based treatment services.
- Attach a letter of support from each key drug court team member, with responsibilities outlined for each member (see Additional Attachments on page 18).

**Category 2: Enhancement Applicants (20 percent of 100):**

- Identify each drug court team member who will have a significant role in implementing the enhancement and describe their roles, responsibilities, and qualifications to ensure success of the proposed enhancement project.
- Identify personnel other than team members who are critical to the enhancement project's successful implementation and discuss their roles, responsibilities, and qualifications.
- Discuss organizational capabilities or competencies that will directly impact the ability to successfully implement the proposed enhancement. Key drug court team members must include a judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator.
- Describe the drug court program's proposed treatment partners; describe the history of this partnership and how will the court ensure that these substance abuse treatment providers use evidenced-based treatment services and monitor the quality and effectiveness of service delivery.
- Attach a letter of support from each key drug court team member, with responsibilities outlined for each member (see Additional Attachments on page 18).

**Category 3: Statewide (15 percent of 100):**

- Subcategory A: Identify personnel who are critical to the enhancement project's successful implementation and discuss their roles, responsibilities, and qualifications. Discuss organizational capabilities or competencies that will directly impact the ability to successfully implement the proposed enhancement.
- Subcategory B: Detail the system and process that will be used to monitor the jurisdiction(s) for performance, compliance, and technical assistance needs, as well as how the jurisdiction or region will contribute to a reduction in substance abuse recidivism. Describe current state-funded drug court services such as practitioner training and professional development opportunities, accessible statewide treatment contracts, and technical assistance available to support the implementation and/or enhancement operations of the drug courts proposed to receive funding. Describe the drug court program's proposed treatment partners; describe the history of this partnership and how will these substance abuse/addiction treatment providers use evidenced-based treatment services.

**4. Evaluation, Aftercare, Sustainment, and Plan for Collecting the Data Required for this Solicitation's Performance Measures**

All applicants should describe their current ability to collect and analyze client-level performance and outcome data and to conduct regular assessments of program service delivery and performance as described in the evidence-based design features described in this solicitation. All applicants must indicate their willingness and ability to report aggregated client-level performance and outcome data through BJA's Performance Measurement Tool (PMT) (no personally identifiable information shall be collected through the PMT). Statewide applicants are expected to report on behalf of subawardees.

**Category 1: Implementation Applicants (15 percent of 100):**

- Describe the steps the drug court will take to develop a performance management and evaluation plan. The plan should include strategies to collect data, review data, use data to improve program performance, and where appropriate, discuss how the drug court will work with an evaluator.
- Describe who will be responsible for the quarterly review of the actual program capacity as compared to the expected program capacity. Expected capacity is defined by the projected census of clients based on arrestee trend projections and available treatment slots. Program capacity is defined by the actual census of clients at the time of performance measurement reporting and the total number expected over the life of the grant. A Time Task Plan should reflect when and how the jurisdiction plans to reach that capacity and should be measured on a quarterly basis.
- The applicant should provide a client community reintegration or aftercare strategy detailing the step down provisions for aftercare services to assist program graduates as they reintegrate into the community.
- The applicant should also provide a sustainability plan detailing how court operations will be maintained after federal assistance ends. The sustainability plan should describe how current collaborations and evaluations will be used to leverage ongoing resources.

**Category 2: Enhancement Applicants (10 percent of 100):**

- Provide a plan detailing how performance of court operations will be evaluated and managed. Describe the program's screening and referral process which ensures that offenders screened and referred to drug court mirror the jurisdiction's substance abuse arrestee percentages.
- Describe how there will be an ongoing review of the program's expected capacity as compared to the actual capacity and the mechanism to make adjustments ensuring the program reaches maximum capacity. Expected capacity is defined by the projected census of clients based on arrestee trend projections and available treatment slots. Program capacity is defined by the actual census of clients at the time of performance measurement reporting and the total number expected over the life of the grant. A Time Task Plan should reflect when and how the jurisdiction plans to reach that capacity and should be measured on a quarterly basis.
- Describe how operation and enhancement efforts will be maintained after federal assistance ends and how current collaborations and evaluations will be used to leverage ongoing resources.
- Provide a client community reintegration or aftercare strategy as well as a sustainability plan detailing how court operations will be maintained after federal assistance ends with support from local or state funding.

**Category 3: Statewide Applicants (10 percent of 100):**

- Provide a plan detailing how enhancement activities and performance of funded drug court operations will be managed and evaluated.
- Detail a screening and referral process using valid screening and assessment tools to ensure the most appropriate offenders are referred to drug court.
- Describe how there will be an ongoing review of the program's expected capacity as compared to the actual capacity and the mechanism to make adjustments ensuring the program reaches maximum capacity. Expected capacity is defined by the projected census of clients based on arrestee trend projections and available treatment slots. Program capacity is defined by the actual census of clients at the time of performance measurement reporting and the total number expected over the life of the grant. A Time



Task Plan should reflect when and how the jurisdiction plans to reach that capacity and should be measured on a quarterly basis.

- Describe how operation and enhancement efforts will be maintained after federal assistance ends and how current collaborations and evaluations will be used to leverage ongoing resources.
- Provide a client community reintegration or aftercare strategy as well as a sustainability plan detailing how court operations will be maintained after federal assistance ends with the support from local or state funding.

## 5. Budget (5 percent of 100)

All applicants (Categories 1-3) must provide a proposed multi-year budget that is complete, reasonable and allowable, cost effective, and necessary for project activities. Applicants must provide a separate itemized budget for each year of grant activity reflecting the 25 percent match requirement. A total budget for the grant period should follow to include all combined federal and non-federal expenditures. Applicants must submit the budget detail worksheets and budget narrative in one file. **Note:** Problem-solving courts wishing to apply for Adult Drug Court Discretionary Grant Program funding may only request and use drug court funding to provide drug court services to clients. Services addressing clients not eligible for drug court services may not be funded through this program.

## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The Bureau of Justice Assistance reviews the application 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 reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Applications that meet basic minimum requirements 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, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with the Bureau of Justice Assistance, conducts a financial review of applications for potential discretionary awards and cooperative agreements 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), who may also

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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**

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 [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- 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
- Active CCR Registration

## **Provide Feedback to OJP on This Solicitation**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, application submission process, and/or the application review/peer review process. Feedback can be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

## **Application Checklist**

### **FY 2012 Adult Drug Court Discretionary Grant Program**

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

#### **Eligibility**

\_\_\_\_\_ States, state and local courts, counties, units of local government

#### **The Federal Request is within Allowable Limits and not to exceed:**

- \_\_\_\_\_ \$350,000 for Category 1: Implementation
- \_\_\_\_\_ \$200,000 for Category 2: Enhancement
- \_\_\_\_\_ \$200,000 for Category 3: Statewide Subcategory A
- \_\_\_\_\_ \$1,300,000 for Category 3: Statewide Subcategory B

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

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 15)
- \_\_\_\_\_ Applicant Information Page (including affirmation of evidence-based design features) (see page 15)
- \_\_\_\_\_ Program Narrative\* (see page 16)
- \_\_\_\_\_ Budget Detail Worksheet\* and Budget Narrative\* (see page 17)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 17)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 18)
- \_\_\_\_\_ Additional attachments (see page 18):
  - \_\_\_\_\_ State Substance Abuse Agency Director, or Designee Letter
  - \_\_\_\_\_ Chief Justice, State Court Administrator or Designee Letter
  - \_\_\_\_\_ Time Task Plan
- \_\_\_\_\_ Other Standard Forms as applicable, including (see page 18):
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)

\*These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.