U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

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The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP) Bureau of Justice Assistance (BJA) and the U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), 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 missions of DOJ and HHS 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.

Joint Adult Drug Court Solicitation to Enhance Services, Coordination, and Treatment FY 2011 Competitive Grant Announcement

Eligibility

Applicants are limited to states or state courts applying on behalf of a single jurisdiction; local courts; counties; other units of local government; or federally recognized Indian tribal governments (as determined by the Secretary of the Interior). Indian tribal governments may apply directly or through other public or not-for-profit private entities. Eligible jurisdictions must have a fully operational (at least 1 year) adult drug court. "Operational" is defined as a judge being designated as a "drug court" judge with a drug court docket of cases and seeing defendants in drug court on a regular and recurring basis for at least 1 year prior to the submission of the grant application. **By signing the SF-424, the authorized representative of the applicant organization is certifying that the Adult Drug Court applying for funds is operational, as defined above, for at least 1 year at the time of application.**

For the purposes of this solicitation, the definition of "adult drug court" is a court program managed by a non-adversarial and multidisciplinary team that responds to the offenses and treatment needs of offenders who have a drug addiction. The "family" of drug court models includes Tribal Healing to Wellness Courts, Driving While Intoxicated (DWI)/Driving Under the Influence (DUI) Courts, Co-Occurring Drug and Mental Health Courts, Veterans Courts, and Campus Drug Courts adhering to the Drug Court 10 key components *Defining Drug Courts: The Key Components* and 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: The following requirements must be met or the application will not be reviewed or considered for an award:

- Non-tribal 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.

- Non-tribal applicants must also 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.
- Tribal applicants submitting on the behalf of a tribe/tribal organization must submit a Tribal Authorizing Resolution in lieu of a letter of support from the State in Attachment 9 of their application. These resolutions should authorize the inclusion of the tribe or tribal organization and its membership within the application.

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 15, for more details.) All applications are due by 11:59 p.m. eastern time on June 9, 2011. (See "Deadlines: Registration and Application," page 5.)

Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 1–800–518–4726 or via e-mail to support@grants.gov.

Note: The Grants.gov Support Hotline hours of operation are 24 hours a day, seven days a week, except federal holidays.

For assistance with basic requirements of this solicitation, contact the BJA Justice Information Center at 1–877–927–5657, via e-mail to 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.

For assistance with CSAT treatment-specific requirements of this solicitation, contact Holly Rogers, CSAT Public Health Advisor at 240–276 –2916 or by e-mail holly.rogers@samhsa.hhs.gov.

For assistance with financial/fiscal SAMHSA-specific requirements of this solicitation, contact Love Foster-Horton, Lead Grants Management Specialist at 240–276 –1653 or by e-mail love.foster-horton@samhsa.hhs.gov.

Grants.Gov number assigned to announcement: BJA-2011-3021

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Joint Adult Drug Court Solicitation to Enhance Services, Coordination, and Treatment
CFDA #s 16.585 (BJA) and 93.243 (SAMHSA)

Overview

BJA and SAMHSA are accepting applications for FY 2011 grants to enhance the court services, coordination, and evidence-based substance abuse treatment and recovery support services of adult drug courts. The purpose of this joint initiative is to allow applicants to submit a comprehensive strategy for enhancing drug court services and capacity, permitting applicants to compete for both criminal justice and substance abuse treatment funds with one application. In order to fulfill all of the requirements for this grant program, applicants should comply with the requirements outlined in this grant announcement as well as those incorporated by reference in the BJA Requirements Resource Guide.). These grants are authorized under 42 USC 3797u et seq. and section 509 of the Public Health Service Act, as amended. This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-40.

Drug courts funded through this grant solicitation may use federal funding and matched funding to serve only nonviolent offenders[1] 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.

This opportunity provides drug court applicants the flexibility to identify the most appropriate evidence-based 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 10 key drug court components, which describe the basic elements that define drug courts.

Note: In addition to this joint solicitation, BJA and SAMHSA also plan to announce the following separate grant programs for drug courts to meet the needs of their respective judicial and/or treatment agency audiences:

1. **BJA's Adult Drug Court Discretionary Grant Program** provides funding for Implementation grants, Enhancement grants and Statewide grants.

2. **SAMHSA's Behavioral Health Court Collaboration Grants** (TI-11-XXX), which will allow communities the flexibility to provide funds to support infrastructure development and systems transformation through the use of local problem-solving court collaborations to

[1] Programs funded through this solicitation may not, with grant 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 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.

address the needs of individuals involved in problem-solving courts who have behavioral health disorders.

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 SAMHSA. However, BJA and SAMHSA 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. OJP and SAMHSA strongly encourage registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on June 9, 2011. Please see the "How to Apply" section, page 15 for more details.

Eligibility

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

Joint Adult Drug Court Solicitation to Enhance Services, Coordination, and Treatment—Specific Information

Applicants should propose a comprehensive strategy to enhance and/or expand court services, coordination, substance abuse treatment and recovery support services. Applicants should provide evidence that the proposed enhancement will address the overall goals and objectives of the project within the 3-year grant period. Applicants should 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 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/high need offenders and increase an offender's 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.
- Recovery support (step-down) services.

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.

Drug courts funded through this grant solicitation may use federal funding and matched funding to serve only nonviolent offenders 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. Information on the 10 key components can also be found in the Requirements Resource Guide.

Based on a review of drug court evaluations and research, BJA has partnered with the National Institute of Justice (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 National Institute of Justice's Multi-site Adult Drug Court Evaluation are available at www.ojp.usdoj.gov/nij/topics/courts/drug-courts/madce.htm. A priority consideration will be given to applications that propose designs and strategies that are consistent with each of the following evidence-based program design features. (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.)

1. **Screening and Assessment—**Referral sources and other stakeholders should be clear on program eligibility criteria. Tools validated for the population of focus should be used to screen offenders for program intake versus other case dispositions, and to further assess offenders on risk for relapse and recidivism, and need for treatment and other services. Applicants should propose to determine if the program adequately supports the participants admitted, such as assessing to what extent clients with mental health needs are being served appropriately and sufficiently to impact their substance abuse issues.
2. **Population of Focus—**Program resources should be prioritized for offenders who demonstrate both high criminogenic risk (i.e., offender characteristics or risk factors that are directly related to the probability of offending or re-offending) and high substance abuse treatment need. Applicants should aim to serve offenders who are subject to or eligible for sanctions that may provide greater leverage in program compliance. Applicants should aim to serve offenders who are frequent drug users and are diagnosed for drug dependence.
3. **Procedural and Distributive Justice—**Applicants should establish and clearly communicate a system of graduated sanctions and incentives that is activated or delivered with certainty in response to offender behavior. Information from the drug court team and the offender should be heard 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 the program participants during drug court hearings in the highest risk cases, as often as twice per

week. As the program leader, they will maintain authority by demonstrating support for the program and knowledge of individual offenders. Communication between the client 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—**Applicants should implement a random alcohol and other drug testing protocol that yields results quickly for dissemination to all drug court team members, regardless of whether tests are administered by treatment, community corrections, or other service providers.
6. **Treatment and Other Services—**Applicants should maintain program resources that address the participant needs identified, and be prepared to accommodate substantial expense depending on the treatment modality (e.g., inpatient) and ancillary services required. Apply case management beyond initial referral to confirm that service resources appropriately deliver ongoing assessment and treatment services appropriate for the population of focus. **Please note:** SAMHSA funds allow for 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. For more information see Budget Information "SAMHSA Funding Requirements" below.
7. **Relapse Prevention and Community Integration—**From the first program phase to aftercare, applicants should implement culturally sensitive planning and other programming that support relapse prevention and community integration.

BJA Drug Court Enhancement Component:

Applicants may propose to use BJA funding to incorporate the evidence-based design features noted above to: 1) expand the population of focus, 2) enhance court operations, 3) enhance court services, and/or 4) enhance offender services. Additionally:

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

For examples of drug court services allowable under this program, please see the Requirements Resource Guide.

SAMHSA Substance Abuse Treatment Component:

SAMHSA funding is intended to fund treatment services or practices that have a demonstrated evidence base and that are appropriate for the drug court population. 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 proposed service selection in the project narrative. **For more information on EBP's, see "Using Evidence Based Practices" in the Requirements Resource Guide.**

Applicants may propose to enhance and/or expand substance abuse treatment and recovery support services. **For information on allowable substance abuse treatment and recovery support services, please see the Requirements Resource Guide.**

Service 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.

Service Expansion: An applicant may also propose to **increase access and availability of services to a larger number of clients**. Applicants may 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.

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 coce.samhsa.gov/products/cod_presentations.aspx.

In order to address the prevalent issue of trauma histories in offender populations, applicants must demonstrate how staff will be trained in trauma-informed practices, and how these practices will be integrated into the clinical treatment and recovery services provided for the drug court clients. For more information on trauma and trauma-informed practices, go to the National Center for Trauma-informed Care at www.samhsa.gov/nctic/.

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**, which outline the services to be provided including the level and intensity of resources committed from these 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.

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 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 SAMHSA 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.

As appropriate, post-award, SAMHSA 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.

SAMHSA strongly encourages all grantees to provide a smoke-free workplace and to promote abstinence from all tobacco products (except in regard to accepted tribal traditions and practices).

Applications that do not meet the requirements of one or both agencies will not be granted an award by either BJA or SAMHSA.

Overall Goals, Objectives, and Outcomes

The overall goal of the Joint Adult Drug Court Discretionary Solicitation is to build and/or expand drug court capacity of state, local, and tribal levels to reduce crime and substance abuse among High-Risk/High Need offenders. This evidence-based approach includes the key elements of judicially supervised treatment, drug testing, community supervision, appropriate sanctions, and recovery support services.

Program objectives include:

- Building and maximizing the capacity of jurisdictions to ensure that all offenders are identified and assessed for risk and need.
- Ensuring all substance abusing offenders receive targeted research based and data driven services.
- Enhancing the provision of ancillary services that prevent recidivism such as individualized treatment, vocational and educational services, and community reintegration services to achieve long term recovery.
- Lowering costs associated with the population of focus.
- Supporting strategies that ensure drug court practitioners have tools to effectively manage these interventions, including data collection and analysis, training, and technical assistance.

- Tracking drug court performance.

The intended outcomes from these goals and objectives should result in reductions in recidivism and substance abuse of the population of focus while showing an offender's likelihood of successful reintegration into the community.

Amount and Length of Awards

	BJA Funding	SAMHSA Funding
Anticipated Total Available Funding:	$3,100,000	$3,100,000
Estimated Number of Awards:	**10**	**10**
Estimated Award Amount:	Up to $300,000 as a one- time award for the entire 3-year grant period	Up to $325,000 per year for each year of the 3-year grant period
Cost Sharing/Match Required:	**Yes** See Requirements Resource Guide for more information on BJA Match Requirements	**No**
Project Period:	Up to 3 years	Up to 3 years

Annual SAMHSA 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.

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

Budget Information

Applicants must provide two separate budgets (i.e., one for requested BJA funds and one for requested SAMHSA funds). Additionally, if awarded, grantees must have a system in place to track both BJA and SAMHSA grant fund expenditures separately.

BJA Funding Requirements:

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 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/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.

BJA Match Requirement:

A portion of match must be cash and remainder can be in-kind
BJA 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. (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 services. The formula for calculating the match is:

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

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

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

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

SAMHSA Funding Requirements:

- Provide a per-person or unit cost of the project to be implemented. This figure is calculated 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.
- 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.
- Applicants must include key staff positions (Project Director, Clinical Director/Supervisor, Judge, and Evaluator) in the budget. If the Project Director is a contractor/consultant the applicant must include a copy of the contract or proposed contract with the application.
- SAMHSA's Sample Budget and Justification format must be used. An electronic copy of the Sample Budget and Justification is located at: www.samhsa.gov/Grants/AppCont/sample_budget_no_match.doc and in the Requirements Resource Guide.

For a comprehensive list of SAMHSA requirements and funding restrictions, please see the Requirements Resource Guide.

Performance Measures

There will be two primary types of data reporting required by BJA and SAMHSA: the bi-annual report, and Government Performance and Results Act (GPRA) (Public Law 103-62) reporting requirements of both agencies. The bi-annual report provides an overview of the goals and

objectives of the grant as proposed in the application and the progress made in achieving these measures.

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 an Application Should Include” (below) for additional information.

BJA Performance Measures:

To assist in fulfilling DOJ’s responsibilities under GPRA, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. **Performance measures for this program are being finalized. Below, BJA has listed the program objectives and sample performance measures. BJA will determine whether additional or different measures will be required prior to awarding grants**:

Objective	Performance Measures	Data Grantee Provides
To enhance the provision of services to drug court participants by way of additional services, meeting training, management information systems (MIS).	**Enhancement: Participant Services** Percent increase in number of substance abuse and recovery support treatment hours provided Percent of drug court participants who successfully completed program requirements Percent of drug court participants who exited the program unsuccessfully (without completing program requirements)	**Enhancement: Participant Services** Total number of drug court participants as of the last day of the reporting period. Total number of outpatient substance abuse or recovery treatment services service hours delivered during the previous reporting period (Auto calculated by PMT) Total number of service hours delivered for outpatient substance abuse or recovery treatment services during the current reporting period as a result of this grant Total number of drug court participants who exited the program Number of drug court participants who exited the program due to successful completion of program requirements. Number of drug court participants who exited the program due to legal reasons Number of drug court participants who exited the program because of incarceration Number of drug court participants who were referred to another agency Number of drug court participants who

		exited because they moved outside the jurisdiction
	Enhancement: Service Provider Trainings Percent increase in participants who rated the training as satisfactory or better	**Enhancement: Service Provider Trainings** Total number of drug court practitioners trained during this reporting period. Number of training participants who rated the training as satisfactory or better Number of participants who completed an evaluation.
	Enhancement: Data collection/MIS Percent increase in drug court cases automated	**Enhancement: Data collection/ MIS** Total number of active drug court cases during the reporting period Number of active drug court cases fully automated as a result of grant funding

Note on collection of supplemental performance data and evaluations: Applicants should be aware that, if an application proposes to use federal funds to collect supplemental performance data beyond that required for BJA's performance measures, or proposes to conduct a project evaluation, these activities may constitute "research." Research is subject to applicable Department of Justice (DOJ) human subjects protections. Applicants should provide sufficient information for BJA to determine whether the regulatory definition of research is met. SAMHSA funds cannot be used to conduct research.

Research is defined by DOJ's regulations as "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalized knowledge" 28 C.F.R. § 46.102(d). For further guidance regarding federal regulations concerning research, including a decision tree to assist applicants in determining whether a proposed activity would constitute research, see the "Research and the Protection of Human Subjects" section of the OJP web site (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.

SAMHSA Data Collection and Performance Measurement Requirements:

Grantees will be required to report performance on the following SAMHSA 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 SAMHSA to report on the National Outcome Measures (NOMs), which have been defined by SAMHSA as key priority areas relating to substance use.

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 SAMHSA'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 SAMHSA.

Please note: The applicant is required to identify the number of clients that will be served annually and over the entire 3 year project period. The number of clients identified by the applicant is the number of clients that will have GPRA performance data completed including a GPRA intake, discharge, and 6 month follow-up as previously noted above. For more information see "Proposed Number of Service Recipients-Guidelines and Definitions" in the Requirements Resource Guide.

Grantees must collect and report data using the SAMHSA 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 SAMHSA's Office of Communications at 1–877–SAMHSA7 (TDD: 1–800–487–4889).

SAMHSA 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?

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that 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), will be required 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/.

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. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **1-800-518-4726**, 24 hours a day, seven 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. It is highly recommended 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 DUNS Number.** A DUNS number is required for Grants.gov registration**.** The Office of Management and Budget requires that all businesses and non-profit applicants for federal funds include a DUNS (Data Universal Numbering System) 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 1-866-705-5711 or by applying online at 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 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 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.

4. **Acquire Authorization for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log in to 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) numbers for this solicitation are 16.585 (BJA), titled "Drug Court Discretionary Grant Program," and 93.243 (SAMHSA), titled "Substance Abuse and Mental Health Services—Projects of Regional and National Significance," and the funding opportunity number is BJA-2011-3021.

6. **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. 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 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 contact Tim Jeffries, BJA Policy Advisor at 202–616–7385 or timothy.jeffries@usdoj.gov **within 24 hours after the deadline** and request approval to submit its application. At that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The

applicant must 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. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues the applicant reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues the applicant reported cannot be validated, the 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 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.

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.

What an Application Should Include

This section describes what an application should include and sets out a number of elements. 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 nevertheless be made to make an award, 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 some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, letters of commitment or formal contractual agreements that outline the services to be provided by collaborating treatment organizations as required in Attachment 6, a letter from the State Substance Abuse Agency (SSA) Director or designated representative as required in Attachment 7, and a letter from the Chief Justice of the state's highest court or a designee as required in Attachment 8 will not proceed to peer review and will not receive further consideration.

BJA and SAMHSA strongly recommend use of appropriately descriptive file names (*e.g.*, "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. It is recommended that resumes be included in a single file.

1. **Application for Federal Assistance (SF-424A)**
   The SF-424A is a standard form required for use as a cover sheet for submission of pre-applications, applications and related information. Please see www.grants.gov/assets/DraftInstructionsSF424%20A_DOL.pdf for instructions on how to complete the SF-424A for BJA funding.

   By signing the SF-424, the authorized representative of the applicant organization is certifying that the Adult Drug Court applying for funds is operational, as defined above, for at least 1 year at the time of application.

2. Program Narrative (Attachment 1)

Only **one** program narrative should be submitted. The program narrative must respond to the solicitation and the Selection Criteria (1-5) 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 30 pages. Please number pages "1 of 30" "2 of 30," 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.

Abstract:

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.

The abstract should include the project name, population to be served, strategies/interventions proposed, project goals and measurable objectives, including the number of people to be served annually and throughout the lifetime of the project, etc. In the first five lines or less of the abstract, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases. A sample abstract can be found in the Application Information section of the Requirements Resource Guide. The abstract should affirm that the 10 key components of a drug court are, or will be met and must indicate which of the seven evidence-based design features are proposed in the application. Please also note the corresponding page numbers where features are highlighted in the application.

Applicants should anticipate that if the program narrative fails to comply with these length-related restrictions, the failure to comply may be considered in peer review and in final award decisions.

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

1. Statement of the Problem
2. Project Design and Implementation
3. Capabilities and Competencies
4. Evaluation, Aftercare, Sustainability, and Plan for Collecting the Performance Measurement Data
   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 the Bureau of Justice Assistance and Substance Abuse and Mental Health Services Administration 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 22, for the specific components of what the narrative should include.

3. **Budget Detail Worksheet and Budget Narrative (Attachment 2)**
Applicants must provide two budgets (Selection Criteria 5) which clearly show the use for the BJA and SAMHSA funds. If awarded, the grantee will be responsible for tracking the resources separately.

Required Grantee Meetings
Grantees are required to budget for two meetings in each year of the grant as identified by the BJA and SAMHSA 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 SAMHSA budget will include travel funds for one meeting in each year of the grant. One of the annual budgeted and mandatory meetings is a BJA/SAMHSA grantee meeting that may be held in conjunction with a national drug court conference. 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) to this BJA/SAMHSA mandatory meeting. Grantees must also budget for four persons, representing the treatment and justice collaborative, to attend a second mandatory annual meeting. For budgetary purposes it is assumed that one of the two mandatory meetings will be held in the Washington, DC area.

BJA Budget and Narrative:

a. **BJA Budget Detail Worksheet**
A sample budget detail worksheet can be found at 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.

The budget must indicate how the 75 percent BJA federal funds and the 25 percent match will be allocated in the overall budget.

b. **BJA Budget Narrative**
The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. 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 estimated and calculated and how they are relevant to the completion of the proposed project. Applicants should identify the source of the 25 percent non-federal portion of the total project costs and how match funds will be used. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

c. **BJA 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/financialguide/part3/part3chap17.htm.

SAMHSA Budget and Narrative

a. SAMHSA 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. Please reference the Requirements Resource Guide for a sample of the SAMHSA budget and narrative as well as SAMHSA funding restrictions. An electronic copy of the Sample Budget and Justification is located at: www.samhsa.gov/Grants/AppCont/sample_budget_no_match.doc

b. SAMHSA Indirect Cost Rate Agreement
SAMHSA will not accept a "research" indirect cost rate. The grantee must use the "other sponsored program rate" or the lowest rate available.

4. Additional Attachments

Project Timeline, Resumes, and Key Staff (Attachment 3)
Applicants must include a realistic timeline for the project, resumes, and job descriptions for proposed staff and identify key staff and level of effort. For more information please refer to the Requirements Resource Guide.

SAMHSA Application Forms (Attachment 4)
For SAMHSA 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 www.samhsa.gov/Grants/ApplicationKit.aspx.

Applicants must complete the HHS-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-11-001)
- Budget Information Form for Non-Construction Programs (SF- 424A)
- Assurances Form for Non-Construction Programs (SF- 424B)
- Certifications
- Disclosure of Lobbying Activities
- Checklist

Other SAMHSA Forms:

- Project/Performance Site Location Form

SAMHSA Confidentiality and 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 SAMHSA 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 SAMHSA 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.

5. Tribal Authorizing Resolution (if applicable Attachment 9)

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 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.

6. 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. Please note in particular the following forms. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms.

a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds).

b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded).

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 then uploaded).

d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds).

Selection Criteria

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

- Describe the immediate issues that the grant seeks to address and the proposed enhancements and/or expansion that will address these issues.
- Describe the current operation of the adult drug court, addressing program structure; program length; population of focus; screening and assessment; recovery supportive services delivery plan; judicial supervision; community supervision; drug testing; case management; incentives and sanctions; substance abuse treatment; restitution; costs charged to program participants; and program success data. Identify the treatment service(s)/practice(s) available for drug court participants.
- Discuss the evidence that shows that the service(s)/practice(s) is/are 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. Provide local data and any evaluation findings that demonstrate the program's impact with regard to offender and community outcomes. Describe a mechanism for targeting offenders facing substantial jail/prison sentences and providing specific drug court resources and services to meet their needs.

- 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 Design and Implementation (30 percent of 100)

- 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).
- 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. If this is not an evidence-based practice, explain why this treatment intervention was selected over other treatment interventions.
- Document the evidence that the selected treatment practice(s) is (are) appropriate for the outcomes intended to be achieved.
- 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.
- Describe how the proposed project will address the following issues in the population of focus, while retaining fidelity to the chosen practice: demographics—race, ethnicity, religion, gender, age, geography, and socioeconomic status; language and literacy; sexual identity—sexual orientation and gender identity; and disability.
- Demonstrate how the proposed service(s)/practice(s) will meet project goals and objectives within the 3-year grant period.
- 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.
- State clearly the unduplicated number of individuals proposed to be served (annually and over the entire project period), including the types and numbers of services to be provided and anticipated outcomes.
- 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.

- Describe how project planning, implementation, and assessment will include client input.

3. Capabilities and Competencies (25 percent of 100)

- 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.
- 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.
- Describe the potential barriers to successful conduct of the proposed project and how they will be overcome.
- 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.
- 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/Supervisor, Judge, and Evaluator.
- 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.
- 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. Evaluation, Aftercare, Sustainability, and Plan for Collecting the Performance Measurement Data (15 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 the program will demonstrate an ongoing review of the expected program capacity as compared to the actual program capacity.

- 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.
- 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.
- 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.
- 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.

5. Budget (15 percent of 100)
Applicants must provide two proposed budgets, one for SAMHSA funded and one for BJA funding. Both budgets must be complete, allowable, and tied to the proposed activities. Reference the Requirements Resource Guide for a complete list of allowable costs and examples of the BJA budget and narrative and the SAMHSA budget and narrative.

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 SAMHSA peer review panel. An external panel of peer reviewers will be convened to review applications and will be a 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 SAMHSA 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

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at 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

Additional Requirements for SAMHSA:
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 SAMHSA requirements, please see the Requirements Resource Guide.

Application Checklist
FY 2011 Joint Adult Drug Court Solicitation to Enhance Services, Coordination, and Treatment

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

Eligibility Requirement

_____ Applicants are limited to states or state courts applying on behalf of single local jurisdiction, local court, county, other unit 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. Eligible jurisdictions must have a fully operational (at least 1 year) adult drug court.

The federal amount requested is within the allowable limit:

_____ The federal amount requested is within the allowable limit(s) (see page 10):
BJA: a one-time award up to $300,000 **(match is required)** per grantee for the entire 3-year grant period
SAMHSA: annual awards, up to $325,000 per year for each year of the 3-year grant period. Annual SAMHSA 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.

The application contains:

_____ *Attachment 1: Program Narrative, including an abstract (see page 18)
_____ *Attachment 2 (see page 19):
BJA Budget Worksheet and Budget Narrative
SAMHSA Budget Worksheet and Budget Narrative
_____ Attachment 3: Project Timeline, Resumes and Key Staff (see page 20)
_____ Attachment 4: SAMHSA Application Forms (see page 20)
_____ Attachment 5: Confidentiality and SAMHSA Participant Protection (see page 20)
_____ *Attachment 6: Evidence of Experience and Credentials for Substance Treatment Provider(s) and Letters of Commitment/Formal Contractual Agreements (see page 21)
_____ *Attachment 7: State Substance Abuse Agency Director or Designee Letter (see page 21)
_____ *Attachment 8: Chief Justice, State Court Administrator or Designee Letter and/or Letter Certifying Abstract Sent to State Drug or Problem Solving Court Coordinator (see page 21)
_____ Attachment 9: Tribal Authorizing Resolution (If applicable) (see page 21)
_____ Other Standard Forms as applicable (see page 22), including:
_____ Disclosure of Lobbying Activities (if applicable)
_____ Accounting System and Financial Capability Questionnaire (if applicable)
_____ Other:
_____ Standard 424 Form (see page 17)
_____ DUNS Number (see page 15)
_____ CCR Registration (see page 16)

*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 or SAMHSA.