



OJP
Drug Courts
Program Office

National Drug Court Training and Technical Assistance Program Fiscal Year 2002

- Application Kit for:
 - ✓ Drug Court Planning Initiative
 - ✓ Drug Court Training Initiative
 - ✓ Drug Court Technical Assistance Initiative

DEADLINE:
April 26, 2002

U.S. Department of Justice
Office of Justice Programs
810 Seventh Street NW.
Washington, DC 20531

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Office of Justice Programs
World Wide Web Home Page
www.ojp.usdoj.gov

Drug Courts Program Office
World Wide Web Home Page
www.ojp.usdoj.gov/dcpo

For grant and funding information, contact
U.S. Department of Justice Response Center
1-800-421-6770

LETTERS OF INTENT

Applicants for the National Drug Court Training and Technical Assistance Program are required to submit letters of intent by 5 p.m. e.t. March 29, 2002.

Letters of intent must provide the following information:

- The name of the organization.
- The category or categories for which the applicant plans to submit an application. There are 10 funding categories available. An applicant may apply for more than one category.

The Drug Courts Program Office will use this information to plan for the review of the applications. Letters of intent are not binding. Letters of intent must be received by 5 p.m. e.t. March 29, 2002, by either fax or mail.

By Fax:

Attention: National Drug Court Training and Technical Assistance Program

Fax Numbers: 202-514-6452 or 202-305-9075

By Mail:

Attention: National Drug Court Training and Technical Assistance Program

Drug Courts Program Office

810 Seventh Street NW.

Washington, DC 20531

APPLICATION CHECKLIST

All applications must be submitted electronically through the Grants Management System (GMS) by 5 p.m. e.t. April 26, 2002. For further information on GMS, see page 11, or go to www.ojp.usdoj.gov/fundopps.htm.

Your GMS application must include (in the following order)

- _____ An Application for Federal Assistance (Standard Form 424). All data fields in the electronic form must be populated, see page 14.
- _____ One Program Narrative file that includes the following
 - A. Applicant Information Page, see page 19.
 - B. Abstract, see page 20.
 - C. Program Design, see page 21.
 - D. Work Plan, see page 32.
 - E. Management and Organizational Capability, see page 33.
 - F. Performance Measurement Requirements, see page 34.
 - G. Resumes, see page 35.
- _____ A Budget Detail Worksheet file, see page 36.
- _____ A Budget Narrative file, see page 36.
- _____ The name of the authorizing official on the Assurances and Certifications screen. The authorizing official must review the Assurances and Certifications forms in their entirety (see pages 43–46). The authorizing official does not need to submit hard copies of these forms to the Drug Courts Program Office.

Note: An applicant applying for multiple categories must submit a separate Program Design and Work Plan for each category. An applicant applying for multiple categories may submit one Applicant Information Page, Abstract, Management and Organizational Capability, and Budget Detail Worksheet and Budget Narrative.

IMPORTANT NOTE: Applications that do not meet the following formatting requirements will not be considered for funding.

The Program Design, Work Plan, and Management and Organizational Capability sections must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Double spaced.
4. Submitted with all pages numbered.
5. Submitted within the total page limits allowed, which are as follows:
 - a) Program Design: 25-page limit for each category. An applicant may apply for one or more categories.
 - b) Work Plan: 10-page limit for each category.
 - c) Management and Organizational Capability: 3-page limit.

Applications will not be reviewed or considered for funding if they do not adhere to the formatting and page requirements.

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BACKGROUND

The Drug Court Movement

The emergence of crack cocaine in the mid-1980s had an unprecedented and dramatic impact on the Nation's criminal justice system. In an effort to stem the street drug dealing and the crime and violence associated with illegal drug use, the arrest and prosecution of drug offenders was dramatically escalated. At the same time, penalties for the possession and sale of illegal drugs were toughened so that greater numbers of drug offenders were charged with felonies that carried sentences of incarceration. As a result of the Nation's war on drugs, greater numbers of drug offenders were arrested, prosecuted, and convicted; however, drug offenders received few, if any, treatment services. The result was a revolving door syndrome: drug offenders cycled in and out of the justice system.

The influx of drug offenders into the system severely strained the courts, forcing some to the brink of collapse. In an effort to address growing caseloads, courts employed delay-reduction strategies, including establishing specialized court dockets to expedite drug case processing. These approaches, however, did little to stem the tide of drug offenders flowing into the system, to habilitate drug offenders already in the system, or to reduce recidivism among released offenders.

In 1989, troubled by the devastating impact of drugs and drug-related crime on their criminal justice systems, several communities began experimenting with an approach to low-level drug offenses that brought significant change to the way the court system does business. This new approach integrated substance abuse treatment, sanctions, and incentives with case processing to place nonviolent drug-involved defendants in judicially supervised habilitation programs. The traditional system had rarely provided substance abuse treatment to defendants in any systematic way and, in many cases, provided little or no threat of sanctions to drug offenders.

The new approach—a significant departure from traditional court practice—was not always widely supported by members of the judiciary, prosecutors, and the defense bar. However, judges, prosecutors, and other representatives of the justice system across the country who were struggling with similar issues involving drug offenders gradually began to examine the drug court approach to assess whether replication (or adaptation) might offer them a better response to drug cases.

Since 1989, more than 1,000 courts have implemented or are planning to implement a drug court to address the problems of substance abuse and drug-related crime. Local coalitions of judges, prosecutors, defense attorneys, treatment professionals, law enforcement officials, and other community stakeholders are using the coercive power of the court to force abstinence and alter behavior with a combination of escalating sanctions, mandatory drug testing, treatment, and strong aftercare programs to help offenders reenter the community. This grassroots criminal justice initiative began with the adult offender population, but with the success of adult drug courts over the past 10 years, the approach has been adapted to juvenile, tribal, and family drug courts.

Congress joined local communities in acknowledging the promise of drug courts to habilitate offenders, hold offenders accountable for their actions, and reduce victimization by intervening soon after arrest. By enacting Title V of the Violent Crime Control and Law Enforcement Act of 1994, Pub. L. No. 103-322, 108 Stat. 1796 (September 13, 1994), Congress authorized the Attorney

General to make grants to States, State courts, local courts, units of local government, and Indian tribal governments to establish drug courts. The authority has been delegated to the Assistant Attorney General, Office of Justice Programs (OJP). The Drug Courts Program Office (DCPO) was established by OJP to administer the Drug Court Grant Program and to provide training, financial and technical assistance, and related programmatic guidance and leadership to communities interested in drug courts.

The Tribal Drug Court Initiative

In 1997, the Tribal Drug Court Initiative was created by DCPO in partnership with the National Association of Drug Court Professionals (NADCP) to assist interested tribal governments with the development of drug courts. Planning and implementation and, later, continuation and enhancement grants were awarded to tribal governments through applications to DCPO. In 1998, NADCP and the Tribal Law and Policy Institute were awarded a cooperative agreement to provide training and technical assistance to tribal communities. In 2000, the Native American Alliance Foundation was awarded a cooperative agreement to provide training to Native American/Alaska Native grant recipients.

Research has shown that alcohol is the most abused substance in tribal communities by both adults and juveniles; therefore, the use of the term “drug” in this application will include alcohol. DCPO recognizes the impact of alcohol on tribal communities and has a special interest in encouraging communities to develop drug courts that give special attention to alcohol problems in addition to drugs.

A specialized training and technical assistance program has been developed to assist tribal communities with the development of drug court programs that work effectively within tribal justice systems and tribal cultures. All tribal communities that receive grants from DCPO have access to this training and technical assistance. Thirty tribal drug courts are now operational and 53 are in pilot or planning stages.

Important Partnership With Treatment

For drug courts to be most effective, judges must rely on treatment providers and treatment coordinators to assist in developing treatment, habilitation, and supervision plans for each defendant. Treatment is most effective when offenders are matched correctly with an appropriate level of care as identified through the clinical assessment or diagnostic process. The treatment needs of individuals eligible for the drug court program are assessed, as are any related medical and psychological problems that the treatment program will have to address. Length of stay in treatment and in after-care are factors associated with positive outcomes and, in particular, with the cessation of drug use, reduction in recidivism rates, and improvement in educational and employment status and family relationships.

In coordination with the drug court judge and other court personnel, treatment and other case management personnel (such as those involved with Treatment Alternatives to Street Crime [TASC] programs) assess clients' treatment needs, track their progress in treatment programs, and determine appropriate levels of treatment services. Supportive social services provide drug court staff with links to employment, educational/vocational placement, family counseling, and housing placement assistance for drug court participants.¹

Drug court practitioners understand that drug addiction is a complex, chronic, relapsing disease and that a comprehensive, sustained continuum of therapeutic interventions and services can increase clients' periods of abstinence and reduce the rate of relapse, rearrest, and incarceration. Therapeutic interventions and services include, but are not limited to, prompt intake and assessment; detoxification, if indicated; and substance abuse treatment ranging from outpatient to residential services, including a strong focus on therapeutic relapse prevention methodologies.²

Key Components of Drug Courts

In January 1997, the U.S. Department of Justice (DOJ) released *Defining Drug Courts: The Key Components*, which is based on the experiences of those in the drug court field. The report describes the 10 key components of a drug court and provides performance benchmarks for each component. It was developed through a cooperative agreement between DCPO and the National Association of Drug Court Professionals, which convened the Drug Court Standards Committee. The committee comprised drug court practitioners throughout the Nation (judges, prosecutors, defense attorneys, treatment providers, pretrial service officers, and probation officers). The Conference of Chief Justices, the Conference of State Court Administrators, and several States have adopted the key components. More than 25,000 copies of the key components document have been distributed. The document has been used at more than 150 Federal, State, and locally sponsored drug court training conferences. The report is available through the National Criminal Justice Reference Service (NCJRS) at 1-800-851-3420 and on the DCPO home page (www.ojp.usdoj.gov/dcpo).

As identified by the committee, the 10 key components of a drug court are as follows:

1. Drug courts integrate alcohol and other drug treatment services with justice system case processing.
2. Using a nonadversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
3. Eligible participants are identified early and promptly placed in the drug court program.
4. Drug courts provide access to a continuum of alcohol, drug, and related treatment and rehabilitation services.

¹ J.S. Baer and Associates (ed.). *Addictive Behaviors: Across the Life Plan: Prevention, Treatment, and Policy Issues*. Sage Publications: Newbury Park, CA. 1993.

² Drug Courts Program Office. *Defining Drug Courts: The Key Components*. U.S. Department of Justice: Washington, DC. 1997.

5. Abstinence is monitored by frequent alcohol and other drug testing.
6. A coordinated strategy governs drug court responses to participants' compliance.
7. Ongoing judicial interaction with each drug court participant is essential.
8. Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.
10. Forging partnerships among drug courts, public agencies, and community-based organizations generates local support and enhances drug court program effectiveness.

A document that describes how the drug court concept is being adapted in tribal communities, *Tribal Healing to Wellness Courts: A Preliminary Overview of Tribal Drug Courts*, was published by DOJ in 1999. Copies of this document can be obtained by contacting NCJRS at 1-800-851-3420. Please reference NCJ number 178907.

Impact of the Drug Court Movement

Drug courts have a significant impact on the communities they serve. Information released by the Drug Court Clearinghouse, operated by American University and funded by the Drug Courts Program Office, released findings in June 2001 that demonstrate the success of drug courts. The following information was compiled from 374 drug courts that responded to the clearinghouse survey.

A. Client profile

1. More than 74,000 individuals have graduated from a drug court.
2. Almost 50 percent of clients have used drugs for at least 10 years and were using multiple illegal drugs.
3. 75 percent of clients are parents of minor children.
4. 65 percent of graduates have been previously incarcerated for drug offenses.

B. The retention rates (ratio of current participants and graduates divided by the total number enrolled) for drug court participants remains high, generally between 60 and 80 percent, despite the difficult population most programs are targeting.

C. Client outcomes

1. More than 2,100 drug-free babies have been reported born to drug court participants. (Experts estimate that the care and treatment for each child born addicted to drugs costs, at a minimum, \$250,000 per child for the first few years of life. These costs rise to as high as \$750,000 per child by the time the child reaches age 18.)
2. More than 78 percent of graduates obtained/retained employment.

3. More than 4,500 parents with previous child support orders are now current in their child support as a result of participating in a drug court.
 4. More than 3,500 parents were able to regain custody of their children as a result of participating in a drug court.
- D. To date, 30 States have passed legislation supporting drug courts, and an additional 8 are introducing legislation supporting drug courts.

In June 2001, Columbia University's National Center on Addiction and Substance Abuse (CASA) released findings from their third major academic review and analysis of 37 drug court evaluations. Since 1998, CASA has reviewed 96 drug court evaluations. The conclusions drawn from this research generally are consistent with those of previous reviews published by the author in June 1998 and December 1999. Drug courts have achieved considerable local support and have provided intensive, long-term treatment services to offenders with long histories of drug use and criminal justice contacts, previous treatment failures, and high rates of health and social problems. Program completion rates generally are consistent with previous findings, with an average of 47 percent of participants graduating. Drug use and criminal activity are relatively reduced while participants are in the program.

The Crime and Justice Research Institute released results in September 2000 from the first phase of a retrospective evaluation, funded by the National Institute of Justice, of the Las Vegas (Clark County), Nevada, and Portland (Multnomah County), Oregon, drug courts.

The evaluation of the Portland Drug Court demonstrated that

- Drug court graduates were rearrested notably less frequently than nongraduates over the entire study period and when each yearly cohort was examined during 1-, 2-, and 3-year followups; 35 percent of graduates were rearrested within 3 years compared with 61 percent of nongraduates. The differences were largest when rearrests for drug offenses were examined.

The evaluation of the Las Vegas Drug Court demonstrated that

- Drug court graduates were rearrested notably less frequently than nongraduates over the entire study period and when each yearly cohort was examined during 1-, 2-, and 3-year followups; 46 percent of graduates were rearrested within 3 years compared with 76 percent of nongraduates. The differences were largest when rearrests for drug offenses were examined.

Abt Associates released results in September 2000 from the first phase of a retrospective evaluation, funded by the National Institute of Justice, of the Pensacola (Escambia County), Florida, and Kansas City (Jackson County), Missouri, drug courts.

The evaluation of the Pensacola Drug Court demonstrated that

- The proportion of the target population rearrested on any new felony offenses decreased from 40 percent to 12 percent since program startup, and the impact of program participation on criminal recidivism was statistically significant.

The evaluation of the Kansas City Drug Court demonstrated that

- The proportion of the target population rearrested on any new felony offenses decreased from 50 percent to 35 percent since program startup, and the impact of program participation on criminal recidivism was statistically significant.

The National Drug Court Training and Technical Assistance Program

This application kit provides information concerning the National Drug Court Training and Technical Assistance Program (NDCTTAP). This program supports the Drug Court Grant Program as described in Title V of the Violent Crime Control and Law Enforcement Act of 1994 Pub. L. No. 103-322, 108 Stat. 1796 (September 13, 1994), which authorizes the Attorney General to provide technical assistance and training to further the purposes of the Drug Court Discretionary Grant Program. NDCTTAP is administered by the Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice.

As discussed earlier in this section, drug courts represent a fundamental change in the way courts do business and in the way courts address substance abusing offenders. Drug treatment courts leverage the coercive power of the criminal/juvenile justice system to force abstinence and alter behavior among drug-involved offenders. This fundamental change requires a significant effort on the part of criminal justice system and treatment system professionals—to step outside traditional practices and procedures and to achieve a nonadversarial, problem-solving approach to substance abusing offenders.

Although many courts and treatment providers are interested in the drug court concept, they have little experience with the rethinking and effort required to implement this approach to managing offenders. Additionally, court administrators and judges may have difficulty identifying the questions to ask regarding program impact. These issues are best addressed through training and technical assistance to promote and support best practices in the development, implementation, evaluation, and institutionalization of drug courts.

Over the past 7 years, DCPO has developed a comprehensive array of training and technical assistance opportunities for jurisdictions either planning or operating an adult, juvenile, tribal, family, or driving while intoxicated (DWI) drug court. The DCPO approach to providing assistance is summarized as follows:

Drug Court Planning Initiative: Provides comprehensive training for jurisdictions interested in planning an adult, juvenile, tribal, DWI, or family drug court.

Drug Court Training Initiative: Provides state-of-the-art training on a variety of subjects to operational adult, juvenile, or tribal drug courts and State agencies.

Drug Court Technical Assistance Initiative: Provides state-of-the-art technical assistance through a variety of mechanisms to operational adult, juvenile, or tribal drug courts and State agencies.

**FISCAL YEAR 2002
NATIONAL DRUG COURT
TRAINING AND TECHNICAL
ASSISTANCE PROGRAM**

Overview of the Fiscal Year 2002 Program

In fiscal year (FY) 2002, DCPO announces the availability of training and technical assistance cooperative agreements for the following 10 categories:

Training and Technical Assistance Category	Total Amount of Funding Available
A. Drug Court Planning Initiative	
1. Tribal Drug Courts	\$300,000
B. Drug Court Training Initiative	
1. Adult Drug Courts	\$800,000
2. Tribal Drug Courts	\$300,000
3. Management Information Systems	\$300,000
4. Evaluation	\$300,000
5. Statewide	\$400,000
C. Drug Court Technical Assistance Initiative	
1. Adult Drug Courts	\$500,000
2. Tribal Drug Courts	\$250,000
3. Statewide	\$300,000
4. Clearinghouse	\$500,000

Ten categories of funding are available. An applicant may apply for more than one category. For example, an applicant could submit an application for the Clearinghouse to develop one specific topic for an operational adult drug court training and the Drug Court Planning Initiative—Tribal Drug Courts training. Collaborative efforts and consortiums of providers are strongly encouraged.

Overview of the Grants Management System

In fiscal years 2001 and 2002, the Drug Courts Program Office was one of several OJP offices to pilot the OJP online Grants Management System (GMS). GMS is a Web-based grant management system designed to meet the requirements of all online Internet-based application submissions by external organizations and OJP internal application processing and grants administration requirements. DCPO reviews and processes all awards through GMS. Once you have begun the application process, you will be able to access help screens to answer questions regarding certain data fields and other aspects of GMS. You can access both the FY 2002 National Drug Court Training and Technical Assistance Program Application Kit and a link to GMS from the OJP Web site at www.ojp.usdoj.gov/fundopps.htm.

Again in fiscal year 2002, grant applications to DCPO must be submitted electronically. To assist you in submitting your application online, a GMS Applicant Procedures manual can be found at www.ojp.usdoj.gov/fundopps.htm. Click on the “GMS Application Procedures Handbook” link.

It is critical that the person who submits the application is either the signing authority or has been delegated or designated as the signing authority by the appropriate entity. The application contains assurances and certifications that must be reviewed and accepted electronically by the authorizing official or the designated authorizing official. If either the authorizing official or designated authorizing official created a user profile and submitted an application in FY 2001, he or she will not be required to create a new user profile for FY 2002. However, if he or she did not submit a prior application, his or her user profile must be approved by DCPO by 5 p.m. e.t. April 12, 2002, (2 weeks prior to the submission deadline of 5 p.m. e.t. April 26, 2002).

If you submit application(s) to other OJP offices or bureaus, please use a separate user profile for each individual application. This will ensure that each user profile has a distinct application.

Only the most current file uploaded as an attachment is saved as part of the application. Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Work Plan, Management and Organizational Capability, Performance Measurement Requirements, and Resumes as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract.

If you do not have an Internet account established, please contact the GMS Hotline at 1-888-549-9901 for assistance in creating an account. Please be advised that applicants must use Netscape 4.75 or an equivalent browser for security purposes.

Instructions for Submitting Applications Online— Grants Management System

Using an established Internet account, or after creating an account with GMS staff assistance, complete the following steps:

Step 1. Visit the GMS Web site at www.ojp.usdoj.gov/fundopps.htm.

Step 2. Click on the “Logon directly to the Grants Management System (GMS)” link.

Step 3. Follow the onscreen instructions. If you are a first time GMS user, click the “First Time User?” link. If you have any questions, refer to the Applicant Procedures or access applicable help screens. In the event that your questions cannot be addressed by accessing the online GMS reference tools, call the GMS Hotline at 1-888-549-9901 for assistance. Previous users should contact the GMS Hotline if they are having difficulty with their user ID and password.

Step 4. Submit your application online by 5 p.m. e.t. April 26, 2002. Do not procrastinate; new user profiles must be approved by DCPO before submitting your application. All applicants must have their user information approved by DCPO by 5 p.m. e.t. April 12, 2002.

For the purposes of this application kit, eligible applicants are limited to for-profit and not-for-profit organizations. Private, for-profit organizations must agree to waive their fees. Definitions of eligible applicants are provided on page 49. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in this application kit.

1. Application for Federal Assistance (SF 424)

After you have established a GMS user profile and selected the DCPO solicitation, you are ready to move on to Step 1 of the application process. Step 1 is to complete the Application for Federal Assistance. This is a standard form used by most Federal agencies. This form contains 18 different items that are to be completed. You must ensure that all data fields are populated, unless otherwise indicated in the instructions below.

Item Instructions

1. **Type of Submission:** If this proposal is not for construction or building purposes, check the “Non-Construction” box in the application section.
2. **Date Submitted:** Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
3. **Date Received by State:** Leave blank.
4. **Date Received by Federal Agency:** Leave blank. This item will be completed by OJP.
5. **Applicant Information:** The “Legal Name” is the name of the organization. Designate one person as the contact and include his or her telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
6. **Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service and this number should be used unless a different identification number was assigned by OJP. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7. **Type of Applicant:** Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium.”
8. **Type of Application:** Check “new” even if the applicant has previously received DCPO funding.
9. **Name of Federal Agency:** Type in the name of the awarding agency, “Drug Courts Program Office, Office of Justice Programs.”
10. **Catalog of Federal Domestic Assistance Number:** This would be contained in the program announcement. The number for this program would be 16.585.
11. **Descriptive Title of Applicant’s Project:** Type in the (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant’s fiscal year, i.e., 12-month audit period, ex. 10/1/97–9/30/98.
12. **Areas Affected by Project:** Identify the geographic area(s) of the project. Indicate “statewide” or “National,” if applicable.
13. **Proposed Project Dates:** Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.

14. **Congressional Districts:** Fill in the Congressional District(s) in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “statewide” or “National,” if applicable.
15. **Estimated Funding:** In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines “b-f,” as appropriate.
16. **State Executive Order 12372:** Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds within the State. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the Administrative Requirements selection of the program announcement for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
17. **Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18. **Authorized Representative:** Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as “original” to help distinguish the original from the photocopies.

NOTE: The following form is the hard copy version of the SF 424. The electronic version in GMS does not appear on the screen in this format.

Application for Federal Assistance

OMB Approval No. 0348-0043

		2. Date Submitted (mm/dd/yyyy)	Applicant Identifier
1. Type of Submission Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	3. Date Received by State (mm/dd/yyyy)	State Application Identifier
		4. Date Received by Federal Agency (mm/dd/yyyy)	Federal Identifier

5. **Applicant Information**

Legal Name	Organizational Unit
Address (give city, county, State, and zip code)	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. **Employer Identification Number (EIN) (xx-yyyzzz)**

-

7. **Type of Applicant** (enter appropriate letter in box)

A. State	J. Private University
B. County	K. Indian Tribe
C. Municipal	L. Individual
D. Township	M. Profit Organization
E. Interstate	N. Nonprofit
F. Inter-municipal	O. Public Housing Agency
G. Special District	P. Other (Specify)
H. Independent School Dist.	
I. State Controlled Institution of Higher Learning	

8. **Type of Application:**
 New Continuation Revision
 If Revision, enter appropriate letter(s) in box(es):
 A. Increase Award B. Decrease Award C. Increase Duration
 D. Decrease Duration Other (specify)

9. **Name of Federal Agency**

10. **Catalog of Federal Domestic Assistance Number (xx-yyy)**

Title: -

11. **Descriptive Title of Applicant's Project**

12. **Areas Affected by Project** (cities, counties, States, etc.)

13. Proposed Project		14. Congressional Districts of	
Start Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	a. Applicant	b. Project

15. Estimated Funding		16. Is Application Subject to Review by State Executive Order 12372 Process? a. Yes This pre-application/application was made available to the State Executive Order 12372 Process for review on: Date (mm/dd/yyyy) _____ b. No <input type="checkbox"/> Program is not covered by E.O. 12372 or <input type="checkbox"/> Program has not been selected by State for review.
a. Federal	\$.00	
b. Applicant	\$.00	
c. State	\$.00	
d. Local	\$.00	
e. Other	\$.00	
f. Program Income	\$.00	
g. Total		17. Is the Applicant Delinquent on Any Federal Debt? <input type="checkbox"/> Yes If "Yes," attach an explanation <input type="checkbox"/> No

18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number (Include Area Code)
d. Signature of Authorized Representative		e. Date Signed (mm/dd/yyyy)

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form **SF-424 (7/97)**
 Prescribed by OMB Circular A-102

2. Program Narrative Attachments

Step 2 of the application process is to attach the Program Narrative. The Program Narrative consists of seven separate sections, which must be attached and submitted as one file. Only the most current file uploaded as an attachment is saved as part of the application. Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Work Plan, Management and Organizational Capability, Performance Measurement Requirements, and Resumes as one file, we will only receive the last file that you attached. Following is a list of the seven sections to be included in the Program Narrative.

Note: Ten categories of funding are available. An applicant applying for multiple categories must submit a separate Program Design and Work Plan for each category. However, applicants applying for multiple categories are required to submit only one Applicant Information Page, Abstract, Management and Organizational Capability, and Budget Detail Worksheet and Budget Narrative.

- A. Applicant Information Page
- B. Abstract
- C. Program Design
 - Drug Court Planning Initiative
 - 1. Tribal Drug Courts
 - Drug Court Training Initiative
 - 1. Adult Drug Courts
 - 2. Tribal Drug Courts
 - 3. Management Information Systems
 - 4. Evaluation
 - 5. Statewide
 - Drug Court Technical Assistance Initiative
 - 1. Adult Drug Courts
 - 2. Tribal Drug Courts
 - 3. Statewide
 - 4. Clearinghouse
- D. Work Plan
- E. Management and Organizational Capability
- F. Performance Measurement Requirements
- G. Resumes

The Program Design, Work Plan, and Management and Organizational Capability sections must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Double spaced.
4. Submitted with all pages numbered.
5. Submitted within the total page limits allowed.
 - a) Program Design: 25-page limit for each category. An applicant may apply for one or more categories.
 - b) Work Plan: 10-page limit for each category.
 - c) Management and Organizational Capability: 3-page limit.

Applications will not be reviewed or considered for funding if they do not adhere to the formatting and page requirements.

A. Applicant Information Page

The first section of the Program Narrative is the Applicant Information Page. The following information must be provided in the order listed.

A. Authorizing Official Information

1. Name and Job Title
2. Name of Organization
3. Address
4. Phone Number
5. Fax Number
6. E-mail Address

B. Applicant Contact Information

1. Name and Job Title
2. Name of Organization
3. Address
4. Phone Number
5. Fax Number
6. E-mail Address

C. List all the categories that the application addresses. There are 10 categories.

Drug Court Planning Initiative

1. Tribal Drug Courts

Drug Court Training Initiative

1. Adult Drug Courts
2. Tribal Drug Courts
3. Management Information Systems
4. Evaluation
5. Statewide

Drug Court Technical Assistance Initiative

1. Adult Drug Courts
2. Tribal Drug Courts
3. Statewide
4. Clearinghouse

B. Abstract

The second section of the Program Narrative must include a 1-page double-spaced summary of each of the categories proposed for funding.

C. Program Design

The third section of the Program Narrative is the Program Design.

The Program Design section must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Double spaced.
4. Submitted with all pages numbered.
5. Submitted within the 25-page limit for each category.
6. Provided separately for each category for which the applicant is submitting an application.

Following are the specific elements associated with each of the 10 categories that must be included in the Program Design.

Drug Court Planning Initiative

Purpose

The Drug Court Planning Initiative (DCPI) provides intensive training for jurisdictions interested in planning a drug court. DCPO requests applications for the development and execution of training programs on planning a tribal adult drug court or tribal juvenile drug court. Applicants should plan to serve eight jurisdictions interested in planning an adult tribal drug court or six jurisdictions interested in planning a juvenile tribal drug court. Up to \$300,000 is available for the entire category and is based on the development and execution of training programs for 14 jurisdictions over an 18-month period. Applicants are urged to request a realistic sum. Collaborative efforts and consortiums of providers are encouraged.

Tribal jurisdictions eligible to participate in this training program are awarded a planning grant from DCPO and have grant funds available to pay for travel to this training program. It is expected that recipients of planning grants will attend a total of 9 days of training. The 9 days may be divided between two to four training programs. The training for this category will begin in November 2002 and conclude by October 2003. A jurisdiction may send up to 10 individuals to a training program. The team must include the judge, drug court coordinator, prosecutor, defense advocate, treatment representative, and a research or management information systems specialist. A school representative is also required if the jurisdiction is planning a juvenile tribal drug court.

DCPO will enter into a cooperative agreement with an organization to provide training programs for jurisdictions that have received a tribal drug court planning grant. Applicants must demonstrate a thorough knowledge of tribal drug courts, experience working with tribal jurisdictions, an extensive knowledge of adult education techniques, and a willingness to work with all DCPO training and technical assistance providers.

DCPO currently has a logistical services contract for DCPI that

- Identifies and reviews contracts for training facilities.
- Provides onsite registration.
- Provides onsite logistical support.
- Identifies training sites and contracts with the sites.

Applicants for this category must coordinate their training with the logistical services contractor.

Objectives

The objectives of Tribal DCPI are to

- Assess the training needs of tribal planning jurisdictions.
- Teach and demonstrate the importance of planning in implementing a tribal drug court.

- Teach and demonstrate the elements of a tribal drug court.
- Strengthen the drug court team's ability to work together and expand the team membership.
- Foster practitioner-to-practitioner training.
- Provide maximum networking opportunities.

Deliverables

The deliverables of Tribal DCPI are

- Training curricula that reflect the state-of-the-art knowledge on tribal drug courts, a plan for the sequence of training programs for planning grant recipients that shows the objectives of each training program, and an outline of the material to be covered at each training program. Curricula must include talking points that will be used by faculty in each section of the planning training agendas. Curricula are due 90 calendar days prior to each training program.
- A plan to evaluate the training and a process to use the evaluation results to improve the curricula—due within the second month of the award.
- A faculty list organized by the area of expertise for each person. The faculty list must include name, title, city, State, and area of expertise—due within the fourth month of the award.
- A plan for faculty training—due within the fourth month of the award.
- Resource materials to support the training program for both faculty and participants. Materials for reproduction are due 30 calendar days before each training program.

Strategy

Applications for Tribal DCPI must include

- A description of how the objectives will be achieved.
- A description of how the deliverables will be executed.
- A description of the quantitative and qualitative measures that will indicate progress in meeting the objectives.
- A description of the training techniques that will be used.
- A draft curriculum or training plan for each type of training or a description of the curriculum development process.
- A comprehensive plan for identifying appropriate trainers and faculty and for training the faculty on the curriculum.
- A strategy for review and evaluation of the curriculum.
- A draft schedule of the proposed dates and locations for each training.

Drug Court Training Initiative

Purpose

The Drug Court Training Initiative provides state-of-the-art training on a variety of subjects to operational adult, juvenile, and tribal drug courts and to State agencies. DCPO requests applications for the development and execution of training programs for the following categories:

1. **Adult Drug Court**—The total funding available for this category is \$800,000. One or more cooperative agreements will be awarded for an 18-month period to an organization or organizations to develop training on specific topics relevant to operational adult drug courts. The development of proposed training programs on any specific topic must include a justification for the topic proposed. The training programs will be made available to all operational drug courts; however, DCPO grant recipients will receive priority.

A priority subject for this category is substance abuse treatment. Also, proposals are requested to deliver curricula on cultural competency and/or team building that have already been developed.

2. **Tribal Drug Court**—Up to \$300,000 is available for an 18-month period. A cooperative agreement will be awarded to an organization to develop training for recipients of FY 2002 DCPO tribal implementation and enhancement grants. For planning purposes, training will be provided to five adult tribal drug courts and four juvenile tribal drug courts. A jurisdiction may send up to 10 individuals to a training program. The team must include the judge, drug court coordinator, prosecutor, defense advocate, treatment representative, and a research or management information systems specialist. A school representative is also required if the jurisdiction is planning a juvenile tribal drug court.

Applicants in this category may also apply to develop topic-specific training for tribal drug courts. This training program is limited to DCPO grant recipients.

3. **Management Information Systems Training for All Drug Courts**—The total funding available for this category is \$300,000. One or more cooperative agreements for an 18-month period will be awarded to an organization or organizations to develop training to plan and implement an automated management information system. The training programs will be made available to all operational drug courts; however, DCPO grant recipients will receive priority.
4. **Evaluation Training for All Drug Courts**—The total funding available for this category is \$300,000. One or more cooperative agreements for an 18-month period will be awarded to an organization or organizations to develop training to plan and conduct an evaluation. The training programs will be made available to all operational drug courts; however, DCPO grant recipients will receive priority.
5. **Statewide**—The total funding available for this category is \$400,000. One or more cooperative agreements for an 18-month period will be awarded to an organization or organizations to develop training for State-level agencies. Training should be designed for State agencies, such as State administrative offices of courts and State alcohol and drug agencies, and should build these agencies' capabilities to train and provide technical assistance to drug court practitioners

in the State. The training should also build State agencies' capabilities to manage and coordinate statewide drug court activity, including State funding.

Applicants must provide a justification for the topic proposed. This initiative will not support annual drug court conferences at the State level. Funding for these conferences is available through the FY 2002 Drug Court Grant Program. Additionally, this initiative is not open to units of government (State agencies, State courts, etc.). Units of government interested in attending or developing training should apply through the FY 2002 Drug Court Grant Program Application Kit.

Applicants are urged to request a realistic sum. Collaborative efforts and consortiums of providers are encouraged. Applicants must demonstrate a thorough knowledge of drug courts, an extensive knowledge of adult education techniques, and a willingness to work with all DCPO training and technical assistance providers.

Training participants will incur all travel costs associated with the training programs. Trainings may take the form of focus groups, institutes, workshops, and conferences that teach the development and implementation of promising practices, model policies, and protocols. Training programs may be from 2 to 5 days in duration. The number of participants attending the training program should generally range from 20 to 60 participants depending on the subject matter. Applicants are encouraged to explore video conferencing and Web-based training.

The training curricula must be developed with input from drug court practitioners. Input is generally obtained through curriculum development meetings and practitioners' reviews of the curriculum.

DCPO currently has a logistical services contract for the Operational Drug Court Training Initiative that

- Identifies and reviews contracts for training facilities.
- Provides offsite registration.
- Provides onsite registration.
- Provides onsite logistical support.
- Identifies training sites and contracts with the sites.

Applicants for this category must coordinate their training with the logistical services contractor.

Objectives

The objectives of the Drug Court Training Initiative are to

- Assess the training needs of the targeted audience.
- Teach and demonstrate the elements of a drug court.

- Build specific skills and increase knowledge about specific topics critical to effective drug court operation.
- Strengthen the operations of drug courts.
- Foster practitioner-to-practitioner training.
- Provide maximum networking opportunities.
- Assist in the institutionalization of drug courts by providing State agencies with the skills, capacity, and curricula to train local drug courts.

Deliverables

The deliverables of the Drug Court Training Initiative are

- Training curricula that reflect state-of-the-art knowledge on drug courts. Curricula must include discussion topics that will be used by faculty in each section of the training agendas. Curricula are due 90 calendar days prior to each training program. The first training must be conducted within the first year of the award.
- A plan to evaluate the training and a process to use the evaluation results to improve the curricula—due within the second month of the award.
- A faculty list organized by the area of expertise for each person. The faculty list must include name, title, city, State, and area of expertise—due within the second month of the award.
- A tentative schedule for when and where each training or conference will be held—due within the sixth month of the award.
- A plan for faculty training—due within the fourth month of the award.
- Resource materials to support the training program for both faculty and participants. Materials for reproduction are due 30 calendar days before each training program.

Strategy (An applicant applying for multiple categories in this initiative must submit a separate strategy for each category. Each strategy may not exceed 25 pages double spaced.)

Applications for the Drug Court Training Initiative must include

- A description of the topic-specific training(s) proposed, including a justification for the topic selected.
- An outline of the material that will be covered in each curriculum.
- A description of how the training needs will be assessed to determine the specific skills, knowledge, information, and experience levels of the targeted audience.
- A description of how the objectives will be achieved.

- A description of how the deliverables will be executed.
- A description of the quantitative and qualitative measures that will indicate progress in meeting the objectives.
- A description of the curriculum development process that will be used.
- A strategy for marketing and executing the training program.
- A comprehensive plan for identifying appropriate trainers and faculty and for training faculty on the curriculum.
- A strategy for the review and evaluation of the curriculum.

Drug Court Technical Assistance Initiative

Purpose

The Drug Court Technical Assistance Initiative provides state-of-the-art technical assistance through a variety of mechanisms to operational adult, juvenile, or tribal drug courts and State agencies. DCPO is accepting applications for

1. **Adult Drug Courts**—the development and execution of technical assistance for operational adult drug courts. One cooperative agreement for up to \$500,000 will be awarded to an organization to provide technical assistance to adult drug courts for an 18-month period. Applicants must demonstrate a thorough knowledge of drug courts, an extensive knowledge of brokering and developing technical assistance, knowledge of adult education techniques, and a willingness to work with all DCPO training and technical assistance providers.
2. **Tribal Drug Courts**—the development and execution of technical assistance for operational tribal drug courts, both adult and juvenile. One cooperative agreement for up to \$250,000 will be awarded to an organization to provide technical assistance to tribal drug courts for an 18-month period. Applicants must demonstrate a thorough knowledge of tribal drug courts, an extensive knowledge of brokering and developing technical assistance, knowledge of adult education techniques, and a willingness to work with all DCPO training and technical assistance providers.
3. **Statewide**—the development and execution of technical assistance for State agencies on drug courts. One cooperative agreement for up to \$300,000 will be awarded to an organization to provide technical assistance to State agencies on drug courts for an 18-month period. Technical assistance should be designed for State agencies, such as State administrative offices of courts and State alcohol and drug agencies, and should build these agencies' capabilities to train and provide technical assistance to drug court practitioners in the State. Technical assistance should also build State agencies' capabilities to manage and coordinate statewide drug court activity, including State funding.

Applicants must demonstrate a thorough knowledge of drug courts, an extensive knowledge of brokering and developing technical assistance, knowledge of adult education techniques, and a willingness to work with all DCPO training and technical assistance providers.

4. **Clearinghouse**—the execution of a clearinghouse to support the drug court field. One cooperative agreement for up to \$500,000 will be awarded to an organization for an 18-month period. The Clearinghouse collects and disseminates information on drug courts nationally to provide the field with state-of-the-art information and resources on practices that work when treating substance-abusing offenders in a drug court, and to coordinate these services with other training and technical assistance providers. This function is critical to information sharing among drug courts.

Applicants must demonstrate a thorough knowledge of drug courts, an extensive knowledge of how to collect and disseminate information, and a willingness to work with all DCPO training and technical assistance providers.

DCPO encourages technical assistance strategies that include, but are not limited to,

- Developing publications, fact sheets, and other materials.
- Teleconferencing on emerging issues.
- Facilitating peer-to-peer consultation.
- Providing onsite technical assistance.
- Providing ongoing technical assistance by phone and/or e-mail.
- Supporting faculty for statewide or regional drug court conferences.

DCPO encourages clearinghouse strategies that include, but are not limited to,

- Collecting and disseminating drug court information (hardcopy and electronic).
- Categorizing drug court information.
- Responding to requests for information.
- Directing customers to other training and technical assistance providers when appropriate.
- Providing phone consultation.
- Facilitating peer-to-peer consultation.

Current recipients of DCPO implementation or enhancement grants receive priority in receiving the services of the Drug Court Technical Assistance Initiative. Applicants are urged to request a realistic sum. Collaborative efforts and consortiums of providers are encouraged.

Objectives

The overall objectives of the technical assistance categories are to

- Assess the technical assistance needs of operational drug courts and State agencies.
- Provide a variety of technical assistance services to drug courts and State agencies.
- Teach and demonstrate the drug court philosophy and best practices to operational drug courts and State agencies.
- Strengthen the drug court team's ability to work together and expand the team's membership.
- Foster practitioner-to-practitioner education.

The objectives of the clearinghouse category are to

- Disseminate information to drug court programs across the United States and to provide them with specific resources to strengthen their ability to operate effectively and increase their ability and capacity to effectively work with substance-abusing offenders.
- Track the planning and implementation timeframes of all drug courts.
- Increase communication and information sharing among drug courts, State and local agencies, national organizations, and other training and technical assistance providers.

Deliverables

The deliverables of the technical assistance categories are

- A technical assistance triage process—due within the second month of the award.
- A plan to evaluate the technical assistance and a process to use the evaluation results to improve the technical assistance—due within the first month of the award.
- A faculty list organized by area of expertise. The faculty list must include name, title, city, State, and area of expertise—due within the second month of the award.
- A plan for faculty training—due within the third month of the award.

The deliverables of the clearinghouse category are

- A process for collecting and disseminating information on adult, juvenile, family, and tribal drug courts—due within 2 months of the award.
- A process for categorizing all information received—due within the first 2 months of the award.
- A tracking system that provides information on jurisdictions that are planning a drug court and operating a drug court. The system must include the name of the court, city, State, contact person, phone number, whether the entity receives DCPO funds, and the implementation date—due within the first 2 months of the award.
- A dissemination plan for DCPO publications—due within the first 2 months of the award.
- A formal mechanism to communicate both with other training and technical assistance providers and the drug court field—due within the first 2 months of the award.

Strategy (An applicant applying for multiple categories in this initiative must submit a separate strategy for each category. Each strategy may not exceed 25 pages double spaced.)

Applications for the adult drug court, tribal drug court, and statewide technical assistance categories must include

- A description of how the objectives will be achieved.
- A description of how the deliverables will be executed.
- A description of the quantitative and qualitative measures that will indicate progress in meeting the objectives.
- A description of the technical assistance protocols and triage process that will be used.
- A comprehensive plan for identifying appropriate faculty.

Applicants for the clearinghouse category must include

- Demonstrated experience in collecting and disseminating information.
- Demonstrated knowledge of existing drug court literature and research on drug courts and substance abuse treatment.
- A description of how information will be collected and disseminated.
- A description of how the objectives will be achieved.
- A description of how the deliverables will be executed.
- A description of the quantitative and qualitative measures that will indicate progress in meeting the objectives.

D. Work Plan

The fourth step of the Program Narrative is the Work Plan.

The Work Plan section must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Double spaced.
4. Submitted with all pages numbered.
5. Submitted within the 10-page limit for each category.

A separate Work Plan must be provided for each category for which the applicant is submitting an application. The Work Plan must address the goals, objectives, and deliverables described in the category and include the tasks to be accomplished, timeline for completing the tasks, and percentage of time that will be dedicated by the individuals responsible for the tasks.

E. Management and Organizational Capability

The fifth step of the Program Narrative is the Management and Organizational Capability statement.

The Management and Organizational Capability section must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Double spaced.
4. Submitted with all pages numbered.
5. Submitted within the 3-page limit.

The statement must describe the management structure, staffing, and experience working with State agencies and local entities. The statement must demonstrate a capability to implement and complete the project successfully, efficiently, and cost effectively. Commitments of collaboration with other organizations must clearly and specifically show their respective project responsibilities, dollar amounts, number of hours, and the manner in which ongoing communication and collaboration will be managed. The applicant organization must document its ability to implement the project, being certain to address all of the eligibility requirements. This section should include a succinct description of organizational experience with respect to the program objectives and proposed activities. The applicant must demonstrate a willingness to work with the other technical assistance providers awarded.

Consortiums that apply for any category must submit a statement of Management and Organizational Capability from each organization participating in the consortium.

F. Performance Measurement Requirements

The sixth step in the Program Narrative is submitting the Performance Measurement Requirements.

Applicants for either the Drug Court Planning Initiative or the Drug Court Training Initiative are required to submit a proposed form for the following activities:

1. **Evaluation Form**—to be completed by training participants for the purpose of evaluating the strengths and weaknesses of the training. A scale of 1 to 7 should be used.
2. **Consultant Rate Form**—to be completed by the consultants on an annual basis to determine the pay rate for consultants. See pages 50–51 and appendix A, page 57, for further information.
3. **Training Impact Form**—to be completed by the jurisdictions that participated in the training event. As a followup to the action plans developed at the training, this form will help to determine the impact of the training on the jurisdiction and the extent to which items in the jurisdiction's action plan are being implemented.

Applicants for adult drug courts, tribal drug courts, and statewide technical assistance categories are required to submit the following forms, as indicated:

1. **Technical Assistance Request Form**—to be completed by a jurisdiction. This form will be used by the technical assistance provider to assess a jurisdiction's technical assistance needs.
2. **Technical Assistance Assessment and Approval Form**—to be completed by the technical assistance provider. This form describes the proposed technical assistance plan for the jurisdiction with justification for the proposed plan and is submitted to DCPO for review and approval.
3. **Technical Assistance Report Outline**—to be completed by the consultant who provided the technical assistance to the jurisdiction.
4. **Technical Assistance Evaluation**—to be completed by the jurisdiction that received the technical assistance.
5. **Technical Assistance Impact Form**—to be completed by the jurisdiction that received the technical assistance. As a followup to the evaluation, this form will help to determine the impact of the technical assistance on the jurisdiction.
6. **Consultant Rate Form**—to be completed by the consultants on an annual basis to determine the pay rate for consultants. See pages 50–51 and appendix A, page 57, for further information.

Applicants for the clearinghouse category are required to submit the following forms, as indicated:

1. **Evaluation Form**—to be completed by customers for the purpose of evaluating the clearinghouse services. A scale of 1 to 7 should be used.
2. **Consultant Rate Form**—to be completed by the consultants on an annual basis to determine the pay rate for consultants. See pages 50–51 and appendix A, page 57, for further information.

G. Resumes

The final step of the Program Narrative attachment is to submit resumes for the key personnel for the proposed project. See page 51, Personnel Requirements, for further information.

3. Budget Detail Worksheet and Budget Narrative Attachments

Step 3 of the application process is to attach the budget. The applicant must submit both a Budget Detail Worksheet and Budget Narrative. The Budget Detail Worksheet provides the detailed computation for each budget item. The Budget Narrative justifies or explains each budget item and relates it to project activities. A separate Budget Detail Worksheet and Budget Narrative is not required for each category of funding available.

The training participants are responsible for their travel expenses to all training programs. The DCPO logistical services contractor and/or DCPO/OJP will pay directly for the

1. Meeting room and logistical services costs for all training programs. This does not include planning meetings, focus groups, and curriculum development meetings.
2. Costs to edit, format, and print all publications.

If an applicant has a current indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement must be included in the application. A copy of the approved rate agreement must also be faxed to 202-354-4147 by 5 p.m. e.t. April 26, 2002. The application number that is assigned by GMS should be included on all faxed documents. If an applicant wants to establish an indirect cost rate, the applicant should contact the Office of the Comptroller, OJP, at 1-800-458-0786, to obtain information about preparing an indirect cost rate proposal.

Note: The travel costs for all consultants, faculty, and staff are to be budgeted within the proposals. DCPO is discontinuing the use of the logistical services contract for consultant and/or faculty travel.

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel: List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
---------------	-------------	------

TOTAL _____

B. Fringe Benefits: Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
---------------	-------------	------

TOTAL _____

Total Personnel & Fringe Benefits _____

C. Travel: Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., 6 people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
-------------------	----------	------	-------------	------

TOTAL _____

D. Equipment: List non-expendable items that are to be purchased. (Note: Organization’s own capitalization policy for classification of equipment should be used). Expendable items should be included in the “Supplies” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
------	-------------	------

TOTAL _____

E. Supplies: List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
---------------------	--------------------	-------------

TOTAL _____

F. Construction: As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
----------------	----------------------------	-------------

TOTAL _____

G. Consultants/Contracts: Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
--------------------	------------------	-------------	------

Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
------	----------	-------------	------

Subtotal _____

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
------	------

Subtotal _____

TOTAL _____

H. Other Costs: List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
-------------	-------------	------

TOTAL _____

I. Indirect Costs: Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must 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 costs categories.

Description	Computation	Cost
-------------	-------------	------

TOTAL _____

Budget Summary: When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	_____
TOTAL PROJECT COSTS	_____

Federal Request _____

Non-Federal Amount _____

4. Assurances and Certifications

The last step in the application process is to submit the Assurances and Certifications.

Type the name, address, phone number, fax number, and e-mail address of the authorizing official on the Assurances Form (OJP Form 4000/3) and Certifications Form (OJP Form 4061/6) on the Assurance screen. The authorizing official must review the Assurances and Certifications Forms in their entirety. Copies of these forms follow on pages 44–46. The authorizing official does not need to submit signed hardcopies of these forms to DCPO.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

APPLICANT INFORMATION

Eligible Applicants

For the purposes of this application kit, eligible applicants (public and private agencies, organizations, institutions or individuals) are limited to for-profit or not-for-profit organizations. Private, for-profit organizations must agree to waive their fees. An applicant may apply for more than one category or subcategory through the submission of a single application. There is no limit on the number of categories that an applicant may apply for in a single application. Applicants are encouraged to submit joint applications with other eligible applicants. All applicants must demonstrate that they have the management and financial capabilities and staff capacity to effectively plan and implement projects of the size and scope described in this application kit.

Guiding Principles

All technical assistance and training will

- Be designed and delivered in a manner that supports empowerment of jurisdictions to implement, enhance, or improve an adult, juvenile, or tribal drug court.
- Be based on a curriculum developed on adult learning theory.
- Be proactive and comprehensive.
- Be user-friendly and consumer driven.
- Use uniform protocols for assessment, delivery of training and technical assistance, evaluation, tracking, and followup.
- Be coordinated to effectively and efficiently use the expertise of all the technical assistance providers and grant recipients.
- Be sensitive to diverse cultural and ethnic needs.

Required Format

The Program Design, Work Plan, and Management and Organizational Capability section must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Double spaced.
4. Submitted with all pages numbered.
5. Submitted within the total page limit allowed.
 - a) Program Design: 25-page limit for each category. An applicant may apply for one or more categories.
 - b) Work Plan: 10-page limit for each category.

- c) Management and Organizational Capability: 3-page limit.

Applications will not be reviewed or considered for funding if they do not adhere to the formatting and page requirements.

The Use of Consultants

OJP's *Financial Guide* (part III, chapter 15, paragraph 6) requires compensation for consultant services to be reasonable and consistent with those paid for similar services in the market. Therefore, depending on the services needed, a grant recipient may set a daily rate below the maximum of the individual's calculated daily rate if the nature of the services dictates a lesser rate.

The *Financial Guide* establishes the maximum rate for consultants not requiring prior written approval at \$450 (excluding travel and subsistence costs) for an 8-hour day. An 8-hour day may include preparation and report writing and/or actual travel time in addition to the time required for actual performance. Preparation and report writing time is determined on a case-by-case basis depending on the nature of the work to be provided by the consultant. Additionally, documentation and records to support the consultant's fee must be kept and updated on an annual basis. See appendix A for a sample consultant agreement form.

The cost principles require the following in regard to compensation for various classifications of consultants who perform like-type services:

- A. **Consultants Associated With Educational Institutions.** The maximum rate of compensation that will be allowed is the consultant's academic salary projected for 12 months and divided by 260.
- B. **Consultants Employed by State and Local Government.** Compensation for these consultants will only be allowed when the unit of government will not provide these services without cost. If a State or local government employee is providing services under a Federal grant and is representing or is not representing his or her agency without pay from the respective unit of government, the rate of compensation is not to exceed the daily salary rate for the employee paid by the unit of government.
- C. **Consultants Employed by Commercial and Not-for-Profit Organizations.** These organizations are subject to competitive bidding procedures and are not subject to the \$450 per day maximum without prior written approval. However, when an individual has authority to consult without employer involvement, the rate of compensation should not exceed the individual's daily salary rate paid by his or her employer and is subject to the \$450 limit.
- D. **Independent Consultants.** The rate of compensation for these individuals must be reasonable and consistent with that paid for similar services in the market. Compensation may include fringe benefits. For cases in which an individual presents an established consultant rate, the basis for the rate and proof of prior compensation must be provided. The limit of \$450 still applies with independent consultants.

Applicants must agree to implement a Consultant Agreement Form. A sample form is provided in appendix A, page 57. The Consultant Agreement Form must be on file for all consultants. A new verification form is required each calendar year.

Personnel Requirements

Certain skilled and experienced professional and/or technical personnel are essential for the cooperative agreement recipients to accomplish the work to be performed under the National Drug Court Training and Technical Assistance Program. These people are identified as “key personnel” and “nonkey personnel.” Key personnel must meet the minimum qualifications as defined below and must be identified in the Budget Narrative part of the application.

The applicant should describe other staff and/or contract personnel who will be required to perform the tasks outlined in the solicitation to ensure that the deliverables are met on time.

The applicant shall provide staff who are qualified to perform the work described in the performance work statement. The proposed team is expected to have experience and knowledge about drug courts, court administration, substance abuse treatment, training curricula, and development and delivery of training and technical assistance. The application should describe the responsibilities of key and nonkey personnel and the percentage of time each will be assigned to the project to ensure availability when needed.

The proposed staff must meet the following criteria for the proposal to be considered responsive. Minimum skill requirements required to perform the tasks under the National Drug Court Training and Technical Assistance Program are as follows.

Key Personnel for the Drug Court Planning Initiative and/or the Drug Court Training Initiative

Project Director: The project director will be the primary point of contact with DCPO and be responsible for activities such as providing project oversight and direction, ensuring curriculum development, identifying faculty and consultants, and facilitating planning meetings. The incumbent must have a minimum of an advanced college degree; 5 years of work experience working in criminal justice, substance abuse, public policy, or a similar discipline; and at least 5 years of work experience in developing and managing a training program of similar magnitude and complexity. Additional years of work and training experience as listed above may be substituted for the advanced degree.

Curriculum Developer: The curriculum developer will be responsible for the development of the curriculum for all training programs. This position may be contractual. The incumbent must have a minimum of an advanced college degree and/or certification in curriculum development and 5 years of curriculum-development experience working in criminal justice, substance abuse, public policy, or a similar discipline.

Training Manager: The training manager will be responsible for such activities as working with consultants to design curricula, identifying faculty with appropriate skills and experience, and executing the training. At minimum, the training manager must have a bachelor's degree; at least 4 years of experience in criminal justice, substance abuse, public policy, or a similar discipline; and at least 3 years of work experience in developing and managing a training program of similar magnitude and complexity.

Key Personnel for the Drug Court Technical Assistance Initiative

Technical Assistance Project Director: The technical assistance project director will be the primary point of contact with DCPO and be responsible for activities such as providing project oversight and direction, ensuring technical assistance development, identifying consultants, and facilitating planning meetings. The incumbent must have a minimum of an advanced college degree; 5 years of work experience working in criminal justice, substance abuse, public policy, or a similar discipline; and at least 5 years of work experience in developing and managing a training program of similar magnitude and complexity. Additional years of work and training experience as listed above may be substituted for the advanced degree.

Clearinghouse Project Director: The clearinghouse project director will be the primary point of contact with DCPO and be responsible for activities such as project oversight and direction, managing a clearinghouse, and facilitating planning meetings. The incumbent must have a minimum of an advanced college degree; 5 years of work experience working in criminal justice, substance abuse, public policy, or a similar discipline; and at least 5 years of work experience in developing and managing a training program of similar magnitude and complexity. Additional years of work and training experience as listed above may be substituted for the advanced degree.

Technical Assistance Manager: The technical assistance manager will be responsible for ensuring the development of onsite technical assistance, identifying faculty with appropriate skills and experience, and executing the onsite technical assistance. At minimum, the technical assistance manager must have a bachelor's degree; at least 4 years of experience in criminal justice, substance abuse, public policy, or a similar discipline; and at least 3 years of work experience in developing and managing a technical assistance program of similar magnitude and complexity.

Minimum Standards of Performance

The focus of the National Drug Court Training and Technical Assistance Program is outputs and performance. DCPO/OJP reserves the right to deduct payment if the performance standards outlined in the solicitation are not met or if approved deliverables under the cooperative agreement are not submitted to DCPO in accordance with the approved Work Plan.

The cooperative agreement recipient or recipients must meet the minimum standards of performance (MSP) described below in performing the work described in the performance Work Plan. MSP distinguishes between satisfactory and unsatisfactory performance. DCPO/OJP will monitor the

cooperative agreement recipient's performance in accordance with procedures set forth in its application and will take appropriate action for documented instances of performance that falls below MSP. At a minimum, to achieve satisfactory performance, the cooperative agreement recipients must ensure that

1. A committee of DCPO staff, project staff, and drug court practitioners is established for each training program to provide guidance and review of curriculum and resource materials. Following the curriculum development meetings, any revisions to the training program milestones must be submitted to DCPO for approval within 10 working days.
2. All training and resource materials, publications, and documents are reviewed and approved by DCPO prior to distribution.
3. At least 90 percent of onsite technical assistance Work Plans are submitted to DCPO within 15 days of receiving the request.
4. At least 95 percent of the deliverables are completed within the timeframe approved by DCPO.
5. Written materials, documents, publications, and brochures follow Government Printing Office guidelines and are virtually free of errors relating to content accuracy, style, spelling, and grammar.
6. All trainers, faculty, or consultants are approved by DCPO and reflect a wide range of expertise, experience, cultural/ethnic diversity, and geographic representation.
7. Training programs meet the needs of the participants as demonstrated by an average score of at least 5.5 out of a possible 7 overall assessment of the training program, using an evaluation form approved by DCPO.
8. The most economical rates for travel, lodging, and meeting costs are used 100 percent of the time.
9. An adequate workforce is maintained at all times within the budget limitations of the cooperative agreement to provide for the timely performance of all deliverables described herein.

Application Due Date

All applications must be submitted electronically over the Grants Management System by 5 p.m. e.t. April 26, 2002.

No extensions will be granted. Faxed applications will not be accepted.

Review Process

The following criteria will be used to evaluate the narrative section:

1. **Program Approach.** Applicants must concisely describe the goals to be achieved by the proposed program and convey a clear understanding of the purposes, work requirements, and expected results of the project. In particular, the applicant must demonstrate a thorough understanding of drug court issues and their implications for policy and practice, and the importance of ethnic and cultural competence to program success. Applicants must also address issues associated with providing training and technical assistance to States and localities. Applicants must demonstrate a comprehensive understanding of the existing knowledge base and research on the initiative, including State and local practices and policies designed to address the initiative.
2. **Project Design.** Applicants must detail a project design that is innovative, viable, and within their ability to carry out. Applicants must delineate quantitative and qualitative measures by which progress in meeting project objectives will be assessed. Applications must indicate how project objectives and work requirements will be achieved and must describe a cohesive and well-thought-out plan for transferring knowledge to the field about drug courts and best practices for drug courts in the related initiative.

Applications submitted in response to this solicitation will be reviewed by Federal officials, who will make recommendations to OJP regarding the relative strengths and weaknesses of the applications. Reviewers will consider how well the applicant covers the information requested for each program in this guideline. The reviewers will consider whether budgets are detailed, reasonable, and directly related to the proposed initiative. Priority will be given to innovative and comprehensive initiatives. The final award decision will be made by OJP. OJP will then negotiate specific terms of awards with the selected applicants. At the conclusion of the award process, letters will be sent to all applicants notifying them if their proposal has been selected or providing the reasons it was not selected.

Award Information

Definition and Use of Cooperative Agreements

In general, DCPO/OJP uses cooperative agreements to reflect the relationship between an eligible recipient and DCPO/OJP when the principal purpose of the relationship is the transfer of money or anything of value to accomplish a public purpose of support or stimulation authorized by Federal statute and substantial involvement is anticipated between DCPO/OJP and the recipient during performance of the contemplated activity.

After the completion of the 18-month award, grant recipients whose performance exceeds the Minimum Standards of Performance may be asked by DCPO to submit a continuation application for funding.

Federal Role in Cooperative Agreements

Substantial involvement encompasses more than routine monitoring or auditing of products or compliance with administrative requirements. It entails actual participation and joint efforts but does not include direct Federal supervision or control. For the purpose of this cooperative agreement, the Federal role for DCPO/OJP includes

1. DCPO/OJP review and approval of stages of work before work can begin on a subsequent stage.
2. DCPO/OJP review and approval of substantive provisions of proposed subgrants or contracts.
3. DCPO/OJP approval of the selection of key personnel.
4. DCPO/OJP monitoring to permit specified kinds of direction or redirection of work because of interrelationship with other projects.

Suspension or Termination of Funding

OJP may suspend funding, in whole or in part for, terminate funding for, or impose another sanction on a recipient for

1. Failure to comply substantially with the requirements of Title V of the Violent Crime Control and Law Enforcement Act of 1994, Pub. L. No. 103-322, 108 Stat. 1796 (September 13, 1994), program regulations/guidelines issued thereunder, or other provisions of Federal law.
2. Failure to make satisfactory progress toward the goals or strategies set forth in this application.
3. Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.
4. Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
5. Failure to submit reports.
6. Filing a false certification in this application or other report or document.
7. Other good cause shown.

Before imposing sanctions, OJP will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those outlined in U.S. Department of Justice regulations in 28 CFR Part 18.

APPENDIX A

SAMPLE CONSULTANT AGREEMENT FORM

CONSULTANT FEE VERIFICATION FORM

Please complete the form and return it to _____

OJP guidelines established on 5/13/99 state that compensation for consultant services is to be reasonable and consistent with that paid for similar services in the marketplace. The guidelines also require documentation and records to support the consultant fee paid. To conform to these guidelines, please provide the following information (please complete all fields):

Name _____ Title _____

Address _____ City _____ State _____

Telephone _____ Fax _____

Social Security Number _____ or Federal Tax ID Number* _____

Requested Daily Rate of Pay: \$ _____ (subject to awarding agency guidelines)

(You will only be paid for a maximum of 8 hours within a 24-hour period.)

Please provide the basis for the requested rate:

_____ Your current annual salary (including benefits): \$ _____

_____ Fee paid to you by others for similar work: \$ _____

_____ Rate approved for you by Federal grant agency (agency name): _____

_____ Other (Please specify): _____

Please provide the names and telephone numbers of two organizations that have contracted with you for similar services at the requested rate within the past 3 years.

Organization	Contact Person	Phone Number	Daily Rate
_____	_____	_____	_____
_____	_____	_____	_____

I certify that all of the information given here is accurate and complete to the best of my knowledge.

Signature

Date

*If the consultant check is to be made payable to a company rather than an individual, you must provide the company's name, address, telephone number, and tax identification number.