



***Drug Court
Grant Program
Fiscal Year 1996***

***Program Guidelines
and
Application Kit***

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Office of Justice Programs
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Washington, D.C. 20531

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Drug Court Grant Program

Introduction

This application kit provides information concerning 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), and in regulations published by the Department of Justice (28 C.F.R. Part 93). This program is administered by the Drug Courts Program Office of the Office of Justice Programs (OJP), U.S. Department of Justice.

Background

Title V of the Violent Crime Control and Law Enforcement Act of 1994 (Pub. L. No. 103-322) (Crime Act) authorizes the Attorney General to make grants to States, State courts, local courts, units of local government, and Indian tribal governments for the establishment of drug courts in response to increased numbers of nonviolent substance abusing adult and juvenile offenders who contribute to the pervasive problems of prison and jail overcrowding and the high recidivism rate for those offenders. The grantees may act directly or through agreements with other public or private entities. In Fiscal Year 1996, the funds available for this program are \$5.7 million.

Programs funded under this Title will target nonviolent offenders and involve:

1. The **continuing judicial supervision** over **nonviolent** substance abusing offenders; and
2. The integrated administration of other sanctions and services in any program, which must include —
 - a. Mandatory periodic testing for the use of controlled substances or other addictive substances during any period of supervised release or probation;
 - b. Substance abuse treatment for each participant;
 - c. Diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress; and
 - d. Programmatic, offender management and aftercare services such as relapse prevention, health care, education, vocational training, job placement, housing

placement, and child care or other family support services for each participant who requires such services.

For this program, the term "drug court" is a specially designed court calendar or docket, (**a separate or special jurisdiction court is neither necessary nor encouraged**) the purposes of which are:

- to achieve a reduction in recidivism and substance abuse among nonviolent adult and juvenile substance abusing offenders; and
- to increase their likelihood for successful rehabilitation through early, continuous, and intensive judicially supervised treatment, mandatory periodic drug testing, and the use of graduated sanctions and other rehabilitation services.

Drug Courts: Breaking the Cycle of Substance Abuse and Crime

More than half of all individuals brought into the criminal justice system have substance abuse problems. Many of these individuals are nonviolent offenders who repeatedly cycle through the court, corrections, and probation systems without being held accountable for changing their behavior. Such nonviolent drug offenders face little certainty of punishment and represent a long-term, recurring problem for both the criminal justice system and society.

In too many cases, the criminal justice system fails to subject nonviolent, drug abusing offenders to intervention measures that provide the mix of services and sanctions necessary to change their behavior, or if necessary, coerce abstinence. Some courts and prosecutors, however, have effectively and economically addressed the problem through the use of treatment drug courts. Their results suggest that "drug courts" can significantly enhance the offender's opportunity to break the cycle of substance abuse and crime.

Indeed, research and evaluation demonstrate that the "drug court" approach is effective in reducing both drug abuse and drug-related crime. The Drug Court discretionary grant program of Title V of the Crime Act seeks to support the development of innovative measures that provide courts additional resources to assure certainty of punishment for drug abusing offenders through the integrated administration of services and sanctions, including close supervision and coerced abstinence.

Current drug courts are configured in a variety of ways, but as drug court programs have matured, several common characteristics have emerged:

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- use of judicial authority and the leverage of the court's disposition power (a) to directly supervise and support the offender's performance in treatment and rehabilitation programs; and (b) to bring together service delivery experts who can support offender rehabilitation and promote achievement of the drug court program goals; and
 - an initial focus upon treatment and rehabilitation that provides nonviolent drug-dependent defendants who successfully complete a treatment and rehabilitation program with dismissal of their current charges or some other mitigation of their sanction exposure or sentence.

Drug courts are dependent upon effective working relationships among judges, prosecutors, and defense attorneys. Existing drug court programs have developed partnerships among these key officials and have reconfigured the traditional case process to assure much earlier court intervention in drug cases and continuous supervision of each drug court defendant by the supervising judge. Treatment providers and other rehabilitation services also play a critical role in providing judicial options to assure drug court program implementation.

Perhaps the largest problems facing drug courts are lack of access to information and training about state-of-the-art substance abuse treatment practices and limited access to the full continuum of treatment and ancillary services for drug-dependent offenders. Drug court judges have developed a variety of mechanisms to provide drug treatment and rehabilitation services to defendants. Some courts have relied on existing systems of treatment services while others have contracted directly with providers or have used some form of treatment by specialists already under the court's administrative authority. Most drug courts currently rely primarily upon outpatient services to which the drug courts have limited access.

Role of Treatment in Drug Courts

The use of drugs among offenders generally, as well as the percentage of correctional inmates with substance abuse dependence, is extremely high. The latest annual report (1995) of the National Institute of Justice's Drug Use Forecasting Program (DUF) showed continuing high rates of drug use across a broad spectrum of arrestees. In 1995, a majority of male arrestees tested positive for at least one drug at all of the 23 DUF sites. Substantial numbers of offenders have never received treatment. The link between drug use and criminal activity has been well-documented, and drug treatment has been shown to reduce both drug use and criminal activity of drug-involved offenders.¹

1. State of California Department of Alcohol and Drug Programs and the National Opinion Research Center, *Evaluating Recovery Services: The California Drug and Alcohol Treatment Assessment* (CALDATA), April 1994.

Treatment is most effective when offenders are correctly matched to the appropriate level of care needed as identified through the assessment or diagnostic process. Length of stay in treatment and aftercare have also been factors associated with positive treatment program outcomes and, in particular, to the cessation of drug usage, reduction in recidivism rates, and improvements in educational and employment status and family relationships. (See Appendix B•Comprehensive Care Continuum)

Research continues to indicate that drug addiction is a complex and chronic relapsing disease.² A comprehensive and sustained continuum of therapeutic interventions and services can increase clients' socioeconomic functioning 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 to include a strong focus on therapeutic relapse prevention methodologies. 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 client treatment needs, track their progress in treatment programs, and determine the appropriate level of treatment services that are needed. Supportive social services encompass linkages to employment, educational/vocational placement, family counseling, and housing placement assistance.

For drug courts to be most effective, judges must rely on treatment providers and treatment coordinators to assist in the development of treatment, rehabilitation, and supervision plans for each defendant that will promote the achievement of the goals of drug court programs, meet the needs of the offenders, use limited resources appropriately, and result in improved outcomes in terms of both rehabilitation and public safety. Structured methods need to be designed to assess the treatment needs of the individuals eligible for the drug court program, as well as any related medical, psychological, and other problems they may have which the treatment program will need to address.

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

The FY 1996 Drug Court Program

Introduction

The program described in this application kit provides a series of opportunities that build on the strong foundation that was put in place with the FY 1995 Drug Court Program.

In FY 1995, the Drug Court Program Office provided grants to support drug court planning efforts in 52 jurisdictions. Five other jurisdictions received substantial support to implement new drug courts. Seven other sites were able to enhance their ongoing drug court efforts as a result of funding made available under the 1995 program. In addition, the Drug Court Program Office, using FY 1995 funding, made a serious commitment to technical assistance and training.

As you will note, the 1996 Drug Court Program is built upon the same fundamental pillars that anchored the program in 1995: support for planning, funding to begin implementation, and support to enhance ongoing drug court operations. The provision of technical assistance and training will continue to be important as well. A national evaluation of drug court effectiveness, will also be launched through another solicitation.

The program described in this application kit is competitive and three types of grants will be awarded. **Eligible applicants may apply only for one type of grant.**

Eligible Applicants

This solicitation is limited to States, State courts, local courts, counties, and other units of local government and Indian tribal governments acting directly, or through agreement with other public or private entities. Applicants may choose to submit joint proposals with other eligible jurisdictions for a regional drug court program as long as one organization is designated as the applicant and any co-applicants are designated as such. Applicants must also demonstrate that they have the management and financial capabilities to plan and implement effectively a project of the size and scope described herein.

Evaluation

Grant recipients are expected to conduct a process evaluation that will provide information to improve the program design. Recipients of implementation or enhancement grants are also required to participate actively in a national evaluation of the Drug Court Grant Program that the National Institute of Justice will conduct. The national evaluation of the drug court programs is described in Appendix A of this grant application kit.

Part I: Planning Grants

These awards are for those jurisdictions that are interested in establishing drug courts and are in the early stages of planning for that effort. Planning Grants will be for 8 months. Up to 25 awards of \$20,000 will be made.

Part II: Implementation Grants for New Drug Court Programs

Implementation grants for 12 to 18 months will be awarded to jurisdictions that have already made a commitment to develop a drug court program and have already identified the target population to be served and the case processing procedures that will be used. These grants will provide for a brief planning period and a subsequent implementation phase. Only jurisdictions that did not receive a 1995 Planning grant may apply under Part II. Jurisdictions that received 1995 Implementation grants are not eligible to apply for 1996 Implementation grants. Up to \$1.5 million is available for grants up to \$400,000 each. Applicants are encouraged to request awards of less than \$400,000.

Part II A: Implementation Grants For 1995 OJP Planning Grantees

Implementation grants for 12 to 18 months will be awarded to jurisdictions that received FY 1995 Planning grants from the OJP Drug Courts Program Office. Grants under this Part are restricted to those 52 jurisdictions that received FY 1995 Drug Court Planning Grants from OJP. \$2.2 million is available for grants up to \$400,000 each. Applicants are encouraged to request awards of less than \$400,000.

Part III: Improvement and Enhancement Grants

Enhancement grants for 12 to 18 months will be awarded to jurisdictions to improve or enhance services. Grants under this Part will be made to jurisdictions that have already established drug courts. \$1.5 million is available for this Part. Grants will not exceed \$300,000. Recipients of 1995 Implementation or Enhancement grants are not eligible to apply for 1996 Enhancement grants.

Contact

For further information about Drug Court Grants, contact:

Marilyn M. Roberts, Director
Drug Courts Program Office
Office of Justice Programs
633 Indiana Avenue, NW.
Washington, D.C. 20531
202-616-5001

Part I: Planning Grants

Purpose and Goals

This program will assist up to 25 jurisdictions that intend to establish a drug court. Planning grants will enable the applicants to undertake a relevant needs assessment to identify the characteristics of their drug caseload and offender population and treatment options. The Planning Grants are limited in scope and will not necessarily lead to subsequent Federal drug court funding to implement the programs that result from the planning effort. The outcome of the planning process, however, should enable grantees to develop a sufficient needs assessment and cost analysis to justify a funding request to local, State, or Federal government, or private sources. Technical assistance will be provided to assist grant recipients during their planning processes. Grant recipients will be required to carry out specific activities to aid the planning process.

This program is available only to those jurisdictions that are in the early stages of an effort to develop a drug court program. Applicants are encouraged to consider elements delineated in Part II as crucial to implementation of a successful drug court program.

Application Requirements

Applications must include a completed Application for Federal Assistance (Standard Form 424), including a detailed budget worksheet, following the format in Appendix D and a program narrative (not to exceed 7 double-spaced pages). The Federal funds allowable for this program will be 75 percent of the total program cost, with a 25-percent match. The program narrative should include the following:

- A problem statement that outlines the current case process in the applicant's jurisdiction, including the volume and any recent increases of nonviolent drug abusing offenders. (1-2 paragraphs)
- A goal statement that clearly describes how the Planning Grant would assist the jurisdiction to establish a drug court program, the issues to be addressed during the planning process, the anticipated outcomes to be achieved, and the process that will be undertaken to plan for its establishment. Relate this goal statement to the Department's goals for the drug court program outlined in the section of this document that describes Application Requirements for Part II grants. (2-4 pages)
- Clear identification of the relevant stakeholders in the applicant's jurisdiction, indicating how these parties will participate in the planning process. The capabilities and work experience, as well as the amount of time to be spent on the project, must be specified for

the individual designated to manage the planning grant and any other identified staff who will be part of the project. (1-2 pages)

- Identification of related government and community initiatives which complement or will be coordinated with the proposed planning process. (1-2 paragraphs)
- A budget with a detailed justification for all costs, including the basis for computation of these costs. The budget must be complete, reasonable, and directly related to the activities proposed in the application. The budget must follow the format in Appendix D.
- A statement of willingness to participate in the training and technical assistance that will be made available during the planning process.

It is expected that at least two thirds of the program budget will be used for travel by the planning team to 2 required OJP training workshops and to visit other drug courts.

The OJP workshops have not been scheduled; therefore, an average airfare should be used to calculate expenses. One workshop will be three days and the other will be one and one half days. Both OJP workshops will include a visit to an existing drug court.

Award Period

The award period is for 8 months.

Award Amount

Up to 25 jurisdictions will be awarded up to \$20,000 for Part I: Planning Grants.

Due Date

Applications must be received by **December 2, 1996**.

Part II: Implementation Grants

Purpose and Goals

This program will support grants up to \$400,000 each to geographically diverse jurisdictions in the development of program designs and implementation of cost-effective drug court programs that provide for a program of pretrial, probation, or other supervised release which:

- promotes public safety and contributes to a reduction in recidivism characteristics of substance-abusing offenders.
- reduces reliance on incarceration within existing correctional systems and local jails while at the same time promoting intensive supervision of participating offenders; and
- provides treatment and other services to appropriate **nonviolent** offenders immediately following arrest under a judicially supervised program which includes —
 - ongoing judicial supervision, including periodic mandatory drug testing of each participating defendant;
 - regular status hearings at which the supervising judicial official reviews the progress (or lack thereof) of each participating defendant; and
 - the use of appropriate sanctions, including the possibility of confinement, incarceration, and/or prosecution in the event of a defendant's noncompliance with drug court program requirements.

Application Requirements

Applications must include a completed Application for Federal Assistance (Standard Form 424), including a detailed budget worksheet, following the format in Appendix D, a one page abstract summarizing the proposal, and a program narrative (not to exceed 12 double-spaced pages). Pages beyond the page limit will not be considered. The page lengths provided parenthetically are offered as guidelines for the writer. Abstract and budget narratives are not included in the page limit. The Federal funds allowable for this program will be 75 percent of total program costs with a 25-percent match. Program narratives should provide the following:

1. A problem statement that describes the current case process in the applicant's jurisdiction including the volume and any recent increases of nonviolent drug abusing offenders, the time frame (any delays) currently occurring in their disposition, and the degree to which incarceration is presently relied upon for these offenders. (½ - 1 page)

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2. A goal statement with performance indicators that describe, in measurable terms, the extent to which the proposed initiative will alleviate court crowding and incarceration in local jails, reduce drug use, or other goals to be achieved. (1-2 pages)

3. A description of the method(s) that will be used to assign drug court cases to a supervising judicial officer(s) that will assure that the necessary early and **continuing judicial supervision** is provided. (1 page)

Most drug courts have designated (e.g., individually assigned) one judge to handle the drug court cases and provide the ongoing supervision needed. Some, however, have assigned multiple judges to handle this docket, and some have employed part-time magistrates to perform drug court functions.

4. A description of how the various components will be integrated in the proposed drug court program. This integrated effort should draw on existing community resources, where available, to complement those for which Federal funding is requested. (1 page)

Section 2201 of the Crime Act calls for the integrated administration of other sanctions and services including mandatory drug testing of all drug court program participants; substance abuse treatment; diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress; and programmatic offender management and aftercare services for participants who require such services.

Applicants should also refer to existing federally supported initiatives underway in their jurisdictions that can support the proposed drug court program and describe how they will coordinate these programs within the overall design and implementation of the drug court program.

5. A description of the essential components of the treatment and rehabilitation program and how these various program elements will be coordinated and managed. (2 pages)

Although the treatment/rehabilitation elements of existing drug court programs vary significantly, the following components are considered essential to supporting the drug court program goals:

- a. a multi-phased **licensed or accredited** treatment program based on the use of validated assessment instruments using regular urine testing and a combination of treatment modalities including one-on-one counseling, group therapy, short-term inpatient or residential services where warranted to augment the outpatient treatment program, and transition to aftercare services; and

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- b. a supporting rehabilitation program providing remedial education and vocational training, and life and family skill development services necessary to promote and sustain the participant's rehabilitation.

Applications that demonstrate the most comprehensive treatment programs that include the above components will receive funding priority under this program.

6. A description of the coordination and communication mechanisms that will be employed to assure that agencies essential to the drug court program actively participate in its design and implementation and provide the services, information, and support to promote the judicial system's capability to effectively administer and monitor the program. **Applicants demonstrating the greatest current or potential coordination and collaboration among justice, health, and other entities, including such organizations as the State agencies for alcohol and drug abuse, will receive funding priority under this program.** (See Appendix G for a listing of these agencies.) (2 pages)

While the design, implementation, and eventual institutionalization of a drug court program involves the participation of policy makers and stakeholders from many different public agencies, private entities, and community groups, the **ultimate responsibility and accountability for a drug court program, as envisioned in these guidelines, rests with the judicial system.**

7. A summary of the case processing procedures currently applicable to drug cases in the applicant's jurisdiction and a description of the changes that may be needed to effect the drug court program. (1 page)

To identify adequately the pool of eligible defendants for the drug court program, mechanisms within the criminal case process need to be established for early case screening in accordance with case selection criteria and for assignment of drug court cases to a special case processing track which can provide for the early and ongoing judicial supervision necessary. Special case processing procedures, both within the court system and within the offices of the prosecutor and public defender, may need to be developed to assure the timely exchange of information, case review, and court intervention necessary.

8. Demonstration of the capability to assure adequate program management through ongoing monitoring, tracking, and process assessments, preferably through the design, implementation, and maintenance of an automated data collection system. Program implementation and process information, from all components of the drug court, should be collected and assessed to the fullest extent possible. (1 page)

Such information is crucial to any later study of the impact of the program. Data from program implementation and process evaluations are typically used as baseline or

contextual information from which the findings of impact evaluations can be interpreted. (See Appendix A Evaluation of Drug Court Grant Programs.) Particularly in the case of drug court programs, data will have to be collected across many different departments and agencies.

A plan for such data collection should be developed so that all system components understand clearly the nature and extent of their data collection responsibilities. In some cases, multiple sources of data across several agencies may address the same evaluation question.

9. Identification of key decision makers who will participate in the planning and implementation process and of the expected tenure of those individuals in their current positions, of the individual who will manage the effort, of his/her qualifications for the position, and of the amount of time this person will devote to the effort, and of all necessary staff support to be allocated to the project. (½ page)
10. Demonstration of a willingness and ability to participate in two technical assistance workshops for implementation grants and in other training programs sponsored by OJP.
11. Explanation of the applicant's inability to fund the program adequately without Federal assistance. Assurance of the intention and capability of the jurisdiction to continue the program after the conclusion of Federal funding. (½ to 1 page)

Items 12 -14 should be addressed by inclusion of a signed copy of the OJP Standard Assurances form in Appendix E with the concept paper.

12. Assurance that all treatment programs and providers utilized in the drug court program are licensed, certified, or accredited by the appropriate State government or professional agency.
13. Assurance that violent offenders, as defined by Section 2203 of the Crime Act, will be excluded from drug court programs receiving funds under this program.
14. Assurance that the grantee will actively participate in the national evaluation of the programs funded under this initiative.

Award Period

The award period is for 12 to 18 months. Jurisdictions that did not receive a 1995 Planning grant from the Drug Courts Program Office may include a 6-month planning or start-up phase in the award period.

Award Amount

Part II. \$1.5 million is available for implementation grants to jurisdictions that did not receive 1995 Planning Grants from the Drug Courts Program Office. Applicants that received 1995 Implementation grants are not eligible to apply for 1996 Implementation grants. Eligible applications must already have made a commitment to develop a drug court program and already have identified a target population to be served and the case processing procedures that will be used. The maximum individual grant will be \$400,000. Applicants are urged to request a realistic sum, although not necessarily the maximum award.

Part II A. \$2.2 million is available for implementation grants to jurisdictions that received FY 1995 planning grants from the Drug Courts Program Office. The maximum individual grant will be \$400,000. Applicants are urged to request a realistic sum, although not necessarily the maximum award. Applicants for these implementation funds should clearly indicate in the application that a 1995 Planning grant was received and include the grant number.

Due Date

Applications must be received by **December 2, 1996**.

Part III: Improvement and Enhancement Grants

For those jurisdictions that have established drug courts, grants will be made available to improve the delivery of services or to enhance the existing drug court through additional services that will allow the existing drug court to more fully meet the goals of the Drug Court Grant Program. Eligible applicants must not have received either an implementation or enhancement grant from the Drug Courts Program Office in FY 1995.

Goals

To support established and geographically diverse drug court programs in eligible jurisdictions that have demonstrated a need for Federal assistance to:

- Enhance the resources available to the drug court by upgrading the management supervision and/or services to offenders so as to increase the likelihood of successful participant rehabilitation, thereby reducing further criminal activity and further reliance on the State correctional system or local jails.
- Provide additional services to meet the criteria established under provisions of Title V of the Violent Crime Control and Law Enforcement Act of 1994.

Application Requirements

Applications must include a completed Application for Federal Assistance (Standard Form 424), including a detailed budget worksheet, following the format in Appendix D, a one page abstract summarizing the proposal, and a program narrative (not to exceed 12 double-spaced pages). Pages beyond the page limit will not be considered. The page lengths provided parenthetically are offered as guidelines for the writer. Abstract and budget narratives are not included in the page limit. The Federal funds allowable for this program will be 75 percent of the total program cost, with a 25-percent match. Program narratives should provide the following:

1. A description of how each of the issues identified in the Application Requirements described for Part II grants is currently being addressed. (One paragraph per issue• 3-4 pages)
2. Historical statistical information regarding client experience in the program, including evaluative information on those who successfully completed the program and failed to complete the program. (1-2 pages)

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3. Identification of the specific aspects of the existing program to be expanded/enhanced with requested funds. (3-4 pages)
 4. A summary of changes made in the initial design, based on experience, unanticipated problems, etc. (2 pages)
 5. A budget with a detailed justification for all costs, including the basis for computation of these costs. The budget must be complete, reasonable, and cost effective in relation to the proposed improvement or enhancement grant.
 6. Assurance that all treatment programs and providers utilized in the drug court program are licensed, certified, or accredited by appropriate State government or professional agency. (short paragraph)
 7. Assurance of plans to continue the expanded- or enhanced-level of services at the conclusion of Federal assistance. (½ -1 page)

Note: The page lengths for each item above are offered as guidelines for the writer.

Award Period

The award period is for 12 to 18 months.

Award Amount

\$1.5 million is available for enhancement grants to jurisdictions that did not receive either an implementation or enhancement grant in FY 1995 from the Drug Courts Program Office. The maximum individual grant will be \$300,000. Applicants are urged to request a realistic sum, not necessarily the maximum award.

Due Date

Applications must be received by **December 2, 1996**.

FY 96 Drug Court Technical Assistance Program

Each applicant receiving FY 96 Drug Court funds will be eligible to receive limited onsite technical assistance, sponsored by OJP through its technical assistance grantees. These grantees will assist State and local justice system officials in addressing issues related to planning, implementation, management, and evaluation of drug court programs.

In addition, applicants receiving FY 96 Drug Court funds will be required to participate as a team of stakeholders in OJP-sponsored technical assistance workshops. These workshops will:

1. support grantees in addressing specific implementation, enhancement and evaluation;
2. facilitate information exchange and experience sharing among grantees; and
3. facilitate the planning process for key stakeholders.

Each grantee's team should include up to five key stakeholders identified in their application.

Drug Court Workshops

Each **planning grant recipient** will attend a 3-day training workshop sponsored by OJP. This workshop will be scheduled early in the grant award period. Training topics for planning grant recipients will include strategies for maximizing the participation of key decision makers in the planning process, goal setting, identifying appropriate target populations for the drug court program, and assuring participant and program accountability. These workshops will include observation of a drug court in action.

Implementation and Enhancement grant recipients will attend a 2-3 day technical assistance workshops sponsored by OJP. Grantees may use grant funds to cover the cost of travel and per diem for teams of participants from their jurisdictions to attend the workshops.

The training workshops for **implementation and enhancement grant** recipients will be designed to address topics and issues of current concern. Grant recipients will be surveyed in advance of the workshops to determine the most appropriate topics for inclusion in the program. These workshops also will be designed to maximize networking and information sharing among drug court practitioners.

Administrative Requirements

Application Due Date

Fiscal Year 1996 applications must be received by the Drug Courts Program Office by **December 2, 1996** to provide sufficient time for applications to be reviewed and awards to be made before the end of the fiscal year. An original and four (4) unbound copies should be sent to:

**Drug Courts Program Office
Office of Justice Programs
633 Indiana Avenue, NW
4th Floor
Washington D.C. 20531**

Matching Funds

The Federal share of a grant funded project may not exceed 75 percent of the total costs of the project. At least 25 percent of the total project costs must come from local sources. In-kind contributions may constitute a portion of the non-Federal share of a grant.

Supplanting Prohibition

A written certification, in the form of a letter, addressed to Drug Courts Program Office, Office of Justice Programs, U. S. Department of Justice must be included in the application kit. This letter must certify that Federal funds must be used to supplement existing funds for program activities and not replace those funds which have been appropriated for the same purpose. Potential supplanting will be the subject of application review, as well as pre-award review, post-award monitoring, and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

Audit Requirement

State and local governments are governed by the Single Audit Act of 1984 and OMB Circular A-128, "Audits of State and Local Governments." The type of audit required under this circular is dependent upon the amount of Federal funds that can be audited during the recipients fiscal year. For example:

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- If the organization receives \$100,000 or more per year in Federal funds, the organization shall have an organization-wide financial and compliance audit.
 - If the organization receives between \$25,000 and \$100,000 a year in Federal funds, the organization may elect to have an organization-wide audit or program audit.
 - If the organization receives less than \$25,000 a year in Federal funds, the organization shall be exempt from the audit requirement.

Commercial (for-profit) organizations shall have financial and compliance audits performed by qualified individuals who are independent from those who authorize the expenditure of Federal funds. This audit must be performed in accordance with Government Auditing Standards. The audit thresholds contained in OMB Circular A-133 apply.

Applicants are required to provide the period of their organization's fiscal year and the name of their organization's cognizant Federal agency in block 11 of the SF 424. The cognizant Federal agency is generally determined based on the preponderance of Federal dollars received by the applicant.

Civil Rights

All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. All applicants should consult the assurances to understand the applicable legal and administrative requirements.

In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights of the Office of Justice Programs.

Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should read and sign the certification form included in this application kit. Signing this form commits the applicant to compliance with the 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 certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

Suspension or Termination of Funding

The Office of Justice Programs may suspend, in whole or in part, terminate funding for, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of the (insert title of funding legislation), program guidelines issued thereunder, or other provisions of Federal law.
- Failure to make satisfactory progress toward the goals or strategies set forth in this application;
- Failure to adhere to the requirements in the agreement, standard conditions or special conditions;
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- Failure to submit reports; or
- Filing a false certification in this application or other report or document.

Before imposing sanctions, the Office of Justice Programs 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 Department of Justice regulations in 28 CFR Part 18.

Reporting Requirements

Progress Reports: Recipients of funding are required to submit an initial and then semi-annual progress report. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports are due for the first full quarter the award is active and then every six months after that for the remainder of the award period. Progress reports are due on the 30th day following the end of that reporting period.

For example, if the begin date of the award is October 1, the first report would cover the period from October through December and would be due January 30. The next report would cover the period of January through June and would be due July 30. If the begin date on the award date is November 1, the first report would cover the period of November through March (January through March being the first full quarter the award is

active) and would be due April 30. The next report would cover the period of April through September and would be due October 30. A report is due every six months.

A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. Report forms will be provided to the recipient by the (name of the awarding agency.)

Financial Status Reports: Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package.

Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.

Equitable Distribution of Grant Awards

In all cases the U.S. Department of Justice will attempt to award grants on a geographically equitable basis that will address the needs of smaller jurisdictions, as well as large urban centers. Jurisdictions that contain federally designated Empowerment Zones or Enterprise Communities may receive enhanced consideration if they describe how they will target their drug court effort to the designated area.

Review Process

Applications submitted in response to this solicitation will be reviewed by a panel of experts, which will make recommendations to OJP regarding the relative strengths of the applications. Reviewers will consider how well the applicant covers the information requested for each program in this guideline. Each numbered item under “Applications Requirements” must be effectively addressed in the program narrative. The reviewers will consider whether budgets are detailed, reasonable, and directly related to the proposed program. Priority will be given to innovative and comprehensive programs. Only programs containing the essential elements of treatment drug courts, described on pages 2 and 3 of this guideline, will be funded. 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 the reasons it was not selected.

Financial Guidelines and Requirements

For budget detail and budget narrative, applicants are advised that FY 96 Drug Court Initiative funds may be used to cover the following costs:

- Funding may be used for travel and per diem to attend the program workshops described herein. Applicants should be aware that travel funds may be used to cover coach fares for long distance travel and reasonable costs for local travel. Applicants should anticipate the costs of coach class air fares and assume a Saturday night layover when budgeting for the workshops described herein.
- Applicant's seeking funds for indirect charges must have federally approved indirect cost rates.

Applicants are advised that the Federal share of a grant received under this subtitle may not exceed 75 percent of the total cost of an applicant's projected budget. The matching requirement may be in-kind or cash match.

Discretionary grant funds are governed by the provisions of the Office of Management and Budget (OMB) circulars applicable to financial assistance. The circulars, along with additional information and guidance, are contained in the Office of Justice Programs (OJP) Financial Guide. This guideline manual includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. Copies of the Guideline Manual are available from OJP, Office of the Comptroller, 633 Indiana Ave, N.W., Washington, D.C. 20531-0001. They can also be obtained by calling the Department of Justice Response Center at 800-421-6770.

Definitions

1. **"Drug Court"** means a specially designed court calendar or docket the purposes of which are to achieve a reduction in recidivism and substance abuse among nonviolent substance abusing offenders; and to increase their likelihood for successful rehabilitation through early, continuous, and intense judicially supervised treatment, mandatory periodic drug testing, and the use of appropriate sanctions and other rehabilitation services.
2. **"Violent Offender"** means a person who either-
 - a. is charged with or convicted of an offense, during the course of which —
 - I. the person carried, possessed, or used a firearm or other dangerous weapon;

-
- ii. there occurred the use of force against the person of another; or
 - iii. there occurred the death of, or serious bodily injury to, any person,

without regard to whether any of the circumstances described above is an element of the offense or conduct of which or for which the person is charged or convicted;
or
 - b. has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.
3. "**Grantee**" means those States, State courts, local courts, counties, and other units of local government and Indian tribal governments acting directly, or through agreement with other public or private entities which receive funding under this program.
 4. "**State**" means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands.
 5. "**Unit of local government**" means any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a State, an Indian tribe which performs law enforcement functions as determined by the Secretary of the Interior, or for the purpose of assistance eligibility, any agency of the District of Columbia government or the United States Government performing law enforcement functions in and for the District of Columbia and the Trust Territory of the Pacific Islands.
 6. "**Indian tribe**" means a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act [43 U.S.C. 1601 et. seq.]), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their special status as Indians.

Appendix A

Evaluation of Drug Court Grant Programs

Evaluation of Drug Court Grant Programs

This appendix is divided into two sections. The first section discusses the conduct of mandatory process evaluations that are required of all Part II and Part III drug court grant recipients and that are to be funded by each grant recipient out of grant funds received. The second section describes current efforts to develop a national impact evaluation of drug courts that will be funded by the National Institute of Justice.

Mandatory Drug Court Program Implementation and Process Evaluations

Recipients of program funds are required to demonstrate the capability to assure adequate program management through ongoing monitoring, tracking, and process assessments, preferably through the design, implementation, and maintenance of an automated data collection system. Program implementation and process information, from all components of the drug court, should be collected and assessed to the fullest extent possible.

Such information is crucial to any later study of the impact of a program. Data from program implementation and process evaluations are typically used as baseline or contextual information from which the findings of impact evaluations can be interpreted. Particularly in the case of drug court programs, data will have to be collected across many different departments and agencies.

A plan for such data collection should be developed so that record keeping and information gathering responsibilities are understood clearly. In some cases, multiple sources of data across several agencies may address the same evaluation question.

Process evaluations should document not just the history of program development and implementation, but the specific elements comprising the program. Ideally, the following information should be collected for the drug court program to the fullest extent possible:

- identification of the screening criteria used to determine eligibility and acceptance into the drug court program (including the type of offenses allowed);
- identification of the point in the criminal justice process where the program intervenes (e.g., pretrial, post-conviction);
- description of the potential population eligible for the drug court program (including demographic information about the surrounding community and the numbers and characteristics of clients served);

-
- description of intake and assessment procedures and screening instruments for identifying offenders who are appropriate for the drug court program (e.g., Addiction Severity Index, Michigan Alcoholism Screening Test);
 - detailed description of the type of program established, its distinguishing structural features, and services provided (including administrative and budgetary elements, personnel and their allocation to specific tasks, average length of participation in the drug court overall, supervision provided to participants) —

in particular, a detailed description of treatment and support services including type and phase of treatment and other service interventions provided (e.g., therapeutic community type, initial detoxification phase);

- identification of how the program responds to relapses, what interventions are used at this point, and what incentives for progress are offered;
- identification of case management and monitoring procedures to ensure that each defendant is monitored closely and a description of the drug court caseload's impact on the rest of the court system;
- description of the discharge and referral procedures used when a participant has completed the program (or failed to complete the program);
- description of the role of the judge, prosecutor, and defense attorney and how their roles in the drug court program vary from roles in other courts in the system, as well as the type of coordination and cooperation required with other linkages in the system (e.g., pretrial services, probation, parole, treatment providers, other support service providers, and community agencies) —

in particular, a description of what information will be routinely available to the judges and other program participants;

- identification of any public policy issues that significantly affect the drug court program.

Also, the following information should be collected for the drug court participants, and to the fullest extent possible, nonparticipants (e.g., those who were found ineligible, or who refused to participate in the drug court, or who were processed before the drug court was created) —

- demographic characteristics
- substance abuse history and current levels of use
- family relationships and social functioning
- vocational status

-
- economic status
 - academic achievement
 - mental health history (including history of physical or sexual abuse)
 - medical history (including HIV risk behaviors)
 - criminal justice history
 - attitudes toward treatment; motivation or readiness for treatment
 - initial treatment and support service needs
 - program interventions received (including length and type)
 - participation in treatment (including motivation and actual attendance records for each program component)
 - date of program admission and discharge
 - status at completion of drug court program (e.g., successful)
 - criminal justice status at discharge from program (e.g., probation)
 - service needs at discharge from program (e.g., job placement)
 - discharge referrals initiated by the drug court

The program implementation and process data, described above, will help researchers to answer the following descriptive evaluation questions:

- How does the drug court, with its requirement of a different allocation of resources than traditional courtrooms, affect the rest of the court system? Does the establishment of a drug court increase or decrease the other court's dockets? Are the resources and caseloads of prisons, jails, probation and parole departments, and treatment and support service providers affected as well? Are more or fewer courtroom personnel required by drug courts? Do "burn-out" and accompanying high turnover rates appear to be a significant issues for drug court personnel?
- What are the similarities and differences among offenders participating in the program? What are the profiles of participants who successfully complete the program?

For existing programs•

- Is the drug court achieving its stated objectives with the resources currently available? Was the drug court implemented as originally intended? Do major changes to the program seem appropriate and well-justified? Have barriers to program implementation been overcome by particularly successful strategies?
- Are treatment drug courts equitable (e.g., is there more pressure placed on defense attorneys and defendants to accept plea offers than in other courts)?

Management Information Systems to Aid in the Collection of

Evaluation Data

Applicants are strongly encouraged to design, implement, and maintain an automated data collection system for use in collecting program implementation data, process information, and baseline data that can be used to chart the progress and impact of the funded program. The application should detail the specific data elements to be contained in the automated data collection system and outline the procedures that will be used to collect this information, including specific budgetary information and personnel to be allocated for this task.

Technical assistance concerning automated data collection systems may be requested through the Drug Court Clearinghouse at American University.

National Impact Evaluation of Drug Court Grant Programs

This section describes current efforts to develop a national impact evaluation of drug courts that will be conducted by the National Institute of Justice (NIJ). Despite the quickly increasing number of drug courts, few evaluations of the effectiveness of these courts have been conducted. Additional evaluation is needed in order to validate the utility of drug courts within the overall criminal justice system and to assess the effectiveness of various drug court strategies. A separate evaluation solicitation will be forthcoming from NIJ.

Applicants must demonstrate their willingness and ability to participate actively in federally sponsored evaluations of their projects throughout the planning and implementation process. Participation would include providing evaluators with access to data and cooperating with a national evaluation impact assessment that utilizes a randomized experimental design, a well-controlled quasi-experimental design, or equivalent comparison group design.

The sections below will provide applicants with advance information regarding the type of questions that may be asked and the information that would typically be collected during the conduct of a national impact evaluation.

Drug court impact evaluations will assess whether programs reduce the recidivism rates of program participants, maintain acceptable substance abuse treatment completion rates among program participants, decrease alcohol and illicit drug use by program participants, and maintain a cost-effective program in relation to the overall criminal justice system. Data from impact evaluations are typically used to justify continued financial support for the drug court program. An impact evaluation can also aid in determining the utility of attempting program replications in other jurisdictions.

In addition to the process data discussed earlier in this section, drug court programs should anticipate providing the following types of information for an impact evaluation:

-
- substance abuse treatment and support services completion rates
 - counselor ratings of the extent of participant attendance and engagement in treatment program components and of improvement over time in —
 - life skills acquisition
 - psychological and emotional functioning (e.g., self esteem)
 - cognitive functioning
 - educational and employment status
 - incident or disciplinary reports during program involvement
 - participant satisfaction with the treatment program
 - reports of substance abuse (e.g., reports of admittance to emergency care facilities due to substance abuse)
 - results of urinalysis (dates and type of drugs, if any, that were positive)
 - probation/parole status, change in status
 - date and type of each charge, arrest, technical violation, conviction, and incarceration during program participation and during aftercare (including offense severity; differentiation between new and old charges; as well as the conviction or sentence status for each arrest)
 - positive social adjustment indicators (e.g., participation in team sports, volunteer work, improved employment status)
 - counselor ratings of the extent of participant attendance and engagement in aftercare components and referral services following completion of the drug court program.

Questions Answered Through Impact Evaluations

Collection of the additional information described above will allow researchers to answer many questions concerning whether the program has resulted in positive changes. A few examples follow:

- Have offenders made progress toward program goals and objectives as measured by criminal activity, continued or recurring substance abuse, participation in aftercare services, and other indicators examined during follow-up? How much progress have drug court participants made in comparison with other groups (e.g., a baseline sample of the pre-drug court defendant population or a nonparticipant population with similar backgrounds to the drug court participants)?
- How do drug court participants and staff, as well as the surrounding community, perceive the effectiveness of the drug court program?
- Are program costs justified by the outcome for participants? Are costs comparable and justifiable in relation to costs for the old system? Are there cost savings to offset program costs?



Appendix B
Comprehensive Care Continuum

Comprehensive Care Continuum³

Overview

The model comprehensive treatment continuum is described below. Most, if not all, of these components are appropriate for members of every target population described in this announcement. However, not all services and/or interventions are needed by every individual in treatment or recovery.

This continuum is not specific to treatment philosophy, modality, or setting. It is a generic framework within which potential applicants can conceptualize service arrays, service capabilities, and appropriate managerial and administrative processes, including evaluation.

Methods of implementing the components of this continuum, the staff who deliver each service, the manner and setting in which different services are delivered, etc., should be decided based upon: 1) the unique needs of the target population; 2) the extent to which there are addiction treatment, health, human services, housing, and labor training alternatives elsewhere in the jurisdiction of authority; and 3) the extent of available resources. The array of services described below need not be provided by a single treatment entity but can be provided by a consortium of addiction treatment, health and human service providers, and criminal justice supervision agencies linked via coordinated case-management.

Program Management, Structure, and Staff

- A project coordinating committee consisting of agency heads of the key participating agencies, the assigned Government Project Officer, the assigned consulting Criminal Justice Coordinator, professionals and citizens who reside in the target jurisdiction served by the program, whose primary role is to oversee, promote, advocate.
- Clear program vision, philosophy, and mission statements, coupled with a strategic plan for achieving identifiable objectives (e.g., increase to 80 percent the number of clients who complete treatment; reduce re-arrest rates by 60 percent for all program participants who complete treatment).
- Ability to conduct comprehensive assessments at intake, track client progress via documented case-finding methods and evaluation tools, maintain process tracking

3. This appendix was prepared by the Center for Substance Abuse Treatment, U.S. Department of Health and Human Services.

capability, and conduct outcome evaluations (during and post-treatment) for all program participants.

- Multi disciplined staff capable of ensuring that programming is delivered in a clinically appropriate and culturally competent manner.
- Staff training and cross training capability covering issues of pertinence to effective treatment, including: cross training of administrative, security, and treatment staff; gender sensitivity (sexuality, abuse); age-specific interventions; cultural competency; pharmacologic interventions; infectious disease transmission; dissemination of the latest research findings; HIV/AIDS counseling (coping skills/risk reduction/partner notification); dealing with psychopathology; and cognitive training for offenders.

Screening, Intake, and Monitoring

- Intake and assessment protocol which consists of a medical exam, alcohol and drug use history, and psycho-social evaluation for all clients entering the program; where indicated, a psychiatric assessment should be conducted; assessments must be appropriate for evaluating all clients with respect to drug use, alcohol use, degree of psychopathology; physical health; extent of cognitive or other impairments; employment history and capability; social history and status (e.g. family of origin, socio-cultural background, exposure to abuse or violence); educational status; and history of involvement in the criminal or juvenile justice systems.
- Screening for infectious diseases, including HIV/AIDS (to include pre- and post-test counseling), TB, sexually transmitted diseases, Hepatitis B, and others, as appropriate.
- Health education, including safe sex and risk reduction techniques to mitigate the spread of the HIV and other sexually transmitted diseases.
- Initial urine screening for the presence of prevalent drugs (licit or illicit) and a system of randomized (at least weekly) monitored urine testing for all treated inmates.
- Referral of clients to treatment and recovery settings and modalities that are best suited to meet their needs (client-treatment matching).
- Case management (timely treatment plan development, treatment record maintenance and patient monitoring, integration of treatment services into supervised programming, and continuation of recovery support services in community-based settings with continual case supervision throughout).

Timing and Duration of Treatment and Recovery Services

- Same day intake services; whenever possible, individuals requesting intervention should be admitted to a treatment unit on the same day.
- Treatment and recovery services should be provided in the context of a sustained continuum that begins during detention or incarceration and is continued in the community of residence during parole and/or release from the facility.

Treatment and Recovery Services

- Special focus groups (peer-based and professionally monitored): general peer/support groups; cognitive group therapy; counseling for HIV-positive clients; victims of sexual abuse; etc.
- Special treatment programming designed to address anger management, violence prevention, victimization issues, and values formation.
- Provision of preventive and primary medical care as required by the client mix, to include: gynecologic/obstetric or reproductive health; pre- and postnatal care; pediatric care; etc.
- Psychiatric assessments, followed by provision of specialized therapy to address indicated psychopathology, appropriate pharmacologic interventions, and monitoring, provided by practitioners recognized by appropriate State/local authorities to provide these services (e.g., appropriately credentialed psychiatrists, psychologists, psychiatric nurses).
- Psychological counseling (when indicated) provided by persons recognized by State/local authorities as qualified to provide the indicated form of therapy.
- Strategies for involving family members/significant others in the treatment process and provision of family/collateral counseling, as appropriate, provided by persons recognized by State/local authorities to provide such counseling.
- Use of peers as mentors and sponsors; strong linkages with self-help groups such as AA, NA, CA, etc.
- Gender, age-specific, and culturally relevant strategies (e.g., staff recruitment and retention, unique treatment setting attributes, appropriate literature and audio-visual materials, social activities) designed to keep inmates actively engaged in the treatment process.

-
- Parenting skills development for both fathers and mothers, including: infant and childhood development courses to enhance parental functioning.
 - Nutritional and general health education provided by a qualified technician.
 - Skill development components which emphasize daily life skills, how to make use of available community resources, maintaining a drug and crime free lifestyle in a community context, etc.
 - Child care provision at the treatment facility (where appropriate for custodial parent residents).
 - Recreational and social activities.
 - Transportation (on\offsite for specialized services, employment, as appropriate).

Community-based Continuum of Care

- Intensive supervision through probation/parole/community supervision/juvenile supervision or other supervision agencies (e.g., Treatment Alternatives to Street Crime • TASC).
- Sustained continuity of treatment, recovery and support services post-release, including: frequent interaction with a mentor, primary counselor, or case manager, as appropriate; more intensive interventions as needed (e.g., in the event of a traumatic event such as death or divorce); participation in ongoing peer-based support programs; drug-free cooperative living arrangements.
- Coordination of the treatment and recovery continuum with other germane services such as vocational rehabilitation, education, legal aid, and transportation.

Appendix C

Standard Application Form, Sample and Instructions

(SF 424)

APPLICATION FOR FEDERAL ASSISTANCE

		2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	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): <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____	
		9. NAME OF FEDERAL AGENCY:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px;"></div>		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
TITLE:			
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):			
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$.00		
c. State	\$.00		
d. Local	\$.00		
e. Other	\$.00		
f. Program Income	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. TOTAL	\$.00	<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/PREAPPLICATION 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
d. Signature of Authorized Representative		e. Date Signed	

INSTRUCTIONS FOR COMPLETION OF THE APPLICATION FOR FEDERAL ASSISTANCE (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies for application for Federal assistance. This form contains 18 different items, all of which are to be completed before your application is reviewed. The Office of Justice Programs (OJP) *cannot* accept the application without a completed and signed SF 424.

- Item 1** **Type of Submission:** If this proposal is not for construction or building purposes, check the "Non-Construction" box in the application section.
- Item 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.
- Item 3** **Date Received by State:** Leave blank. This block is completed by the State single point of contact, if applicable.
- Item 4** **Date Received by Federal Agency:** This item will be completed by OJP.
- Item 5** **Applicant Information:** The "Legal Name" is the unit of government or the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. One person should be designated as the Contact for the proposed project, and that person's telephone number should also be included. It is not unusual for the name of the contact person to differ from the authorized representative of your agency in Item 18 below.
- Item 6** **Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or comptroller.
- Item 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".
- Item 8** **Type of Application:** Check either "new" or "continuation". Check new if this will be your first award for this purpose described in the application, even if the applicant has received prior awards for other purposes. Check "continuation", if the project will continue activities, including minor modifications, or implement the next phase of a project, that was begun under a prior award number.
- Item 9** **Name of Federal Agency:** Type in the name of the awarding agency: Office of Justice Programs, U.S. Department of Justice.

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- Item 10** **Catalog of Federal Domestic Assistance (CFDA) Number:** For the Drug Court Grant Program, the CFDA number is 16.585.
- Item 11** **Descriptive Title of Applicants Project:** Provide the following:
(1) title of the program as it appears in the solicitation or announcement. In addition, indicate the type of initiative: Planning; Implementation II or IIA; Improvement and Enhancement.
(2) applicant's fiscal year, i.e. twelve month audit period, ex: 07/01/95 - 6/30/96.
(3) name of the cognizant federal agency, ex. U. S. Department of Education. This is the federal agency from which the applicant receives the most federal funding.
- Item 12** **Areas Affected by Project:** Identify the geographic area(s) encompassed by the project. Indicate "Statewide" or "National", if applicable.
- Item 13** **Proposed Project Dates:** Fill in the begin and end dates of the project. These dates may be adjusted by the awarding agency when the award is made.
- Item 14** **Congressional Districts:** Fill in the number of the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "Statewide" or "National", if applicable.
- Item 15** **Estimated Funding:** In line "a", type in the amount of Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Federal funding cannot consist of more than seventy-five percent (75%) of the total project costs (line "g"). Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate. The applicant match must be at least twenty-five percent (25%) of the total project costs (line "g").
- Item 16** **State Executive Order 12372:** Some states (although, not all), 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 this was submitted. If a copy is not required, indicate the reason. A list of the State Single Point of Contacts is available in Appendix H. Applicants must contact their State SPOC to determine if the program has been selected for review by the State. The SPOC is not responsible for forwarding your application to the Federal awarding agency.
- Item 17** **Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.
- Item 18** **Authorized Representative:** Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as "original" to help us distinguish the original from the photocopies.

Insert SAMPLE SF 424 Here

Appendix D

Budget Detail Worksheet and Sample

Budget Detail Worksheet

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	Salary 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.

Name/Position	Benefits Computation	Cost
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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., six people to 3-day training at \$X airfare, \$X lodging, \$X per diem). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the destination of travel, if known.

Purpose of Travel	Destination	Item	Computation	Cost
-------------------	-------------	------	-------------	------

TOTAL _____

D. Equipment—List nonexpendable items that are to be purchased. Nonexpendable equipment is tangible property having a useful life of more than 2 years and an acquisition cost of \$5,000 or more per unit. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used. *Note:* Expendable items should be included either in the “Supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high-cost items and those subject to obsolescence due to rapid technical advances. Rented or leased equipment costs should be listed in the “Consultants/Contracts” category.

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

TOTAL _____

E. Supplies—List items by type (e.g., office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, 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. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
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TOTAL _____

G. Consultants/Contracts

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 \$250 per day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
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Subtotal _____

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

Item	Location	Computation	Cost
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Subtotal _____

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

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
		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 cost categories.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
		TOTAL _____

J. 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	_____



Budget Detail Worksheet

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.

<u>Name/Position</u>	<u>Salary Computation</u>	<u>Cost</u>
John Smith, Investigator		\$ 50,000
2 Investigators	$(\$50,000 \times 2)$	100,000
.5 Secretary	$(\$30,000 \times .5)$	15,000
Cost of living increase	$(\$2,000 \times 3 \times .5 \text{ yr})$	3,000
Overtime per investigator	$(\$37.50/\text{hr} \times 100 \text{ hr} \times 3)$	11,250

The three investigators will be assigned exclusively to homicide investigations. A cost of living adjustment is scheduled for all full-time personnel 6 months prior to the end of the grant. Overtime will be needed during some investigations. A half-time secretary will prepare reports and provide other support to the unit.

TOTAL \$179,250

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.

<u>Name/Position</u>	<u>Benefits Computation</u>	<u>Cost</u>
Employer's FICA, Retirement, and Taxes	$(\$179,250 \times 11.5\%)$	\$20,614
Uniform Allowance	$(\$50/\text{mo} \times 12 \text{ mo} \times 3 \text{ investigators})$	1,800

All sworn personnel are provided with a uniform allowance of \$50 per month.

TOTAL \$22,414

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., six people to 3-day training at \$X airfare, \$X lodging, \$X per diem). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the destination of travel, if known.

Purpose of Travel	Destination	Item	Computation	Cost
Training	Boston	Airfare	$(\$150 \times 2 \text{ people} \times 2 \text{ trips})$	\$ 600
		Hotel	$(\$75/\text{night} \times 2 \text{ nights} \times 2 \text{ people} \times 2 \text{ trips})$	600
		Meals	$(\$35/\text{day} \times 3 \text{ days} \times 2 \text{ people} \times 2 \text{ trips})$	420
Investigations	New York City	Airfare	$(\$600 \text{ average} \times 7)$	4,200
		Hotel and Meals	$(\$100/\text{day average} \times 7 \times 3 \text{ days})$	2,100

Two of the investigators will attend training on forensic evidence gathering in Boston in October and in January. The investigators may take up to seven trips to New York City to follow up on investigative leads.

TOTAL \$7,920

D. Equipment—List nonexpendable items that are to be purchased. Nonexpendable equipment is tangible property having a useful life of more than 2 years and an acquisition cost of \$5,000 or more per unit. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used. *Note:* Expendable items should be included either in the “Supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high-cost items and those subject to obsolescence due to rapid technical advances. Rented or leased equipment costs should be listed in the “Consultants/Contracts” category.

Item	Computation	Cost
3 - 486 Computers w/CD-ROM	$(\$2,000 \times 3)$	\$6,000
Video Camera		1,000

The computers will be used by the investigators to analyze case and intelligence information. The camera will be used for investigative and crime scene work.

TOTAL \$7,000

E. Supplies—List items by type (e.g., office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, 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
Office supplies	(\$50/mo × 12 mo)	\$ 600
Postage	(\$20/mo × 12 mo)	240
Training materials		1,000

Office supplies and postage are needed for general operation of the program. Training materials will be developed and used by the investigators to train patrol officers how to preserve crime scene evidence.

TOTAL \$1,840

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

Purpose	Description of Work	Cost
Renovation	Add walls	\$5,000
	Build work tables	3,000
	Build evidence storage units	2,000

The renovations are needed to upgrade the forensics laboratory used to analyze evidence for homicide cases.

TOTAL \$10,000

G. Consultants/Contracts

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 \$250 per day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
John Doe	Forensic Specialist	(\$150/day × 30 days)	\$4,500

John Doe, Forensic Specialist, will be hired, as needed, to assist with the analysis of evidence in homicide cases.

Subtotal \$4,500

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

Item	Location	Computation	Cost
Airfare	Miami	(\$400 × 6 trips)	\$2,400
Hotel and Meals		(\$100/day × 30 days)	3,000

Joe Doe is expected to make up to six trips to Miami to consult on homicide cases.

Subtotal \$5,400

Contracts: Provide a description of the product or service 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
Intelligence System Development	\$102,000

The State University will design an intelligence system to be used in homicide investigations. A sole source justification is attached.

Subtotal \$102,000

TOTAL \$111,900

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

Description	Computation	Cost
Rent	(700 sq. ft. × \$15/sq. ft.)	\$10,500
OR		
Rent	(\$875 mo. × 12 mo.)	

The rent will pay for space for the new homicide unit. No space is currently available in city-owned buildings.

TOTAL \$10,500

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 cost categories.

Description	Computation	Cost
10% of personnel and fringe benefits	(\$201,666 × 10%)	\$20,166

The indirect cost rate was approved by the Department of Transportation, the applicant’s cognizant Federal agency, on January 1, 1994. (A copy of the fully executed, negotiated agreement is attached.)

TOTAL \$20,166

J. 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	<u>\$179,250</u>
B. Fringe Benefits	<u>22,414</u>
C. Travel	<u>7,920</u>
D. Equipment	<u>7,000</u>
E. Supplies	<u>1,840</u>
F. Construction	<u>10,000</u>
G. Consultants/Contracts	<u>111,900</u>
H. Other	<u>10,500</u>
Total Direct Costs	<u>350,824</u>
I. Indirect Costs	<u>20,166</u>
TOTAL PROJECT COSTS	<u>\$370,990</u>
Federal Request	<u>\$300,000</u>
Non-Federal Amount	<u>\$70,990</u>

Budget Detail Worksheet

Note:

Please break down each of the categories (A-I) into Federal and local share.

<i>For example:</i>	Total:	Federal:	Local:
A. Personnel	\$10,000	\$7,500	\$2,500
B. Fringe	\$2,500	\$0	\$2,500
C. Travel	\$10,000	\$10,000	\$0
D. Equipment	\$0	\$0	\$0
E. Supplies	\$5,000	\$0	\$5,000
F. Construction	\$0	\$0	\$0
G. Consultants	\$20,000	\$20,000	\$0
H. Other	\$0	\$0	\$0
Total direct costs:	\$48,000	\$37,500	\$10,000
I. Indirect Costs	\$2,500	\$0	\$2,500
 TOTAL PROJECT COSTS	 \$50,000	 \$37,500	 \$12,500
 Federal Request:	 \$37,500		
Non-Federal Amount:	\$12,500		

The “Total” amount column should detail total project costs for the Drug Court Program. The “Federal” amount column should detail the applicant’s federal request which can be no more than 75 percent of the total project costs. The “Local” amount column should detail the applicant’s match which must be at least 25 percent of the total project’s costs.

Appendix E

Assurances Required of all Federal Grant Recipients

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 gives 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 on 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 has 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 non-discrimination 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 -- 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

Special Requirements of Law Referred to in Number 7 of Standard Assurances, OJP Form 4000/3 Attachment to SF-424

The applicant hereby assures and certifies compliance with the following statutory provisions of the Drug Court Grant Program authorized by Title V of the Violent Crime Control and Law Enforcement Act of 1994 (Crime Act), Public Law 103-322.

1. Assurance that all treatment programs and providers utilized in the drug court program are licensed, certified, or accredited by appropriate State government or professional agency.
2. Assurance that violent offenders, as defined by Section 2203 of the Crime Act, will be excluded from drug court programs receiving funds under this program.
3. Assurance that the grantee will actively participate in the national evaluation of the programs funded under this initiative.
4. Assurance of the intention and capability of the jurisdiction to continue the program after the conclusion of Federal funding.
5. Demonstration of a willingness and ability to participate in two technical assistance workshops for implementation grants and in other training programs sponsored by the Office of Justice Programs.
6. Funds received under this program will be used to supplement, no supplant, other Federal, State, and local funds.

Appendix F
Certifications Regarding Lobbying; Debarment,
Suspension, and Other Responsibility Matters; and
Drug-Free Workplace Requirements



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

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 sub-recipients 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

Appendix G

State Single Points of Contact

State Single Points of Contact Intergovernmental Review Process

Executive Order 12372 requires applicants from state and local units of government or other organizations providing service within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your State.

The Catalog of Federal Domestic Assistance reference for this program is number 16.586.

A current list of State SPOC's is set forth below.*

ARIZONA

Janice Dunn
Arizona State Clearinghouse
Fourteenth Floor
3800 N. Central Avenue
Phoenix, Arizona 85012

Telephone:(602) 280-1315
FAX: (602) 280-1305

ARKANSAS

Mr. Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and
Administration
Room 412
1515 W. 7th St.
Little Rock, Arkansas 72203

Telephone:(501) 682-1074
FAX: (501) 682-5206

CALIFORNIA

Bette North
Office of Criminal Justice Planning
Suite 300
1130 K Street
Sacramento, California 95814

Telephone:(916) 324-9154
FAX: (916) 324-9167

DELAWARE

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
Dover, Delaware 19903

Telephone:(302) 739-3326
FAX: (302) 739-5661

DISTRICT OF COLUMBIA

Charles Nichols
State Single Point of Contact
Office of Grants Mgmt. & Dev.
Suite 500
717 14th Street, NW.
Washington, DC 20005

Telephone:(202) 727-6551
FAX: (202) 727-1617

FLORIDA

Suzanne Traub-Metlay
Florida State Clearinghouse
Intergovernmental Affairs Policy
Unit
Executive Office of the Governor
Room 1603
The Capitol
Tallahassee, Florida 32399-0001

Telephone:(904) 488-8114
FAX: (904) 488-9005

GEORGIA

Charles H. Badger
Administrator
Georgia State Clearinghouse
Room 401J
254 Washington Street, SW.
Atlanta, Georgia 30334

Telephone:(404) 656-3855 or
(404) 656-3829
FAX: (404) 656-7938

ILLINOIS

Steve Klockenga
State Single Point of Contact
Office of the Governor
107 Stratton Building
Springfield, Illinois 62706

Telephone:(217) 782-1671
FAX: (217) 782-6620

INDIANA

Frances E. Williams
State Budget Agency
212 State House
Indianapolis, Indiana 46204

Telephone:(317) 232-2972
FAX: (317) 233-3323

* In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The Office of Management and Budget point of contact for updating this listing is: Donna Rivelli (202) 395-5090. The States not listed no longer participate in the process. These include: Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, and Washington. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will only be made upon formal notification by the State. Also, this listing is published biannually in the Catalogue of Federal Assistance.

IOWA

Steven R. McCann
Division for Community Assistance
Iowa Department of Economic
Development
200 East Grant Avenue
Des Moines, Iowa 50309

Telephone: (515) 242-4719
FAX: (515) 242-4859

KENTUCKY

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive
Frankfort, Kentucky 40601-8204

Telephone: (502) 573-2382
FAX: (502) 583-2512

MAINE

Joyce Benson
State Planning Office
State House Station #38
Augusta, Maine 04333

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United States Territories**GUAM**

Appendix H

State Agency Contacts for Drug and Alcohol Abuse

State Agency Contacts for Alcohol and Drug Abuse

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Application Checklist

As a final step before submitting your application, please use this checklist to ensure that your application is complete. Failure to include any of the following items may result in disqualification of your application.

Have you included:

- A completed and signed Application for Federal Assistance, SF 424 (Appendix C), signed by the authorized official for the applicant unit of government (i.e., the person who is authorized to enter into contracts for the unit of government)?
- A completed budget and justification as noted on the Budget Detail worksheet (Appendix D)?
- Completed and signed Statutory and Standard Assurances (Appendix E)?
- Completed and signed Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (Appendix F)?
- The required audit information (the applicant organization's fiscal year and name of designated Federal cognizant agency) in block 11 of the SF 424?

Submit the original application and **four** (4) **unbound** copies to:

**Drug Courts Program Office
Office of Justice Programs
633 Indiana Avenue, NW
4th Floor
Washington, D.C. 20531-0001
Phone: (202) 616-5001**

Applications must be received by the Drug Courts Program Office by close of business **December 2, 1996**. No extensions will be granted.

Sources of Information

For general information about drug courts, call:

Drug Courts Program Office, U.S. Department of Justice
(202) 616-5001

Drug Court Clearinghouse, American University
(202) 885-2875

U.S. Department of Justice Response Center
1-800-421-6770

National Criminal Justice Reference Service (NCJRS), Office of Justice Programs,
Department of Justice
1-800-851-3420

Recommended Reading

The following documents are the latest U.S. Department of Justice publications on drug courts and are available from the National Criminal Justice Reference Service at 1-800-851-3420.

American University Drug Court Clearinghouse and Technical Assistance Project

Summary Assessment of the Drug Court Experience, May 1996

Bureau of Justice Assistance, U.S. Department of Justice, Publications

Special Drug Courts, Program Brief, NCJ 144531

National Institute of Justice, U.S. Department of Justice, Publications

John S. Goldkamp and Doris Weiland, *Assessing the Impact of Dade County's Felony Drug Court*, NCJ 145302

The Drug Court Movement, Update, September 1995

Peter Finn and Andrea K. Newlyn, *Miami's Drug Court, A Different Approach*, NCJ 142412

John S. Goldkamp, *Issues and Practices, Justice and Treatment Innovation: The Drug Court Movement, A Working Paper of the First National Drug Court Conference*, December 1993, NCJ 149260