

# National Evaluation of the

## Safe Schools/ Healthy Students Initiative



**Solicitation • Application Instructions and Forms**

**Due Date: July 21, 1999**



*Sponsored by DOJ • Education • HHS*

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## Introduction

The U.S. Departments of Justice, Education, and Health and Human Services (Agencies) are requesting applications for a national evaluation of the Safe Schools/Healthy Students Initiative. The overarching goal of the evaluation is to document the effectiveness of collaborative community efforts to promote safe schools and provide opportunities for healthy childhood development. The evaluation will demonstrate how community collaborative efforts develop, function, and facilitate change within community institutions and within individuals. Further, the evaluation must explore each of the six individual components of the collaboration:

- School safety.
- Alcohol and other drug and violence prevention and intervention programs.
- School and community mental health preventive and treatment intervention services.
- Early childhood psychosocial and emotional development programs.
- Education reform.
- Safe school policies.

The collaborative and each of the six facets must be examined in terms of surveillance, process, and intensive outcome analyses. Applicants are encouraged to review the Safe Schools/Healthy Students Initiative Program Announcement for detailed information about the initiative. The Program Announcement is available at [www.ojjdp.ncjrs.org](http://www.ojjdp.ncjrs.org) or by calling the Juvenile Justice Clearinghouse at 800-638-8736. The period of performance for the evaluation is anticipated to be for 5 years (September 1999 to September 2004).

The Agencies will competitively award one cooperative agreement under this solicitation. Given the evaluation's purpose, the overall evaluation design is intended to carefully document both the process and the outcome aspects of the initiative. The design should encompass the formation of community collaborations, the impact of these collaborations on school safety and healthy student development, economic analyses, and surveillance of core indicators.

Applications are invited from eligible public and private agencies, organizations, institutions, and individuals. Applicants must demonstrate that they have experience in evaluating broad-based community initiatives. Private, for-profit organizations must agree to waive any profit or fee. Joint applications from two or more eligible applicants are welcome, as long as one is designated the primary applicant (for purposes of correspondence, awards, and management) and any others as coapplicants.

This *Application Package* provides eligible applicants with the information necessary to submit an application for the National Evaluation of the Safe Schools/Healthy Students Initiative.

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# Requirements

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# Requirements

## Application and Administrative Requirements

### Checklist

This checklist is provided to assist you in preparing and compiling your application package for funding. Attach a copy of this completed checklist to your application to ensure compliance with the application process and to assist in the review process.

- Table of Contents.

### Forms (signed and dated, original in blue ink)

- Standard Form 424.
- Assurances.
- Certifications.

### Project Specifications

- Project Abstract.
- Budget Detail Worksheet/Budget Narrative.
- Program Narrative.

### Appendixes

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## Recommended Steps

Applying for funds from Federal agencies can be challenging for any applicant. The following set of instructions and examples are designed to alleviate this confusion:

- Step 1: Review the National Evaluation of the Safe Schools/Healthy Students Initiative solicitation, paying special attention to the eligibility requirements and due date.
- Step 2: Read this *Application Package* from cover to cover to familiarize yourself with the application instructions and forms, paying particular attention to the required components of the application package and other format and content guidelines.
- Step 3: Prepare an application package that includes these **required** components: forms (Standard Form 424; Budget Detail Worksheet; Assurances, Certifications, and Disclosures); **project specifications** (Project Abstract, Budget Detail/Narrative Worksheet, and Program Narrative); and the **appendixes** (timeline of major milestones including project deliverables and résumés of all personnel). Original copies of forms and other attachments should be signed in blue ink. Prepare and include a Table of Contents and be sure also to use and include the checklist on page 5 of this Application Package for assistance in submitting a complete application package.
- Step 4: Review the application package to ensure that it is complete and that all required forms are signed and included.
- Step 5: Submit the original and five copies of the application package using a mail carrier or delivery service that will ensure delivery by 5 p.m. ET on July 21, 1999. The original must be marked “original” and include original signatures on the forms in blue ink.
- Step 6: Await written or oral confirmation that your application package was received and, subsequently, whether your program was selected for funding.

## General Instructions

Applications must be complete and contain all information needed for review. Applications must comply with the Application and Administrative Requirements and the Other Requirements for Review and Compliance described in this *Application Package*. Applications must include all forms in appendix A.

## Ineligible Applicants

Applications will not be accepted for review and will be returned for the following reasons:

- The applicant organization is ineligible.
- The application is received after the specified receipt date.

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- The application is incomplete.
  - The application is illegible.
  - The application exceeds the specified page limitations for the program narrative, biographical sketches, and job descriptions.
  - The application does not conform to the format instructions stated under the Applicant Information section on page 34.
  - The application is not responsive to the program guidelines.
  - The application material presented is insufficient to permit an adequate review.

### **Application Components**

A complete application comprises the following documents in the order specified:

1. **Standard Form 424.** Standard Form 424 (Rev. 4–88), officially entitled Application for Federal Assistance, must be completed in accordance with the instructions provided in appendix A of this document.
2. **Assurances, Certifications, and Disclosure.** Assurances, certifications, and disclosure forms are included in this *Application Package*. These forms must be reviewed, signed on the last page by the individual identified in Item 18a of the Standard Form 424, and submitted with the application. Failure to submit the signed assurances, certifications, and disclosures will delay any possible award.

Copies of the following forms that address assurances, certifications, and disclosures are available in appendix A:

OJP Form 4000/3 (Assurances) includes a list of assurances that govern the use of Federal funds for federally assisted projects.

OJP Form 4061/6 (Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements) commits the applicant to compliance with certification requirements.

Standard Form LLL (Disclosure of Lobbying Activities) is requested pursuant to Title 31 U.S.C. Section 1352. Filing a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, or a member of Congress in connection with a covered Federal action. **Note:** Standard Form LLL is not required if there are no lobbying activities to disclose.

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3. **Abstract.** The project abstract, limited to 200 words, highlights key points of the proposed project. The abstract should briefly present the project's goals and how the applicant intends to accomplish them.
  4. **Table of Contents.** The table of contents should identify the page number for each of the major sections of the project narrative portion of the application, in addition to each appendix.
  5. **Budget Detail Worksheet/Budget Narrative.** (**Note:** This section will not be counted toward the total page limitation for the program narrative portion of the application.)

The Budget Detail Worksheet is required in the application package to translate the proposed project into dollars. Please follow the instructions contained on this form for each cost category that you request funding. You are required to provide a line item budget with narrative to support the first project year's costs and for each subsequent year.

A sample Budget Detail Worksheet with narrative incorporated is included in appendix A to assist you. As noted on the sample, applicants can provide budget details and narrative using any format or form as long as all required elements are included. However, to ensure that the application package is complete and to assist with the screening and review process, applicants are strongly encouraged to use the provided form or the outlined format.

6. **Project Narrative.** The application's project narrative is intended to provide a comprehensive framework and description of all aspects of the proposed project. It should be written in a manner that is self-explanatory to reviewers unfamiliar with the prior related activities of the applicant. It should be succinct and well organized, should use section labels that match those provided in the table of contents, and must contain all the information necessary for reviewers to understand the proposed project.

To ensure that sufficient information is included for the application's technical merit review, the program narrative should include the following sections:

- A. Problems To Be Addressed
- B. Goals and Objectives
- C. Project Design
- D. Management and Organizational Capability
- E. Budget

A. Problems To Be Addressed

The problem to be addressed by the project should be clearly stated.

B. Goals and Objectives

The goals and objectives of the proposed project should be clearly defined, measurable, and attainable. The objectives identified should relate to measurable action steps needed to achieve the goal(s).

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### C. Project Design

Applications must address how the major evaluation activities will be carried out and present a detailed and clear design for accomplishing all project goals and objectives.

### D. Management and Organizational Capability

The project management and overall organizational capability demonstrate the applicant's capacity to successfully operate and support the project. Include in the appendix résumés of key personnel—information key to establishing an applicant's management and organizational capability. The application should include plans for continuous self-assessment to keep the Interagency Evaluation Management Team informed of progress and results.

### E. Budget

Budgeted costs are reasonable, allowable, and cost effective for the proposed activities.

## 8. **Appendixes.** (Note: The appendixes do not count toward the total page limitations that apply to the program narrative.)

The appendixes *must not* be used to extend or replace any of the required sections of the application's program narrative portion. Include in the appendixes a timeline of major milestones and résumés of all personnel. Appendixes must be clearly labeled and all pages must be numbered continuing in sequence from the last page of the program narrative.

## **Other Requirements For Review and Compliance**

### **Grant Funds Must Supplement and Not Supplant**

Grant funds may not be used to replace State or local funds (or, if applicable, funds provided by the Bureau of Indian Affairs) that would, in the absence of Federal aid, be available or forthcoming for law enforcement. Instead, grant funds must be used to increase the total amount of such other funds used for law enforcement.

A grant recipient may not use Federal grant funds to defray any costs that the recipient already is obligated to pay. For example, if a grantee, prior to applying to participate in the grant program, had committed to purchase 10 new computers for crime analysis, then the grantee must purchase those 10 computers in addition to any computers requested for the grant program. Funds currently allocated to purchase office equipment may not be reallocated to other purposes nor refunded, should a grant be made. Non-Federal funds for such equipment must remain available for and devoted to that purpose, with grant funds serving as a supplement to those non-Federal funds.

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The possibility of supplanting will be the subject of careful application review, possible pre-award review, post-award monitoring and audit of any finding. Any supplanting of non-Federal funds with grants is a ground for potential suspension or termination of grant funding, recovery of funds already provided, and other civil or criminal sanctions.

### **State Single Points of Contact**

Executive Order 12372 requires applicants from State and local units of government, or other organizations providing services 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. (Indian Tribal governments are exempt from this review.) The SPOC's are listed in appendix B. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in block 16 on SF 424. If the SPOC requires a copy of the application, the applicant should provide that copy and include the original as part of the application package submitted under this Initiative.

### **Application Peer Review Process**

Submitted applications will be reviewed for technical merit in accordance with specific review procedures established for this evaluation. Applicants that meet all eligibility criteria and submission requirements will be evaluated and rated according to the review criteria outlined below by an Interagency Peer Review Panel that represents the agencies collaborating in this Initiative.

It is the policy of the Agencies participating in this interagency national evaluation to use peer review to assess all competitive assistance applications and, on an optional basis, applications for continued funding beyond a program's original project period and noncompetitive awards to uniquely qualified applicants.

Peer review recommendations are advisory and do not bind the Administrators of the participating Agencies to make the recommended decision. However, the Administrators will give full consideration to peer review recommendations in selecting projects for awards.

In special circumstances, a grant application may require a second review. When a second review is required, the Administrators will determine whether the second review panel will include new reviewers, the original reviewers, or a combination of both. Circumstances that might necessitate a second review include:

- During the course of a review, prejudiced, misleading, or false information was presented to or used by the peer reviewers.
- A procedural error made the review process inconsistent with the solicitation, specific instructions to the applicants, or the competition and peer review regulations of the Agencies participating in this interagency national evaluation.

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**Number of Peer Reviewers on Each Panel.** A minimum of three peer reviewers will review each application.

**Peer Reviewer Approval.** The Administrators of the Agencies approve qualified consultants to serve as peer reviewers for each application or group of applications.

**Consultant Pool.** Peer reviewers shall be selected from a pool of qualified consultants proposed by each Agency. Any individual with requisite expertise may be selected from the pool with approval of the Agency Administrators. Consultants are subcontractors employed by the Agencies. Consultant experts are continually added to the pool to maintain a wide range of experience; background; and ethnic, gender, and geographic representation.

An internal review of applications will be conducted by staff of the participating Agencies. This review will determine if the application complies with minimum program and statutory requirements. Applications that do not meet basic requirements will not be forwarded to a Peer Review Panel. Applicants whose proposals are rejected during the first internal review stage will be notified in writing of the reasons for the rejection. Examples of reasons for first-stage rejection may include, but are not limited to, applications proposing activities other than those called for in the solicitation and applications from agencies or organizations that do not possess the qualifications specified in the solicitation.

**Selection Criteria.** All Safe Schools/Healthy Students National Evaluation applications will be rated, at a minimum, on the extent to which they meet the general selection criteria listed below:

- The problem to be addressed by the project is clearly stated.
- The objectives of the proposed project are clearly defined and the outcomes are measurable.
- The project design is sound and contains program elements directly linked to the achievement of project objectives.
- The project management and overall organizational capability demonstrate the applicant's capacity to successfully operate and support the project.
- Budgeted costs are reasonable, allowable, and cost effective for the proposed activities.
- These criteria also can be enhanced to more clearly define the program requirements. The assigned points for each criterion are specified in the Safe Schools/Healthy Students National Evaluation solicitation.

### **Government Audit Requirement**

Audits of institutions of higher education and other nonprofit institutions must comply with the organizational audit requirements of OMB circular A-133, which states that recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an

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organizationwide financial and compliance audit report within 13 months after the close of each fiscal year during the term of the award to their cognizant Federal agency.

State and local units of governments must comply with the organizational audit requirements of OMB circular A-128, which states that recipients who receive more than \$25,000 of Federal funds during their fiscal year are required to submit an audit report to their cognizant Federal agency. Recipients who receive less than \$25,000 of Federal funds are exempt from the audit requirements.

## **Civil Rights Requirements**

### **Prohibition of Discrimination for Recipients of Federal Funds**

No person in any State shall on the grounds of race, color, religion, national origin, sex, disability, or age be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in connection with any program or activity receiving Federal financial assistance, pursuant to the following statutes and regulations: Section 809(c), Omnibus Crime Control and Safe Streets Act of 1978, as amended, 42 U.S.C. 3789d; Section 292(b) of the JJDP Act and U.S. Department of Justice nondiscrimination regulations, 28 CFR Part 42, Subparts C, D, E, and G; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990) and U.S. Department of Justice regulations on disability discrimination 28 CFR Part 35 and Part 39; Title IX of the Education Amendments of 1972; and the Age Discrimination Act of 1985.

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, disability, or age against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.

### **Inclusion of Adequate Representation of Girls and Women and Racial/Ethnic Minority Populations**

The Agencies urge applicants to include all populations with cultural- and gender-specific needs, including sexual orientation, especially racial/ethnic minority groups and girls and women in the target population if feasible and appropriate.

In general, the composition of the target population should reflect the needs and demographics of the selected target community. Applicants should describe the composition of the project's target population with respect to race/ethnicity and gender and ensure that the project's design, intervention strategies, and staffing are sensitive, appropriate, and competent to address the special requirements of racial/ethnic minority groups and/or girls and women included in the target population.

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When a proposal excludes a racial/ethnic minority group(s) and/or girls and women in the community from the target population, a justification for this action must be included in the application.

In general, when evaluating projects using a common intervention with populations differing by race/ethnicity, gender, or developmental age group, it is important to ascertain whether the intervention is differentially effective for these populations. Such statistical analyses should be done whenever the size of the subpopulation(s) can support such analysis.

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.

### **Suspension or Termination of Funding**

The Agencies may suspend (in whole or in part), terminate funding for, or impose other sanctions on a grantee for the following reasons:

- Failure to substantially comply with the requirements or statutory objectives of the program guidelines issued thereunder, or other provisions of Federal law.
- Failure to make satisfactory progress toward the goals or strategies set forth in the application.
- Failure to adhere to grant agreement requirements or special conditions.
- Proposal of substantial plan changes to the extent that, if originally submitted, would have resulted in the application not being selected for funding.
- Failure to submit reports.
- Filing of a false certification in the application or other report or document.
- Other good cause shown.

Prior to the imposition of sanctions, the Agencies will provide reasonable notice to the grantee of its intent to impose sanctions and attempt informally to resolve the problem.

### **Role of the Interagency Evaluation Management Team**

Substantive involvement from the Interagency Evaluation Management Team (IEMT) will be required to monitor the progress of the grantee toward meeting the goals of the national evaluation. The IEMT will be involved in all aspects of the implementation of this cooperative agreement including membership in all workgroups and administrative groups that significantly affect the implementation of the national evaluation.

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## **Monitoring and Reporting Requirements**

The grantee will be required to submit semi-annual progress reports and quarterly financial status reports. In addition, grantees will be expected to participate in the IEMT's monitoring processes, which may include telephone and/or site reviews concerning financial administration of the grant and the progress toward achieving the grantee's plan.

## **Confidentiality and Participant Protection**

Applicants and awardees are expected to develop and implement appropriate procedures to address confidentiality and other ethical issues pertinent to the protection of participants in proposed projects. Confidentiality is particularly important in projects because of the illegality of drug use and the potential for stigmatization of participants in drug abuse treatment, treatment of mental illness, and the like. If participants could be exposed to any risk of problems through any failure of the project to keep information about them confidential, the applicant must develop procedures to prevent these risks and describe them in the application.

Applicants and awardees must maintain the confidentiality of alcohol and drug abuse treatment client data in accordance with 42 CFR Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records. These regulations are applicable to information about alcohol and other drug abuse patients obtained by a federally assisted program, as defined in the regulations. Projects that offer treatment for mental illness must maintain confidentiality in accordance with professional standards of practice and applicable law.

Other relevant ethical issues, such as equitable selection of participants and adequacy of care, must also be addressed in the project plans and application. If applicable, project staff must meet State and local licensure and professional accreditation standards in addition to normal professional standards of care and practice. Project directors have direct and continuing responsibility to ensure that participant protection is adequate.

## **Promoting Nonuse of Tobacco**

All grant and contract recipients are strongly encouraged to provide a smoke-free workplace and to promote the nonuse of all tobacco products. In addition, the Pro-Children Act of 1994, Public Law 103-227 prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, daycare, healthcare, or early childhood development services are provided to children.

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# Solicitation

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# National Evaluation of the Safe Schools/Healthy Students Initiative

## Purpose

The Safe Schools/Healthy Students Interagency Evaluation Management Team (IEMT) seeks qualified applicants to assist in conducting a national evaluation of the Safe Schools/Healthy Students Initiative. The IEMT comprises representatives of the U.S. Departments of Education, Health and Human Services, and Justice (Agencies) and will provide oversight for the national evaluation. The successful applicant will conduct cross-site process and outcome evaluations, monitor a core set of indicators (surveillance), and provide evaluation support to grantees for local evaluation activities.

## Description of the Safe Schools/Healthy Students Initiative

The Agencies are collaborating on the Initiative to provide students, schools, and communities the benefit of enhanced and comprehensive educational, mental health, social service, law enforcement, and, as appropriate, juvenile justice system services and activities that can help promote healthy childhood development and prevent violence and drug abuse. These services and activities will be designed to ensure both the development by young people of the social skills and emotional resilience necessary to avoid drug use and violent behavior and the creation of safe, disciplined, and drug-free schools. The Initiative is based on evidence that a comprehensive communitywide approach is an effective way to promote healthy childhood development and address the problems of school violence and drug abuse. The population of concern for this program is preschool and school-age children and adolescents and their families who are at risk of violence as perpetrators, victims, or witnesses.

Awards will be made to approximately 50 sites designated by their States as local educational agencies (LEA's). Awards will range from up to \$3 million per year for urban school districts, up to \$2 million per year for suburban school districts, and up to \$1 million per year for rural school districts and tribal schools designated as LEA's.

## Background

### The Problem

More than a generation of research has shown that violent outcomes for children, families, and communities are often the result of complex risk processes. Antisocial behaviors of children and adolescents at highest risk arise from the interaction of multiple environmental and individual antecedents that may begin early in the child's life. Included in these antecedents are (1) stressful family environments, (2) lack of parenting skills in the family, (3) alienation between family and

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school and other community institutions, (4) individual characteristics of the child, and (5) community characteristics (e.g., neighborhood disorganization, lack of resources, dangerous physical environments).

The interaction of these factors, among others, may result in the onset of aggressive behaviors, behavior problems at home, and the continuation and escalation of problems with peers and teachers when the child reaches school age. Unless interrupted (or prevented), antisocial behavior can persist throughout the school career and into adulthood. Risk may intensify in middle school and through adolescence, as the physical, cognitive, social, and emotional changes of puberty and school transitions occur. Risk may be exacerbated by exposure to negative peer pressure and environments in which few protective factors are available. Children and youth exposed to these risks are more likely to engage in interpersonal violence and other antisocial behavior, substance use and abuse, and risky sexual behaviors leading to increased risk for human immunodeficiency virus (HIV) and other sexually transmitted diseases and teen pregnancy; to be depressed and/or anxious; to exhibit suicidal behaviors; and to fail academically.

The complexity of the processes that put children and youth at risk for violent and self-destructive outcomes makes intervention and treatment challenging. The Initiative is based on the premise that to prevent school violence, a collaborative effort that takes into account the complex interaction of environmental and individual risk factors must be put in place. This approach is new and complicated; the process of evaluating the initiative will be challenging.

## **Approach**

The Initiative draws on the best practices of the education, justice, social service, and mental health systems to promote a comprehensive, integrated framework for use by communities in addressing school violence. This comprehensive framework includes:

- Establishing school-community partnerships.
- Identifying and measuring the school violence problem.
- Setting measurable goals and objectives.
- Identifying appropriate research-based programs and strategies.
- Implementing programs and strategies in an integrated fashion.
- Evaluating the outcomes of programs and strategies.
- Revising the comprehensive plan on the basis of evaluation information.

The Initiative seeks to ensure that grantees develop and implement comprehensive strategic plans to prevent violence and support healthy development. Plans must be developed by communitywide partnerships and must include attention to six interrelated elements:

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- School safety.
  - Alcohol and other drug and violence prevention and intervention programs.
  - School and community mental health preventive and treatment intervention services.
  - Early childhood psychosocial and emotional development programs.
  - Education reform.
  - Safe school policies.

These elements must be incorporated in an integrated fashion such that the whole is greater than the sum of its parts. Evaluating the processes and outcomes of this kind of complex initiative presents special challenges. Although all sites will share some common elements and indicators, every site will design and implement different combinations of evidence-based programs/interventions. Likewise, the precise combination of community partners, and their collaborative relationships, will differ across sites. Thoughtful, innovative approaches, carried out in conjunction with local evaluators, will be needed to capture both the unique characteristics and the generalizable outcomes of these efforts.

This Initiative provides a unique opportunity for learning how community collaborative efforts develop, function, and facilitate change within community institutions and within individuals. Capturing this information in a meaningful and systematic way is a complex task. For instance, by definition the unit of analysis is not the individual, but the community. Community change, not just individual change, is an intervention goal. Examples of additional challenges include (1) the inability to randomly assign entire communities, (2) difficulty in establishing causal connections because of the complex and fluid nature of community interventions, and (3) the need to accurately capture critical community events not directly related to the intervention. The evaluation design must address these (and other) challenges in order to answer the critical question: What was the impact of the Initiative on school crime and violence and on the provision of programs and services leading to healthy childhood development?

## **Local Evaluation**

All sites are required to participate in a national evaluation that will collect and analyze data on a common, cross-site set of core indicators. Each site will also perform site-specific evaluations to document and assess program development and implementation at the local level, including how well the program(s) and/or services are implemented, how closely the implementation matches the comprehensive communitywide strategy's goals, and how much of the program(s) and/or services participants actually receive. In addition, a subset of sites will be selected to participate in intensive, detailed analyses that can be used to inform policy, science, and programs at both the local and national levels.

The primary responsibilities of the local evaluator will include, but are not limited to, the following:

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- ❑ Help the site strategically plan activities that will achieve program goals and objectives.
  - ❑ Work with the national evaluator to ensure the collection of high-quality core data.
  - ❑ Design and implement a process evaluation of the local program with assistance from the national evaluator to show results achieved, as appropriate. The purpose of the process evaluation is to describe how program activities were implemented and whether goals and objectives were met. The local evaluator is required to share implementation data and reports with the national evaluator.
  - ❑ Provide the site with data that can be used to make adjustments in service delivery and improve the overall program.
  - ❑ Design and conduct a site-specific outcome evaluation to determine whether an intervention is producing its intended effects.

## **Safe Schools/Healthy Students National Evaluation Strategy**

The IEMT will competitively award one cooperative agreement under this solicitation. Given the purpose of the evaluation, the overall evaluation design is intended to carefully document both the process and the outcome aspects of the initiative. The design should encompass the formation of the community collaboration, the impact of these collaborations on school safety and healthy student development, economic analyses, and surveillance of core indicators.

### **Goals and Objectives**

The goals of the Initiative are as follows: (1) to help students develop the skills and emotional resilience necessary to promote positive mental health, engage in prosocial behavior, and prevent violent behavior and drug use; (2) to ensure that all students that attend the targeted schools are able to learn in a safe, disciplined, and drug-free environment; and (3) to help develop an infrastructure that will institutionalize and sustain integrated services after Federal funding has ended.

Given this mandate, the evaluation design must address the process and development of community collaborations to increase school safety and healthy child and youth development. Further, the evaluation must explore each of the six individual components of the collaboration: school safety, alcohol and other drug and violence prevention and intervention programs, school and community mental health preventive and treatment intervention services, early childhood psychosocial and emotional development programs, education reform, and safe school policies. The collaborative and each of the six facets must be examined in terms of surveillance (of core indicators), process, and intensive outcome analyses.

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## **Collaboration: Surveillance, Process, and Outcome Measures**

The overarching goal of the evaluation is to document the effectiveness of collaborative community efforts to promote safe schools and provide opportunities for healthy childhood development. Measures that address this question might include surveillance to determine the prevalence of various indicators of collaboration/integration of services (e.g., interagency agreements, joint planning activities, and jointly funded positions) and other mechanisms to encourage collaboration as well as a description of the frequency, nature, and intensity of cross-agency communications. Process measures might include an examination of how new and existing services have been linked and integrated; what changes have occurred in communication patterns; what provisions have been made for integrated, cross-agency professional development; and what kinds of modifications have been made to management information systems (MIS), management structure, agency policies, and/or philosophies. Outcome measures might include analyses to ascertain if the integrated collaboration is producing its intended effects and if enhanced collaboration results in changes in outcomes over and above the contributions of individual services, whether there were added costs or savings associated with achieving integrated collaboration, and whether agencies were able to share costs/resources.

## **Safe Schools/Healthy Students' Six Elements: Surveillance, Process, and Outcome Measures**

In addition to examining the collaborative's impact, the evaluation design must include plans to explore the contribution of the six components of the collaborative. The following are examples of possible research questions for each of the six individual elements. This list is not meant to be exhaustive.

Examples of **surveillance measures** include:

- ❑ **School Safety.** Existence of partnerships with law enforcement, such as the number of personnel devoted to working with the target population; physical plan characteristics; presence or absence of random inspections; use of identification cards; and/or use of security devices.
- ❑ **Alcohol and Other Drug and Violence Prevention and Intervention.** Incidence and prevalence of alcohol and drug use; rates of interpersonal injury, weapon carrying, and gang-related crime in elementary, junior high, and senior high schools and the community; number of truant students; number of suspensions; and existence of programs to prevent or intervene in substance use/abuse and violent behaviors.
- ❑ **School and Community Mental Health Preventive and Treatment Intervention.** Incidence and prevalence of mental disorders (e.g., conduct and related problems, depression, anxiety disorders) among elementary, junior high, and senior high school children and youth; presence of screening, assessment, and referral mechanisms for mental disorders in the school setting; and presence of school-based mental health services for high-risk children and families.

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- ❑ **Early Childhood Psychosocial and Emotional Development.** Incidence of adverse mental health outcomes (e.g., conduct problems and other antisocial behaviors, depression, anxiety disorders) among young children; and number and types of services for early childhood psychosocial and emotional development (e.g., prenatal care, nurse home visitation programs, accredited infant and early childhood education programs).
  - ❑ **Education Reform.** Levels of academic achievement in core subjects for selected grades (e.g., standardized test scores); average class size (ratio of students to classroom teachers); and number, type, and capacity of extended-day and summer programs.
  - ❑ **Safe School Policies.** Presence of discipline codes, penalties for infractions, zero-tolerance for drugs and weapons on school premises, and policies and programs that address truancy.

Examples of **process measures** include:

- ❑ **School Safety.** Nature of the relationships among teachers, students, school personnel, parents, and school resource officers.
- ❑ **Alcohol and Other Drug and Violence Prevention and Intervention.** Implementation of new programs and services that are integrated into other new or existing programs and services; and changes in roles and responsibilities, communication patterns, referrals for treatment, and data sharing.
- ❑ **School and Community Mental Health Preventive and Treatment Intervention.** Implementation of preventive and treatment intervention programs and/or services—access, fidelity, dosage.
- ❑ **Early Childhood Psychosocial and Emotional Development.** Implementation of preventive intervention programs and/or services—access, fidelity, dosage; processes used to coordinate services and communicate relevant information across key transition points between early childhood settings (e.g., between preschool and school entry); and nature of professional development programs related to early childhood psychosocial and emotional development that are available for early childhood teachers and other practitioners.
- ❑ **Education Reform.** Implementation of education reform efforts (e.g., professional development for teachers, high standards for all students); use of research-based approaches; and fidelity to research/models.
- ❑ **Safe School Policies.** Development and implementation of policy elements addressing truancy, discipline, prevention education/intervention, violence, alcohol and other drug use, sexual harassment, hate crime, and bullying. (**Note:** Participants in the development of policies should be identified.)

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Examples of **outcomes, including economic measures**, include:

- ❑ **School Safety.** Impact of changes to school’s physical design on crime, fear, and quality of life; cost of security measures versus cost of crime and violence; and indirect economic costs (e.g., maintenance of security measures, waiting in line at metal detectors).
- ❑ **Alcohol and Other Drug and Violence Prevention and Intervention.** Impacts of new programs or new systems for prevention, treatment, and referral for substance use/abuse or violent behavior; reductions in substance use/abuse and violence, such as rates of interpersonal injury, weapon carrying, gang-related crime, truancy, suspensions, and juvenile arrest rates; and cost of implementing and maintaining programs and services to prevent and reduce these problem behaviors in elementary, junior high, and senior high schools and in neighborhoods.
- ❑ **School and Community Mental Health Preventive and Treatment Intervention.** Impact of preventive services—reduced incidence of adverse mental health outcomes in students, reduction in need for Individual Education Plans (IEP’s), and reduction in mental health services referrals; impact of treatment services—reduced prevalence of adverse mental health outcomes in students, attenuation of severity of disorder, and increased functioning; relative costs of risk and prevalence reduction through appropriate mental health screening, assessment, referral, and treatment services compared with failure to implement preventive and treatment services (e.g., IEP’s, no mental health screening or referral programs).
- ❑ **Early Childhood Psychosocial and Emotional Development.** Impact of preventive services—prevalence of family conflict, abuse, and neglect; incidence of adverse mental health outcomes in children (e.g., conduct problems, antisocial behaviors, affective/anxiety disorders); reduction in IEP’s; reduction in mental health services referrals; impact of early childhood services on children’s successful academic and social transition to kindergarten and first grade; relative costs or risk reduction through prenatal and early childhood preventive services compared with costs associated with failure to reduce early risk (e.g., costs of poor prenatal care, IEP’s, grade retentions, mental health service referrals).
- ❑ **Education Reform.** Impact of education reform efforts on school climate, orderliness, and safety; impact of other components of the initiative (e.g., early childhood education, safe schools policies) on students’ academic achievement; and costs of implementing education reform efforts.
- ❑ **Safe School Policies.** Development and/or implementation of more effective safe school policies; reductions in truancy, discipline problems, and violent incidents; and costs, benefits, and utility associated with each safe schools policy element.

## **Roles and Responsibilities of the National Evaluator**

The evaluation of the Initiative will be conducted using a national evaluator in collaboration with local evaluators. The success of this evaluation depends largely on the relationship between the local evaluators and the national evaluator. While the national evaluator will be solely responsible

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for certain evaluation activities, many activities will be executed jointly. The national evaluator will be expected to:

- Document and analyze the prevalence and incidence of a set of core indicators across all program sites (surveillance).
- Provide technical assistance to each site as needed to assist the site in describing how the Initiative is operating. These data will also be used for ongoing initiative improvement and for preparation of a report summarizing cross-cutting themes.
- Design and conduct an intensive evaluation with a subset of the approximately 50 Safe School sites, including collection and analysis of relevant process data.
- Conduct an economic evaluation—a cost benefit/cost offset analysis in the subset of sites.
- Prepare reports on evaluation results for publication.

The national evaluator will have primary responsibility for the following evaluation activities within and across sites:

- Develop a set of core indicators and outcomes in collaboration with the IEMT for which data will be collected from all sites.
- Develop a common protocol to be used at each site for collection of core data.
- Create and implement the data collection and management center for cross-site core data.
- Provide timely consultation, training, and materials to sites, as appropriate, to help each site achieve its specific objectives.
- In collaboration with each site, develop and collect data on site-specific variables that can be used by sites as part of their local evaluation.
- Provide information on site-specific core data to each site in a timely manner.
- Design, coordinate, and oversee detailed, intensive analyses, including economic analyses, at selected sites. Findings from these analyses will be used to inform policy, science, and programs at the national level.

The primary responsibility of the national evaluator is to provide the IEMT with new knowledge to inform science, policy, and programs, with an emphasis on outcomes in the educational, mental health, and juvenile justice arenas. The primary responsibility of the local evaluator is to provide the Safe Schools/Healthy Students education/mental health/law enforcement partnership with consultation and information on access, fidelity, and intensity of program delivery, with an emphasis on process, to help the site achieve its specific objectives. The national and local evaluators will collaborate and coordinate their activities as they work to meet their responsibilities to their primary constituents.

The relationship between the national evaluator and the local evaluators should be collaborative and supportive. The national evaluator will provide guidance and leadership in key areas of the overall evaluation effort and the local evaluator will comply with the requirements of the IEMT and the national evaluator. Specifically, local evaluators must participate in surveillance and other activities in accordance with the procedures established by the national evaluator. When appropriate, local evaluators will be compensated for data collection work relating to the national evaluation. The table below outlines the relative responsibilities of the national and local evaluators within each major area of evaluation activity.

**Surveillance of Core Indicators (Conducted in All Sites)**

National Evaluator Responsibilities	Local Evaluator Responsibilities
<ol style="list-style-type: none"> <li>1. Assist the IEMT in identifying core indicators for each element.</li> <li>2. Develop common protocol for collection of core indicator data across sites, including standard demographic data.</li> <li>3. Develop Office of Management and Budget (OMB) clearance package.</li> <li>4. Work with sites as needed to develop methodology and protocol for collection of site-specific, noncore data.</li> <li>5. Collect common core indicator data.</li> <li>6. Analyze core indicator data and write reports for IEMT.</li> <li>7. Provide timely information to each site on site-specific core data.</li> <li>8. Prepare public use data sets and code books.</li> </ol>	<ol style="list-style-type: none"> <li>1. Coordinate local data collection activities with core indicator data collection.</li> <li>2. Assist national evaluator in obtaining local clearances and collecting data.</li> <li>3. Work with national evaluator as needed to develop methodology and protocol for collection of site-specific, noncore data.</li> <li>4. Provide local-level consultation and clarification to national evaluator as needed for core data analyses.</li> </ol>

**Process Evaluation (Conducted in All Sites)**

National Evaluator Responsibilities	Local Evaluator Responsibilities
<ol style="list-style-type: none"> <li>1. As requested and as needed by the sites, the national evaluator will: <ul style="list-style-type: none"> <li>• Provide sites with sample research protocols.</li> <li>• Provide sites with sample questionnaires, forms, and other materials.</li> <li>• Provide local staff with information on collecting, analyzing, and using data.</li> <li>• Convene local evaluators for technical assistance.</li> <li>• Assist sites in effectively and efficiently using information (e.g., records, data).</li> </ul> </li> <li>2. As needed, develop OMB clearance package.</li> <li>3. Aggregate process data across sites.</li> <li>4. Write a report summarizing cross-cutting themes.</li> </ol>	<ol style="list-style-type: none"> <li>1. As needed, collaborate with national evaluator to develop and collect process data.</li> <li>2. Develop a process evaluation plan.</li> <li>3. Develop data collection methodology.</li> <li>4. Collect all data.</li> <li>5. Analyze data.</li> <li>6. Use data to continually improve and focus programs.</li> <li>7. Provide process data to national evaluator for cross-site summary report.</li> </ol>

## Intensive Evaluation (Conducted in Selected Sites)

National Evaluator Responsibilities	Local Evaluator Responsibilities
<ol style="list-style-type: none"> <li>1. In coordination with the IEMT, select sites to be included in the intensive evaluation.</li> <li>2. Collaborate with selected sites and the IEMT in developing specific research questions.</li> <li>3. With the IEMT, determine strongest and most feasible controlled design to address research questions.</li> <li>4. Develop common protocol to collect process and outcome data, including economic data in selected sites.</li> <li>5. Develop OMB clearance package.</li> <li>6. Collect data in a standardized manner.</li> <li>7. Coordinate and monitor all collection and management (e.g., cleaning, aggregating) of intensive data.</li> <li>8. Analyze data and write report(s).</li> <li>9. Prepare public use data sets and code books.</li> </ol>	<ol style="list-style-type: none"> <li>1. Collaborate with the IEMT and national evaluator in developing research questions and other materials.</li> <li>2. Coordinate local data collection activities with national evaluator.</li> <li>3. Assist national evaluator in obtaining local clearances and collecting data in a timely fashion.</li> <li>4. Provide local-level consultation and clarification to national evaluator as needed for data analyses.</li> <li>5. Collaborate in analyzing data and writing reports as needed.</li> </ol>

## Products

The national evaluator will be responsible for developing the products listed below. All products will be submitted to the IEMT for review and approval prior to the development of the final product(s).

## Evaluation Plans/Designs

The grantee will submit an updated version of the list of research questions that it submitted for review in its application. The list will indicate the category or categories of evaluation activities (surveillance of indicators, process evaluation, intensive outcome evaluation) that will be used to address each of the questions. The list will include questions that relate to each of the six critical elements and questions that address issues that cut across these areas.

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The grantee will submit a list of proposed expert panel members to serve in an advisory capacity for the evaluation. The grantee will convene meetings of the panel, with participation by the IEMT, at appropriate points throughout the study and will also arrange for review of draft study products by panel members.

The grantee will submit a literature review for each of the six critical elements. At the same time, the grantee will also submit a conceptual framework depicting the theoretical basis for the three major categories of evaluation activities.

The grantee will submit a list of indicators for the surveillance portion of the evaluation. The list will indicate the research question(s) that each indicator addresses and will specify how each indicator will be operationally defined. The grantee will also submit plans specifying how the grantee intends to collect, clean, manage, and analyze the data on the indicators; coordinate with local evaluators at each site; obtain all necessary local clearances; and maintain confidentiality, particularly with regard to student data.

The grantee will submit a data collection plan for the process study. The plan will specify what information is to be collected at each site and which data collection methods the grantee intends to use. At the same time, the grantee will also submit a data analysis plan for the process study, indicating how the grantee intends to clean, manage, analyze, and report on the data. The grantee will also specify how it will coordinate with local evaluators at each site, obtain all necessary local clearances, and maintain confidentiality, particularly with regard to student data.

The grantee will submit a site selection plan for the intensive outcome evaluation that will specify how the grantee intends to select the sites, including comparison sites, for the study; recruit the comparison sites; and ensure their continued participation throughout the study. The grantee will then submit a proposed list of sites for the study.

The grantee will convene at least one meeting of local evaluators from intensive study sites, with participation by the IEMT, to discuss issues related to process and outcome (including economic) evaluation at these sites.

The grantee will submit a data collection plan for the intensive study. The plan will specify what information is to be collected at each site (that is, outcome data, including economic data; sufficient process data to provide context for the outcome data; and any other data the grantee considers relevant). The plan will also specify what data collection methods the grantee intends to use, how the grantee will coordinate with each site (that is, with the local evaluators at grantee sites and with appropriate personnel at comparison sites), how the grantee will obtain all necessary local clearances, and how the grantee will maintain confidentiality, particularly with regard to student data. At the same time, the grantee will also submit a data analysis plan for the intensive study, indicating how the grantee intends to clean, manage, analyze, and report on the data.

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## **Instruments and OMB Clearance Packages**

The grantee will submit all data collection instruments called for in the data collection plans for the indicator surveillance, the process study, and the intensive outcome study, including the common protocol(s).

The grantee also will submit OMB clearance packages for the indicator surveillance, the process study, and the intensive outcome study and will make changes to the clearance packages as appropriate to respond to OMB comments.

## **Reports**

Reports of surveillance, process, and outcome measures will be used to satisfy the requirements of the Government Performance and Results Act.

**Surveillance Reports.** The grantee will submit reports for the indicator surveillance as follows: an annual interim report providing data for all sites for each year of the study and a final report summarizing all the data collected throughout the study.

**Process Reports.** The grantee will submit reports on aggregated process data for all sites included in the study as follows: an annual interim report providing process data for each year of the study and a final report summarizing all the process data collected for all sites throughout the study, with a focus on cross-cutting themes.

**Intensive Study Reports.** The grantee will submit reports for the intensive study as follows: an annual interim report providing data for each year of the study from the selected sites and a final report summarizing all the data collected throughout the study.

**Other Reports.** The grantee will use data from the process and intensive studies to prepare a nontechnical report intended for a general audience of practitioners and the public, with a theme of “What We’ve Learned.” The report should inform practitioners and other concerned individuals about lessons derived from the evaluation (by the grantee and by various sites) about effective implementation; obstacles encountered and overcome; and the challenges, impact, and benefits of a coordinated and integrated communitywide approach to addressing issues of school safety and healthy development.

The grantee will cooperate with the U.S. Departments of Education and Justice in the production of the *Annual Report on School Safety* by providing information profiles, updated on an annual basis, on the progress of selected grantee sites in terms of surveillance indicators, implementation, and outcomes.

The grantee will cooperate with U.S. Departments of Education, Health and Human Services, and Justice in the production of Research in Brief reports or similar short reports summarizing major findings from the study or specific topics of interest.

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## **Public Use Data Sets**

The grantee will submit a plan for making core indicator data for all sites, process data for all sites, and intensive data for selected sites available for public use in a timely fashion (no more than 3 years after data have been collected and cleaned). The plan will specify measures to be taken to protect the privacy and confidentiality of all individual participants in the Initiative target population and, to the extent feasible, all other participants (e.g., school administrators, faculty, mental health and law enforcement officials). The grantee will submit appropriate technical data documentation for the public user, including code books. The grantee will submit a plan for dissemination of public use data sets and documentation, including how inquiries for technical assistance from potential public users will be addressed.

## **Eligibility Requirements**

The IEMT invites applications from public and private agencies, organizations, institutions, or individuals. Applicants must demonstrate that they have experience in evaluating broad-based community initiatives. Private, for-profit organizations must agree to waive any profit or fee. Joint applications from two or more eligible applicants are welcome, as long as one is designated the primary applicant for purposes of correspondence, awards, and management and any others as coapplicants.

## **Review Criteria**

Applicants will be evaluated and rated by a peer review panel according to the review criteria outlined below.

### **Understanding of the Problem (20 points)**

The applicant must demonstrate a clear understanding of comprehensive, communitywide strategies to create safe and drug-free schools and to promote healthy childhood development. Applicants should discuss how to apply state-of-the-art evaluation methods and models—including collection of surveillance data and economic analyses—to achieve evaluation objectives. Also, applicants should discuss any anticipated methodological challenges associated with this type of evaluation and describe proposed strategies for addressing these challenges. A thorough understanding of theory-driven evaluation, school-community collaboration to effect systems change and service delivery improvement, and rigorous cross-site outcome research on a national level is essential.

### **Goals and Objectives (10 points)**

Applicants must specify goals and measurable objectives for coordinating and implementing this project consistent with the Initiative's goals and objectives. These should be guided by the requirements in this solicitation and should be clearly defined and attainable. The extent to which the proposed evaluation strategy will meet the established goals and objectives must be addressed.

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## **Project Design (35 points)**

In response to this solicitation, applicants must present a detailed and clear design for accomplishing all project goals and objectives (year 1–year 5). The applicant must include a timetable/workplan and detailed budget for accomplishing the goals and objectives and delivering the required products.

In presenting the project design, applicants must describe how they will carry out the major evaluation activities—surveillance, process evaluation, and intensive outcome (including economic) evaluation—and outline the research questions to be answered through each activity. More specifically, applicants must present a plan for the collection of a core set of surveillance data from all sites, including an indication of what this core set might include and a draft protocol to be used for data collection across all sites. Applicants must describe how they will work with the sites, as requested and as needed, to carry out local process evaluations.

With regard to the intensive outcome evaluation, applicants must present (1) a discussion of the educational, mental health, juvenile justice, and economic outcomes to be measured; (2) research design options, including appropriate comparison or control groups; (3) a clear plan for the selection of the subsample of sites; and (4) a discussion of proposed instrumentation. The overall project design must include both an evaluation of the comprehensive, integrated initiative as a whole and an assessment of all six program components implemented by the sites (see the Safe Schools/Healthy Students Initiative Program Announcement).

Applicants must describe how they plan to work with local evaluators to carry out all major types of evaluation activity. It is imperative that the proposed design foster a collaborative and supportive relationship among local site personnel, local evaluators, and the national evaluator. Finally, applicants must describe procedures for ensuring the confidentiality of all subjects.

## **Management and Organizational Capability (25 points)**

The application must include a discussion of how the applicant will coordinate and manage this evaluation to achieve evaluation goals and objectives. The management plan should address how the evaluation activities will be coordinated with the local evaluators and the IEMT. The applicant's management structure and staffing must be adequate and appropriate for the successful implementation of the project and must contain appropriate expertise in all major evaluation areas. The applicant must identify responsible individuals and key consultants, their primary areas of expertise, their time commitment, and major tasks. The range of expertise represented by key staff and consultants should include significant experience in the following areas: evaluation of multisite, school-linked, community initiatives; evidence-based preventive interventions for violent behaviors; health or mental health; economics; and early childhood development. The applicant must demonstrate the ability to work effectively with school districts and with a range of agencies and service providers (including schools, early education programs, mental health agencies, and law enforcement agencies) to collect data and manage other requirements of the project. The application must describe a plan for coordinating evaluation efforts with the work of the technical assistance provider to the Initiative. Staff and key consultant résumés must be included in the appendixes.

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## **Budget (10 points)**

The applicant must provide a proposed budget that is complete, detailed, reasonable, allowable, and cost effective in relation to the activities to be undertaken during year 1. The budget must be comprehensive and should include costs such as support to local evaluators for collection of common cross-site surveillance and process data, any data collection by local evaluators as part of the intensive outcome analyses, and costs for collateral activities (e.g., the periodic convening of an advisory panel).

## **Applicant Information**

### **Format**

The program narrative must not exceed 40 pages (excluding forms, assurances, budget and budget narrative, and appendixes) and must be submitted on 8½- by 11-inch paper, double spaced on one side of the paper in a standard 12-point font. Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance. Margins should be at least 1 inch.

### **Award Period**

The project will be funded for up to 5 years in five 1-year budget periods. Applicants should submit a 5-year project plan. Funding after the first budget period depends on performance of the grantee, availability of funds, and other criteria established at the time of award.

### **Award Amount**

Up to \$3 million is available for the initial 1-year budget period.

### **Terms and Conditions of Support**

Grant funds may be used only for expenses clearly related and necessary to carry out the approved activities, including both direct costs, which can be specifically identified with the project, and allowable indirect costs.

### **Allowable Items of Expenditure**

Allowable items of expenditure for which grant support may be requested include:

- Salaries, wages, and fringe benefits of professional and other supporting staff engaged in the project activities.
- Travel directly related to carrying out activities under the approved project.

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- Supplies, communications, and rental of equipment and space directly related to approved project activities.
  - Contracts for performance of activities under the approved project.
  - Other such items necessary to support approved project activities as long as they are allowable under the applicable cost principles.

### **Catalog of Federal Domestic Assistance (CFDA) Number**

For this program, the Catalog of Federal Domestic Assistance Number, which is required on Standard Form 424, Application for Federal Assistance, is 16.732.

### **Coordination of Federal Efforts**

To encourage better coordination among Federal agencies in addressing State and local needs, the U.S. Departments of Education, Health and Human Services, and Justice request applicants to provide information on the following: (1) active Federal grant award(s) supporting this or related efforts, including awards from the U.S. Departments of Education, Health and Human Services, and Justice; (2) any pending application(s) for Federal funds for this or related efforts; and (3) plans for coordinating any funds described in items (1) or (2) with the funding sought by this application. For each Federal award, applicants must include the program or project title, the Federal grantor agency, the amount of the award, and a brief description of its purpose. This information should be included in an appendix.

“Related efforts” is defined for these purposes as one of the following:

- Efforts for the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants).
- Another phase or component of the same program or project (e.g., to implement a planning effort funded by other Federal funds or to provide a substance abuse treatment or education component within a criminal justice project).
- Services provided (e.g., technical assistance, research, or evaluation) to the program or project described in the application.

### **Delivery Instructions**

All application packages should be mailed or delivered to the Office of Juvenile Justice and Delinquency Prevention, c/o Juvenile Justice Resource Center, 2277 Research Boulevard, Mail Stop 2K, Rockville, MD 20850; 301-519-5535. **Note:** *In the lower left-hand corner of the envelope, the applicant must clearly write “National Evaluation of the Safe Schools/Healthy Students Initiative.”*

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**Due Date**

Applicants are responsible for ensuring that the original and five copies of the application package are received by 5 p.m. ET on July 21, 1999.

**Contact**

For further information, call Kellie J. Dressler, Program Manager, Research and Program Development Division, 202-514-4817 or send an e-mail inquiry to [dresslek@ojp.usdoj.gov](mailto:dresslek@ojp.usdoj.gov).

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# **Appendix A: General Application Forms**

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED	Applicant Identifier
		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-bottom: 5px;"></div> - <div style="border: 1px solid black; width: 100px; height: 20px; display: flex; justify-content: space-between;"> <span style="width: 20px; height: 20px;"></span> </div>	7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> 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): _____
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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): _____	9. NAME OF FEDERAL AGENCY:
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10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; display: flex; justify-content: space-between;"> <span style="width: 20px; height: 20px;"></span> </div> TITLE: _____  12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
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13. PROPOSED PROJECT: Start Date    Ending Date	14. CONGRESSIONAL DISTRICTS OF: a. Applicant    b. Project
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15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? 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																					
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">a. Federal</td> <td style="width:10%;">\$</td> <td style="width:15%; text-align: right;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> </table>	a. Federal	\$	.00	b. Applicant	\$	.00	c. State	\$	.00	d. Local	\$	.00	e. Other	\$	.00	f. Program Income	\$	.00	g. TOTAL	\$	.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No
a. Federal	\$	.00																				
b. Applicant	\$	.00																				
c. State	\$	.00																				
d. Local	\$	.00																				
e. Other	\$	.00																				
f. Program Income	\$	.00																				
g. TOTAL	\$	.00																				

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	

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	<b>2. DATE SUBMITTED</b> 9/01/98	Applicant Identifier
	<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
	<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier

**5. APPLICANT INFORMATION**

<b>Legal Name:</b> Juvenile Justice Center	<b>Organizational Unit:</b>
<b>Address (give city, county, state, and zip code):</b> 7200 Lynn Street Arlington, VA 22201	<b>Name and telephone number of the person to be contacted on matters involving this application (give area code)</b> Thomas James (703) 555-1256

<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> C O - 9 8 7 6 5 4 3	<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> 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): _____
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<b>8. TYPE OF APPLICATION:</b> <input checked="" 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): _____	<b>9. NAME OF FEDERAL AGENCY:</b> Office of Juvenile Justice and Delinquency Prevention
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------

<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> 1 6 5 4 2 <b>TITLE:</b> National Institute for Juvenile Justice and Delinquency Prevention	<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> Project to Expand and Improve Juvenile Restitution Program
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<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> Arlington, VA
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<b>13. PROPOSED PROJECT:</b> Start Date: 10/01/98    Ending Date: 09/30/99	<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant: 19    b. Project: 19
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<b>15. ESTIMATED FUNDING:</b> <table border="1"> <tr><td>a. Federal</td><td>\$ 100,000</td><td>.00</td></tr> <tr><td>b. Applicant</td><td>\$</td><td>.00</td></tr> <tr><td>c. State</td><td>\$</td><td>.00</td></tr> <tr><td>d. Local</td><td>\$</td><td>.00</td></tr> <tr><td>e. Other</td><td>\$</td><td>.00</td></tr> <tr><td>f. Program Income</td><td>\$</td><td>.00</td></tr> <tr><td>g. TOTAL</td><td>\$ 100,000</td><td>.00</td></tr> </table>	a. Federal	\$ 100,000	.00	b. Applicant	\$	.00	c. State	\$	.00	d. Local	\$	.00	e. Other	\$	.00	f. Program Income	\$	.00	g. TOTAL	\$ 100,000	.00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> 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
a. Federal	\$ 100,000	.00																				
b. Applicant	\$	.00																				
c. State	\$	.00																				
d. Local	\$	.00																				
e. Other	\$	.00																				
f. Program Income	\$	.00																				
g. TOTAL	\$ 100,000	.00																				
	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <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 Morgan Tyler	b. Title Executive Director	c. Telephone number (703)555-3478
d. Signature of Authorized Representative		e. Date Signed 09/01/98

## 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. This form contains 18 different items, which are to be completed before submission. All applications should include a completed and signed SF– 424.

Item	Instructions
1	<b>Type of Submission:</b> If this proposal is not for construction or building purposes, check “Non-Construction.”
2	<b>Date Submitted:</b> Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any. If your jurisdiction does not assign an identifier number, leave this space blank.
3	<b>Date Received by State:</b> Leave blank. This block is completed by the State single point of contact, if applicable.
4	<b>Date Received by Federal Agency:</b> This item will be completed by OJP.
5	<b>Applicant Information:</b> The “Legal Name” is the unit of government of 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. Designate one person as the contact, and include their telephone number.
6	<b>Employer Identification Number:</b> 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.
7	<b>Type of Applicant:</b> Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	<b>Type of Application:</b> 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 of a project, that was begun under a prior award.
9	<b>Name of Federal Agency:</b> Type in the name of the awarding agency, such as “Office of Juvenile Justice and Delinquency Prevention.”
10	<b>Catalog of Federal Domestic Assistance Number:</b> This would be contained in the program announcement.
11	<b>Descriptive Title of Applicants Project:</b> Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex: 10/1/98–9/30/99.
12	<b>Areas Affected by Project:</b> Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	<b>Proposed Project Dates:</b> Fill in the proposed begin and end dates of the project.
14	<b>Congressional Districts:</b> Fill in 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.
15	<b>Estimated Funding:</b> In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will available to the project and the source of those funds on lines “b-f,” as appropriate.
16	<b>State Executive Order 12372:</b> Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application.
17	<b>Delinquent Federal Debt:</b> This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	<b>Authorized Representative:</b> 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 identify the original.

# Budget Detail Worksheet

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

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

Name/Position	Computation	Cost
		<b>TOTAL</b> _____

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

Name/Position	Computation	Cost
		<b>TOTAL</b> _____
		<b>Total Personnel &amp; Fringe Benefits</b> _____

**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 subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
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**TOTAL** \_\_\_\_\_

**D. Equipment** - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). 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 rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

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

**TOTAL** \_\_\_\_\_

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		<b>TOTAL</b> _____

**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
		<b>TOTAL</b> _____

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

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

Name of Consultant	Service Provided	Computation	Cost
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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 (i.e., 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 (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

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

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

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

**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 requested and the amount of non-Federal funds that will support the project.

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

# Budget Detail Worksheet

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

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

Name/Position	Computation	Cost
<i>John Smith, Investigator</i>	$(\$50,000 \times 100\%)$	\$50,000
<i>2 Investigators</i>	$(\$50,000 \times 100\% \times 2)$	\$100,000
<i>Secretary</i>	$(\$30,000 \times 50\%)$	\$15,000
<i>Cost of living increase</i>	$(\$165,000 \times 2\% \times .5 \text{ yr.})$	\$1,650
<i>Overtime per investigator</i>	$(\$37.50/\text{hr.} \times 100 \text{ hrs.} \times 3)$	\$11,250
<i>The three investigators will be assigned exclusively to homicide investigations. A 2% 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.</i>		
		<b>TOTAL \$177,900</b>

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

Name/Position	Computation	Cost
<i>Employer's FICA</i>	$(\$177,900 \times 7.65\%)$	\$13,609
<i>Retirement</i>	$*(\$166,650 \times 6\%)$	\$9,999
<i>Uniform Allowance</i>	$(\$50/\text{mo.} \times 12 \text{ mo.} \times 3)$	\$1,800
<i>Health Insurance</i>	$*(\$166,650 \times 12\%)$	\$19,998
<i>Workman's Compensation</i>	$(\$177,900 \times 1\%)$	\$1,779
<i>Unemployment Compensation</i>	$(\$177,900 \times 1\%)$	\$1,779
<i>*(\$177,900 less \$11,250)</i>		
		<b>TOTAL \$48,964</b>
		<b>Total Personnel &amp; Fringe Benefits \$226,864</b>

**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 subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<b>Purpose of Travel</b>	<b>Location</b>	<b>Item</b>	<b>Computation</b>	<b>Cost</b>
<i>Training</i>	<i>Boston</i>	<i>Airfare</i>	<i>(\$150 x 2 people x 2 trips)</i>	<i>\$600</i>
		<i>Hotel</i>	<i>(\$75/night x 2 x 2 people x 2 trips)</i>	<i>\$600</i>
		<i>Meals</i>	<i>(\$35/day x 3 days x 2 people x 2 trips)</i>	<i>\$420</i>
<i>Investigations</i>	<i>New York City</i>	<i>Airfare</i>	<i>(\$600 average x 7)</i>	<i>\$4,200</i>
		<i>Hotel and Meals</i>	<i>(\$100/day average x 7 x 3 days)</i>	<i>\$2,100</i>

*Two of the investigators will attend training on forensic evidence gathering in Boston in October and January. The investigators may take up to seven trips to New York City to follow up investigative leads. Travel estimates are based on applicant's formal written travel policy.*

**TOTAL \$7,920**

**D. Equipment** - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). 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 rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

<b>Item</b>	<b>Computation</b>	<b>Cost</b>
<i>3 - 486 Computer w/CD ROM</i>	<i>(\$2,000 x 3)</i>	<i>\$6,000</i>
<i>Video Camera</i>	<i>\$1,000</i>	<i>\$1,000</i>

*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 (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. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

<b>Supply Items</b>	<b>Computation</b>	<b>Cost</b>
<i>Office Supplies</i>	<i>(\$50/mo. x 12 mo.)</i>	<i>\$600</i>
<i>Postage</i>	<i>(\$20/mo. x 12 mo.)</i>	<i>\$240</i>
<i>Training Materials</i>	<i>(\$2/set x 500 sets)</i>	<i>\$1,000</i>
<i>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.</i>		
		<b>TOTAL <u>\$1,840</u></b>

**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.

<b>Purpose</b>	<b>Description of Work</b>	<b>Cost</b>
<i>Renovation</i>	<i>Add walls</i>	<i>\$5,000</i>
	<i>Build work tables</i>	<i>\$3,000</i>
	<i>Build evidence storage units</i>	<i>\$2,000</i>
<i>The renovations are needed to upgrade the forensic lab used to analyze evidence for homicide cases.</i>		
		<b>TOTAL <u>\$10,000</u></b>

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

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

<b>Name of Consultant</b>	<b>Service Provided</b>	<b>Computation</b>	<b>Cost</b>
<i>John Doe</i>	<i>Forensic Specialist</i>	<i>(\$150/day x 30 days)</i>	<i>\$4,500</i>

*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 (i.e., travel, meals, lodging, etc.)

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

*John Doe is expected to make up to 6 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.

<b>Item</b>	<b>Cost</b>
<i>Intelligence System Development</i>	<i>\$102,000</i>

*The State University will design an intelligence system to be used in homicide investigations. A sole source justification is attached. Procurement Policy is based on the Federal Acquisition Regulation.*

*Subtotal \$102,000*

**TOTAL \$111,900**

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

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
<i>Rent</i>	<i>(700 sq. ft. x \$15/sq. ft.) (\$875/mo. x 12 mo.)</i>	<i>\$10,500</i>
<i>This rent will pay for space for the new homicide unit. No space is currently available in city-owned buildings.</i>		
<i>Telephone</i>	<i>(\$100/mo. x 12 mo.)</i>	<i>\$1,200</i>
<i>Printing/Reproduction</i>	<i>(\$150/mo. x 12 mo.)</i>	<i>\$1,800</i>
		<b>TOTAL <u>\$13,500</u></b>

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
<i>10% of personnel and fringe benefits</i>	<i>(\$226,864 x 10%)</i>	<i>\$22,686</i>
<i>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.)</i>		
		<b>TOTAL <u>\$22,686</u></b>

**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 requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
<b>A. Personnel</b>	<i>\$177,900</i>
<b>B. Fringe Benefits</b>	<i>\$48,964</i>
<b>C. Travel</b>	<i>\$7,920</i>
<b>D. Equipment</b>	<i>\$7,000</i>
<b>E. Supplies</b>	<i>\$1,840</i>
<b>F. Construction</b>	<i>\$10,000</i>
<b>G. Consultants/Contracts</b>	<i>\$111,900</i>
<b>H. Other</b>	<i>\$13,500</i>
<b>Total Direct Costs</b>	<i>\$379,024</i>
<b>I. Indirect Costs</b>	<i>\$22,686</i>
<b>TOTAL PROJECT COSTS</b>	<i>\$401,710</i>
<b>Federal Request</b>	<i>\$301,283</i>
<b>Non-Federal Amount</b>	<i>\$100,427</i>



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 subrecipients shall certify and disclose accordingly.

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

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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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, 810 Seventh Street NW., Washington, DC 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

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## ASSURANCES

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

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

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Signature

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Date

# Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse side for Instructions.)

**Public Reporting Burden** for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
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<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee      Tier _____, if known:   Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:</b>    Congressional District, if known: _____
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<b>6. Federal Department/Agency:</b>   	<b>7. Federal Program Name/Description:</b>   CFDA Number, if applicable: _____
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<b>8. Federal Action Number, if known:</b> _____	<b>9. Award Amount, if known:</b> \$ _____
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<b>10a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI): _____	<b>b. Individuals Performing Services</b> (including address if different from No. 10a.) (last name, first name, MI): _____
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<b>11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____
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## Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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# **Appendix B: State Single Points of Contact**

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## OMB State Single Points of Contact

In accordance with Executive Order No. 12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. Jurisdictions not listed no longer participate in the intergovernmental review process but **may** still apply for grants. These include Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington. This listing is based on the most current information provided by the States. Changes will be made to the list only upon formal notification by the State. This listing is also published biannually in the *Catalog of Federal Domestic Assistance*.

### Arizona

Joni Saad  
Arizona State Clearinghouse  
3800 North Central Avenue  
14th Floor  
Phoenix, AZ 85012  
602-280-1315  
602-280-8144 (Fax)

### Arkansas

Mr. Tracy L. Copeland, Manager  
State Clearinghouse  
Office of Intergovernmental  
Services  
Department of Finance and  
Administration  
1515 West Seventh Street  
Room 412  
Little Rock, AR 72203  
501-682-1074  
501-682-5206 (Fax)

### California

Grant Coordinator  
Office of Planning and Research  
1400 10th Street, Room 121  
Sacramento, CA 95814  
916-323-7480  
916-323-3018 (Fax)

### Delaware

Francine Booth  
State of Delaware Office of Budget  
Directives  
Thomas Collins Building  
P.O. Box 1401  
Dover, DE 19903  
302-739-3326  
302-739-5661 (Fax)

### District of Columbia

Charles Nichols  
Office of Grants Management and  
Development  
717 14th Street NW., Suite 500  
Washington, DC 20005  
202-727-6554  
202-727-1617 (Fax)

### Florida

Cherie Trainor  
Florida State Clearinghouse  
Department of Community Affairs  
2555 Shumard Oak Boulevard  
Tallahassee, FL 32399-2100  
850-414-5495  
850-414-0479 (Fax)

### Georgia

Tom L. Reid III, Administrator  
Georgia State Clearinghouse  
270 Washington Street SW.  
Eighth Floor  
Atlanta, GA 30334  
404-656-3855 or 404-656-3829  
404-656-3828 (Fax)

### Guam

Giovanni T. Sgambelluri, Director  
Bureau of Budget and  
Management Research  
Office of the Governor  
P.O. Box 2950  
Agana, GU 96910  
011-671-472-2285  
011-671-472-2825 (Fax)

### Illinois

Virginia Bova  
Illinois State Clearinghouse  
Department of Commerce and  
Community Affairs  
100 West Randolph Street  
Suite 3-400  
Chicago, IL 60601  
312-814-6028  
312-814-1800 (Fax)

### Indiana

Frances Williams  
State Budget Agency  
212 State House  
Indianapolis, IN 46204  
317-232-5619  
317-233-3323 (Fax)

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## Iowa

Steven R. McCann  
Division of Community and Rural  
Assistance  
Iowa Department of Economic  
Development  
200 East Grand Avenue  
Des Moines, IA 50309  
515-242-4719  
515-242-4859 (Fax)

## Kentucky

Kevin J. Goldsmith, Director  
Office of the Governor  
Intergovernmental Affairs  
700 Capitol Avenue  
Frankfort, KY 40601  
502-564-2611  
502-564-2849 (Fax)

## Maine

Joyce Benson  
State Planning Office  
184 State Street  
State House Station 38  
Augusta, ME 04333  
207-287-3261  
207-287-6489 (Fax)

## Maryland

Linda Janey, Manager  
Plan and Project Review  
Maryland Office of Planning  
301 West Preston Street  
Room 1104  
Baltimore, MD 21201-2365  
410-767-4490  
410-767-4480 (Fax)

## Michigan

Richard Pfaff  
Southeast Michigan Council of  
Governments  
1900 Edison Plaza  
660 Plaza Drive, Suite 1900  
Detroit, MI 48226  
313-961-4266  
313-961-4869 (Fax)

## Mississippi

Cathy Mallette  
Clearinghouse Officer  
Department of Finance and  
Administration  
455 North Lamar Street  
Jackson, MS 39202-3087  
601-359-6762  
601-359-6764 (Fax)

## Missouri

Lois Pohl  
Federal Assistance Clearinghouse  
Office of Administration  
Truman Building, Room 760  
P.O. Box 809  
Jefferson City, MO 65102  
314-751-4834  
314-751-7819 (Fax)

## Nevada

Heather Elliott, Director  
Department of Administration  
State Clearinghouse  
209 East Musser Street  
Room 200  
Carson City, NV 89710  
702-687-4065  
702-687-3983 (Fax)

## New Hampshire

Mike Blake, Director  
New Hampshire Office of State  
Planning  
Attn: Intergovernmental Review  
Process  
2½ Beacon Street  
Concord, NH 03301  
603-271-2155  
603-271-1728 (Fax)

## New Mexico

Robert Peters  
State Budget Division  
Bataan Memorial Building  
Room 190  
Santa Fe, NM 87503  
505-827-3640

## New York

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, NY 12224  
518-474-1605

## North Carolina

Chrys Baggett, Director  
North Carolina State  
Clearinghouse  
Office of the Secretary of  
Administration  
116 West Jones Street  
Raleigh, NC 27603-8003  
919-733-7232  
919-733-9571 (Fax)

## North Dakota

James Boyd  
Office of Intergovernmental  
Assistance  
600 East Boulevard Avenue  
Department 105  
Bismarck, ND 58505-0170  
701-224-2094  
701-224-2308 (Fax)

## Northern Mariana Islands

Alvaro A. Santos  
Executive Officer  
Office of Management and Budget  
Office of the Governor  
Saipan, MP 96950  
011-670-664-2256  
011-670-644-2272 (Fax)

## Puerto Rico

Norma Burgos, Chair  
Jose E. Caro, Director  
Puerto Rico Planning Board  
Federal Proposals Review Office  
Minillas Government Center  
P.O. Box 41119  
San Juan, PR 00940-1119  
787-727-4444 or 787-723-6190  
787-724-3270 (Fax) or  
787-724-3103 (Fax)

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## **Rhode Island**

Kevin J. Nelson  
Review Coordinator  
Department of Administration  
Division of Planning  
1 Capitol Hill, Fourth Floor  
Providence, RI 02908-5870  
401-277-2656  
401-277-2083 (Fax)

## **South Carolina**

Omeagia Burgess  
Budget and Control Board  
Office of State Government  
1122 Ladies Street, 12th Floor  
Columbia, SC 29201  
803-734-0494  
803-734-0645 (Fax)

## **Texas**

Tom Adams, Director  
Intergovernmental Coordination  
Governor's Office  
P.O. Box 12428  
Austin, TX 78711  
512-463-1771  
512-463-1888 (Fax)

## **Utah**

Carolyn Wright  
Utah State Clearinghouse  
Governor's Office of Planning and  
Budget  
State Capitol, Room 116  
Salt Lake City, UT 84114  
801-538-1535  
801-538-1547 (Fax)

## **Virgin Islands**

Nellon L. Bowry, Director  
Office of Management and Budget  
Garden Station, Second Floor  
41 Norregade Emancipation  
St. Thomas, VI 00802  
809-774-0750  
809-776-0069 (Fax)

## **West Virginia**

Fred Cutlip, Director  
Community Development Division  
WV Development Office  
Building 6, Room 553  
Charleston, WV 25305  
304-558-4010  
304-558-3248 (Fax)

## **Wisconsin**

Jeff Smith, Section Chief  
State/Federal Relations  
Wisconsin Department of  
Administration  
P.O. Box 7868  
101 East Wilson Street  
Sixth Floor  
Madison, WI 53707  
608-266-2125  
608-267-6931 (Fax)

## **Wyoming**

Matthew Jones  
Office of the Governor  
200 West 24th Street  
State Capitol, Room 124  
Cheyenne, WY 82002  
307-777-7446  
307-632-3909 (Fax)

**U.S. Department of Justice**

Office of Justice Programs

*Office of Juvenile Justice and Delinquency Prevention*

*Washington, DC 20531*

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