

Safe Schools/ Healthy Students Initiative



Program Announcement • Application Instructions and Forms

Due Date: June 1, 1999



Sponsored by Education • HHS • DOJ

OMB # 1810-0621; Expiration Date 9/30/99

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Introduction

The U.S. Departments of Education, Health and Human Services, and Justice (Agencies) are collaborating on a Safe Schools/Healthy Students Initiative (the Initiative) to provide students, schools, and communities with enhanced comprehensive educational, mental health, social service, law enforcement, and, as appropriate, juvenile justice system services that promote healthy childhood development and prevent violence and alcohol and other drug abuse. These services and activities target both youth's development of the social skills and emotional resilience necessary to avoid drug use and violent behavior and the establishment of school environments that are safe, disciplined, and drug free.

In addition, funds are available from the Office of Community Oriented Policing Services, U.S. Department of Justice for the provision of School Resource Officers in collaboration with the local law enforcement entity.

Eligible applicants are local educational agencies (LEA's) that demonstrate evidence of an integrated comprehensive communitywide strategy that at minimum comprises six general elements:

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

The plan must be developed by a partnership comprising the LEA, local public mental health authority, local law enforcement agency, family members, students, and juvenile justice officials.

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

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

Requirements

Requirements

Application and Administrative Requirements

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 application guidelines, paying specific 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 resumes 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 3 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 two copies of the application package using a mail carrier or delivery service that will ensure delivery by 5 p.m. ET on June 1, 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 C. In addition:

Applicants proposing to fund School Resource Officers under element 1 (Safe School Environment, Partnerships with Local Law Enforcement), must complete the forms in appendix D and include them with the application in an appendix.

Applicants proposing to fund activities under element 1 (Safe School Environment, Redesigning the School Facility and School Security Measures); element 2 (Alcohol and Other Drugs and Violence Prevention and Early Intervention); element 5 (Educational Reform); and element 6 (Safe School Policies) must address the requirements of the General Education Provisions Act (GEPA) in appendix E.

Applicants proposing to fund activities under element 2 (Alcohol and Other Drugs and Violence Prevention and Early Intervention); element 3 (School and Community Mental Health Preventive and Treatment Intervention Services); and element 4 (Early Childhood Psychosocial and Emotional Development Services) must address the Confidentiality and Participant Protection requirements and coordinate with the Single State Agency Coordination for Mental Health as described in appendix F.

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.
- 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 (see page 38).
- 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 C of this document.
2. **Assurances, Certifications, and Disclosures.** 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 C:

- 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.)
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 program 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 program narrative into dollars. Please follow the instructions contained on this form for each cost category for which 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. The budget and narrative should be divided into separate sections that correspond to the six elements of the comprehensive plan. Both direct and indirect costs should be allocated within these sections. Budgeting by element of the plan is important because different Agencies fund different elements.

A sample Budget Detail Worksheet with narrative incorporated is included in appendix C 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. **Program Narrative.** The application's program 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. Design of Proposed Strategy
- D. Evaluation Plan
- E. Management and Organizational Capability
- F. Budget

A. Problems To Be Addressed

Describe the specific problems to be addressed by the project. The magnitude or severity of the problem and the extent and magnitude of service and other resource gaps should be included in this discussion.

B. Goals and Objectives

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

C. Design of Proposed Strategy

Describe the participatory planning process used in the preparation of the Comprehensive Safe Schools/Healthy Students Plan. Include all relevant stakeholders. The plan should be included in the application in appendix II. Letters

of support from all the relevant organizations/agencies involved in this Initiative are required at the time of application. These letters should also be submitted in appendix II.

The plan should address all the items identified in the Review Process section under Design of Proposed Strategy (see page 36). It also should include a description of the type of organizations providing the interventions to the target population and the roles of each.

D. Evaluation Plan

Describe the objectives of the local evaluation plan and how it will be carried out. The plan should include all the elements identified in the Review Process section under Evaluation Plan (see page 37).

E. Management and Organizational Capability

Staffing and management of the project should be clearly specified. In particular, the application should include the following:

- Description of the *relevant* experience of the applicant organization and collaborating agencies. Include any added capacity resulting from partnerships with other key community stakeholders as evidenced by written agreements.
- Description and outline of the organizational structure of each partner in the Comprehensive Plan with detailed evidence demonstrating the strength of commitment from each.
- Description of the qualifications and relevant experience of the project director and other key staff.
- Description of the quality improvement mechanisms the applicant will use for ensuring feedback and continuous improvement in the operation of the strategy.
- Description of the proposed project timelines and staffing patterns (e.g., rationale for the percent of time needed for key personnel and consultants and attention to cultural, language, and gender issues).
- Description of *relevant* resources available (e.g., computer facilities).

F. Budget

The budget should be divided into separate sections that correspond to the six elements of the comprehensive plan. Both direct and indirect costs should be

allocated within these sections. Budgeting by element of the plan is important because different Agencies fund different elements.

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

The appendixes may include only the items specified in these instructions. The appendixes *must not* be used to extend or replace any of the required sections of the application's program narrative portion. Appendixes must be clearly labeled, and all pages must be numbered continuing in sequence from the last page of the program narrative. The following appendixes must be included:

Appendix I: Agreement of Agencies: LEA, Mental Health, and Juvenile Justice
Appendix II: Comprehensive Plan and Letters of Coordination/Support
Appendix III: Organizational Structure/Timeline/Staffing Patterns
Appendix IV: Data Collection Instruments/Interview Protocols

Other appendixes that include additional forms and requirements as part of this application submission (forms and requirements in appendixes D, E, and F in this *Application Package*).

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.

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 G. 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 the 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

Applications submitted will be reviewed for technical merit in accordance with specific review procedures established for this Initiative. 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 Initiative 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 program announcement, specific instructions to the applicants, or the competition and peer review regulations of the agencies participating in this interagency Initiative.

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 from each Agency. Any individual with requisite expertise may be selected from the pool with approval of the Administrators of the Agencies. 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 program announcement, applications proposing to serve a target population different from that specified in the program announcement, and applications from agencies or organizations that do not possess the qualifications specified in the program announcement.

Selection Criteria. All Safe Schools/Healthy Students 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 Student Program Announcement.

Government Audit Requirement

Audits of institutions of higher education and other non-profit 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 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 and 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—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.

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 their intent to impose sanctions and attempt informally to resolve the problem.

Monitoring and Reporting Requirements

Grantees will report program progress and financial status semiannually, using a single report format. Program progress and fiscal status will be reported for each of the six elements of the comprehensive plan. Program progress will include summary information on implementation, training, and orientation of participants, and data on measures of services delivered and achievement of selected outcomes. Fiscal reporting will follow the same structure, regardless of the original funding source.

In addition, grantees will be expected to participate in the Agencies' 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, Pub. L. No.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.

Program Announcement

Safe Schools/Healthy Students Initiative

Purpose

The U.S. Departments of Education, Health and Human Services, and Justice (Agencies) are collaborating on the Safe Schools/Healthy Students Initiative (the Initiative) to provide students, schools, and communities the benefit of enhanced comprehensive educational, mental health, social service, law enforcement, and, as appropriate, juvenile justice system services that can promote healthy childhood development and prevent violence and alcohol and other drug abuse. These services and activities target both the development by young people of the social skills and emotional resilience necessary to avoid drug use and violent behavior and the establishment of school environments that are safe, disciplined, and alcohol and drug free. The Initiative is based on evidence that a comprehensive, integrated communitywide approach is an effective way to promote healthy childhood development and address the problems of school violence and alcohol and other drug abuse.

Through a streamlined, single application process, successful applicants will receive support from the Agencies for up to 3 years to support a wide variety of developmental, educational, and public safety services. Annual awards will be made subject to continued availability of funds and progress achieved. Awards will be made to approximately 50 sites designated as local educational agencies (LEA's; see appendix A for definition). The LEA's must be joined in their application by the local law enforcement and public mental health authorities.

The Initiative is seen as very important, both by the Agencies and Congress, which expressed its intention, in congressional report language, for the Agencies to collaborate in the Initiative. Because the U.S. Department of Education is directed to award grants in this program to LEA's, and because LEA's are in a position to utilize these grant funds to a greater effect in reaching a broader school population than could other entities, eligibility under this collaborative Initiative is limited to 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 (see appendix A for definitions of urban, suburban, and rural). In addition, funds are available from the Office of Community Oriented Policing, U.S. Department of Justice for the provision of School Resource Officers (SRO's; see appendix A for definition) in collaboration with the local law enforcement entity.

Two or more rural or tribal school districts may submit a joint application if this partnership makes the best use of their comprehensive communitywide approach. A consortium of multiple LEA's may submit a single application; however, any consortium applying for funding must designate a single LEA as the fiscal and management entity. The location of the LEA representing the consortium will determine the type and amount of the awards, in accordance with the maximum amount of funding applicants can receive under urban, suburban, and rural categories. A consortium will receive a single award and will not be eligible to receive multiple awards. Each

participating LEA must sign the partnership agreement with the local law enforcement and public mental health authorities.

Rural areas designated as Enterprise Zones or Empowerment Communities (EZ–EC) under the Administration’s EZ–EC Initiative are entitled to pre-application technical assistance through U.S. Department of Agriculture’s Office of Community Development. For further information, see the contact information on page 41.

This program is authorized under the Omnibus Consolidated and Emergency Supplemental Appropriation Act of 1999, Public Law 105–277.

Eligibility

Applications must be submitted by LEA’s and their partners. To be eligible for funding, applicants must:

- Provide documentation demonstrating that a comprehensive, integrated communitywide Safe Schools/Healthy Students Plan has been developed that addresses at least the following six elements: (a) safe school environment, (b) alcohol and other drugs and violence prevention and early intervention programs, (c) school and community mental health preventive and treatment intervention services, (d) early childhood psychosocial and emotional development programs, (e) educational reform, and (f) safe school policies. The plan must show evidence of a partnership comprising, at a minimum, the local educational agency, local public mental health authority, local law enforcement agency, family members, students, and juvenile justice officials.
- Submit a written agreement that describes the goals and objectives of the partnership and a delineation of the roles and responsibilities of the partners signed by the school superintendent, the head of the local public mental health authority, and the chief law enforcement executive adopting the plan.
- Submit a written agreement signed by the school superintendent and head of the local public mental health organization that describes the procedures the signatories will use for referral, treatment, and followup by the specialty mental health system for children and adolescents with serious mental health problems.
- Provide documentation of the community need and available resources as follows:
 - Baseline assessment of risk factors among students, such as (a) students engaged in alcohol and drug use and violent behavior; (b) incidence and prevalence of alcohol and drug use by youth; (c) weapon carrying or possessing in schools; (d) incidents of serious and violent crime in schools; (e) truancy and other unauthorized absences; (f) suicidal behaviors; (g) student suspensions and expulsions; (h) students on probation; (i) students in juvenile justice placements; (j) students in foster care and child protective services; (k) students with emotional

and behavioral disorders; (l) children abused and neglected; and (m) school attendance and performance.

- An assessment of community risk factors such as (a) socioeconomic conditions as measured by the percentage of families at or below the poverty level and percentage of students receiving free and reduced meals at school; (b) population turnover; (c) racial and ethnic heterogeneity; (d) housing density; (e) household composition; and (f) crime and delinquency rates including domestic violence and rape; and (g) suicide rates.
 - An assessment of resources and services available to students and their families, such as (a) number of afterschool programs; (b) number of youth served by programs to build social skills; (c) number and quality of community mental health and social service organizations available to provide services to children, adolescents, and families; (d) number of youth participating in academic readiness programs; (e) number and types of early intervention services and programs; (f) number and types of law enforcement prevention programs; (g) number of substance abuse programs; and (h) presence of a community anti-drug coalition.
- Agree to participate in a national evaluation of the Initiative, which will collect data on student risk indicators and outcomes of the program(s) implemented across sites on an annual basis.
 - Provide a local plan for evaluating the communitywide strategy and agree to set aside sufficient funds (no less than 5 percent of the project budget) to fund a local evaluator to assist with a range of evaluation activities.
 - In the comprehensive plan, provide for mental health services to all students.
 - Show that Federal regulations regarding possession of firearms and reporting of firearm offenses to appropriate law enforcement officials and regulations regarding tobacco use are being enforced.

Target Population

The populations of concern for this program are preschool and school-age children and adolescents and their families who are at risk of being involved in violence as perpetrators, victims, or witnesses.

Background

The Problem

The vast majority of the Nation's schools are safe places. However, some schools do have serious crime and violence problems that compromise the learning environment and endanger children and teachers. Ten percent of public schools reported one or more serious violent crimes to the police during the 1996–97 school year. Another 47 percent of public schools reported at least one less serious or nonviolent crime to police (National Center for Educational Statistics, 1998).

Although student victimization rates have remained relatively stable over the past few years, more students report feeling unsafe while they are at school or traveling to and from school. In 1989, 6 percent of students ages 12 through 19 sometimes or most of the time feared that they were going to be attacked or harmed at school. By 1995, this percentage had risen to 9 percent. In 1996, students ages 12 through 18 were victims of about 255,000 incidents of nonfatal serious violent crime at school. The same year, 5 percent of all 12th graders reported they had been injured with a weapon at school, and 12 percent said they had been injured in school without a weapon (National Center for Educational Statistics, 1998).

Between 1984 and 1994, while the homicide rate for most other age groups fell, the homicide rate for adolescents doubled, and nonfatal violent crimes committed by adolescents increased nearly 20 percent (Elliot, Hamburg, and Williams, 1998). During the 1992–93 and 1993–94 school years combined, 76 students were murdered or committed suicide at school and an additional 20 nonstudents were killed at school (National Center for Educational Statistics, 1998).

Homicide and suicide, both preventable, rank as the third and fifth leading causes of death for children 5 to 14 years of age (Anderson, Kochanek, and Murphy, 1997). While death rates from unintentional injuries decreased more than 40 percent among school-age children between 1979 and 1995, death rates from both homicide and suicide increased (Anderson, Kochanek, and Murphy, 1997). Intentional injuries are the fourth leading cause of years of potential life lost (that is, the number of productive years an individual has lost because of premature death before the age of 65).

More than a generation of research has provided a solid knowledge base of the complex risk processes that lead to violent outcomes for children, families, schools, and communities. Antisocial behaviors of children and adolescents at highest risk arise from the interaction of multiple environmental and individual antecedents that begin early in the child's life. They include (1) stressful family environments, (2) lack of parenting skills, (3) alienation between family and school (and other community institutions), and (4) individual characteristics of the child that may be biologically based (e.g., irritability, impulsivity), and interfere with critical early attachment and nurturing relationships and later make the child's behavior difficult to control.

This results in the early onset of aggressive behaviors, the increase of behavior problems at home, and the continuation and escalation of problems with peers and teachers when the child reaches school age. Unless interrupted, antisocial behavior persists throughout the school career and on into adulthood. High risk intensifies in middle school and accelerates into adolescence. Risk is

exacerbated by exposure to negative peer pressure and a noxious environment where few protective factors are available. These, in turn, increase the likelihood of interpersonal violence and other antisocial behavior, substance abuse, potential drug dealing, addiction, the emergence of disorders such as depression and anxiety, suicidal behaviors, academic failure, risky sexual behaviors leading to increased risk for HIV and other sexually transmitted diseases, and teen pregnancy.

Approach

The Safe Schools/Healthy Students 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 (1) establishing school-community partnerships; (2) identifying and measuring the problem; (3) setting measurable goals and objectives; (4) identifying appropriate research-based programs and strategies; (5) implementing programs and strategies in an integrated fashion; (6) evaluating the outcomes of programs and strategies; and (7) revising the comprehensive plan on the basis of evaluation information. The *Annual Report on School Safety, 1998*, Chapter 2, What Communities Can Do Through Collaboration, contains a detailed discussion of this framework that can serve as a resource for developing the application (see appendix B for information on how to obtain a copy of the report).

Program Description

Goals and Objectives

The goals of the Safe Schools/Healthy Students 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 who 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. Successful applicants will provide students, schools, and families within the target area a network of effective comprehensive services, supports, and activities that promote healthy development and safety.

The Safe Schools/Healthy Students Initiative is designed to assist school districts to implement and enhance communitywide safe and healthy development strategies. Applicants must demonstrate how the funds they are requesting support or enhance a **comprehensive, integrated strategy** for an entire district. In circumstances where strategy implementation for an entire school district is not possible, applicants must provide an appropriate rationale for the schools chosen to receive all six elements of the plan (discussed in detail below) and explain why districtwide implementation is not feasible or appropriate.

Safe Schools/Healthy Students Comprehensive Plan

LEA's and their partners will receive funds to implement and enhance activities that address the six elements of the Safe Schools/Healthy Students Comprehensive Plan. It is understood that some educational, child development, and violence prevention activities may be occurring already in each of the grant communities. A critical feature of the Initiative is the linking and integration of existing and new services and activities into a comprehensive approach to violence prevention and healthy development that reflects the overall vision for the community, not the isolated objectives of a single activity.

Eligible activities for this Initiative may include, but are not limited to, implementing programs such as nurse home visitation, family strengthening, conflict resolution, life skills, school-based drug curriculum, staff professional development, afterschool activities, mentoring, teen courts, truancy prevention, and alternative education; hiring School Resource Officers; and purchasing equipment and security services. The aforementioned listing is not intended to be exhaustive, but rather illustrative. For resources to locate other programs and activities that can be funded under this Initiative, see appendix B.

Federal funds can be used to support all or some of the activities described in the Safe Schools/Healthy Students plan. If Federal funds will be used to support only some of those activities, the others may be funded from different sources. In any case, each comprehensive plan must describe the six elements defined below, the activities that will be carried out during the grant period for each element, and the manner in which the activities will be integrated in a comprehensive approach. Applicants that do not request funds for certain activities must explain how these needs are currently being met.

The six elements are as follows:

1. Safe School Environment

The following activities can be supported: (1) building a partnership with local law enforcement; (2) redesigning the school facility; and (3) developing and implementing security measures. **The combined allocation to implement activities under redesigning the school facility and school security measures may not exceed 10 percent of the proposed total budget.**

Partnerships With Local Law Enforcement

Established under the Public Safety Partnership and Community Policing Act of 1994, the Office of Community Oriented Policing Services (COPS) has four primary goals: to increase the number of community policing officers (see appendix A for definition) on the beat by 100,000, to promote the implementation of departmentwide community policing in law enforcement agencies across the country; to help develop an infrastructure that will institutionalize and sustain community policing after Federal funding has ended, and to demonstrate and evaluate the ability of agencies practicing community policing to significantly improve the quality of life by building positive relationships that would result in reduction of the levels of violence, aggression, and disorder in communities.

Many communities are discovering that trained, sworn law enforcement officers assigned to schools make a difference. The presence of these officers may serve a dual purpose: (1) schools benefit from onsite security and a direct link to local law enforcement agencies, and (2) law enforcement agencies are given an opportunity to participate in a joint problem-solving approach with LEA's in addressing school and community violence. Community policing officers typically perform a variety of functions within the school. Known as School Resource Officers, they combine the functions of law enforcement and education: they teach crime and substance-abuse prevention classes, engage students in developmentally appropriate (see appendix A for definition) social and recreational programs, and build mutual respect between law enforcement and students.

This Initiative provides funds for law enforcement agencies to hire School Resource Officers. It provides an incentive for law enforcement agencies to build new or sustain existing working relationships with schools to use community policing efforts to reduce school violence. Funds will be available to provide for a designated portion of the salary and benefits for each new officer.

In particular, this Initiative seeks applications that will help agencies solve school-related problems beyond the life of the grant. Anticipated project outcomes include the following: (1) increased ability of policing agencies, schools, and community groups to work together in developing innovative, systematic, long-term approaches to increasing and maintaining a nonviolent school environment and reducing and preventing different kinds of crime and disorder in and around their schools; (2) measurable impacts on crime and disorder problems; an improved quality of life for those affected (students, teachers, school personnel, parents); and decreased fear of crime and violence among students, school employees, and community members; and (3) an increased body of knowledge for communities, criminal justice researchers, and practitioners on creative approaches being employed by different schools and community-based entities to address school-related crime problems.

Applicants should address the following components:

- Community policing strategies to be used by School Resource Officers. Examples include conflict/dispute resolution, at-risk intervention, mentoring activities, gang mediation, problem-solving projects, and truancy programs.
- Proposed qualifications, experience, and level of commitment of personnel to work with the target population. Examples include the amount of dedicated officer hours deployed to school activities, the duration and quality of the proposed program, evidence of previous successes, and a description of the impacted or targeted areas.
- Link to community policing. Agencies seeking funding must provide information on how the proposed activities under the program link to their overall organizational community policing strategy.

Applicants proposing to hire School Resource Officers must include in their completed application an appendix that contains the forms in appendix D.

School Facility Design

A school's physical plant influences whether and where crime will occur. Schools can be designed to limit access of unauthorized persons, increase the ability of school staff to visually supervise all areas of the school facility, and reduce crowding. Schools should be built with security in mind, but existing schools can make changes to their buildings to increase safety. Installing adequate lighting and breakproof door and window locks, minimizing private storage areas, and eliminating removable ceiling panels are important safety measures all schools can adopt. The key is to make the school environment safer and more conducive to learning and to use space constructively without creating a restrictive environment.

Applicants proposing to fund activities under this element must include in their completed application an appendix that addresses the requirements described in appendix E.

School Security Measures

In some schools, obvious security measures are needed to ensure safety. School security measures include installing security devices, conducting random inspections, and providing students and staff with identification cards.

Relying heavily on security devices like metal detectors without adequate staffing and training will have limited impact in the absence of a comprehensive approach and can have a negative impact on the mental health of children and youth. Security involves careful attention to training, searching for and closing any security gaps, improving communications, testing security devices and procedures, performing maintenance, and updating technology.

School staff, students, and consultants can assist in preventing and reducing crime by conducting security assessments; providing staff development programs; developing crisis preparedness guidelines; understanding the developmental needs of children and risk factors existing in the child, family, school, and community; understanding the value of protective factors; identifying security equipment needs (such as metal detectors and surveillance cameras); designing enforcement and investigation techniques; and enhancing links with community officials and families.

Applicants proposing to fund activities under this element must include in their completed application an appendix that addresses the requirements described in appendix E.

2. Alcohol and Other Drugs and Violence Prevention and Early Intervention

Substance abuse and violence are complex human behaviors often related to other factors in the home or the wider community. Early intervention and prevention activities are more likely to be successful when efforts directed at altering individual behavior are paired with those directed at altering the environment. Environmental strategies can be social, legal, cultural, or economic. Often, these strategies are designed to change community, school, and peer norms.

Schools have been primarily responsible for developing and implementing curriculums and instructional programs to address alcohol and other drug abuse, violence, and many other

problems young people face. Although curriculum and instruction programs have been important and necessary, they are insufficient alone. To prevent or reduce rates of substance abuse and violent behavior among youth and increase mental health, school-based early intervention and prevention need to be coordinated with broader environmental and other strategies that address change not only at the individual, classroom, and school levels, but also at the family, community, and society levels. Coordinated strategies should do the following:

- Involve families and communities in the design and delivery of mental health, early intervention, substance abuse, and violence prevention programs and ultimately encourage community ownership of these programs.
- Reshape attitudes and beliefs regarding mental health, substance abuse, and violence.
- Create or enforce existing laws and regulations designed to limit or prohibit substance abuse and violent behavior.
- Provide alternatives to substance abuse and violence through social and recreational activities and mentoring.

Such strategies demand that schools reach out to collaborate with families and other agencies, such as social service, juvenile justice, law enforcement, and recreational ventures to create prevention programs. These strategies also must be appropriate to the populations and communities served in terms of gender, race, and ethnicity.

Applicants proposing to fund activities under this element must include in their completed application an appendix (or appendixes) that addresses the requirements described in appendixes E and F.

3. School and Community Mental Health Preventive and Treatment Intervention Services

Many children and adolescents have mental health needs but are unable to access appropriate high quality mental health services. Such children are frequently victims of violence (such as child abuse, sexual abuse, and/or assault) and witnesses to violence (including domestic violence, school violence, and community violence). They may also include children and adolescents with conduct disorder and related problems, who exhibit aggressive antisocial behavior or who abuse drugs. Other children who suffer from depression are at increased risk for suicide or self-inflicted violence but may not have easy access to appropriate mental health services and may not have been identified as in need of services.

Schools traditionally have not had sufficient resources to help identify children and adolescents who have experienced violence as witness, victim, or perpetrator—or who are at risk of violence and negative mental health outcomes—or to ensure that they receive the services and other assistance that they need. The mental health element of the plan must address the activities that schools and their partners will engage in to assure that children at risk of emotional and behavioral problems receive appropriate mental health preventive and treatment services. Because the Initiative has a strong prevention emphasis, schools and their partners must provide mental health

preventive services early to reduce the risk of onset or delay the onset of an adverse mental health outcome.

At the same time, the mental health services component may identify children and appropriate responses to those children who have a serious emotional disturbance. Schools need to ensure that appropriate referral, treatment, and followup mechanisms with a local public mental health organization will be coordinated. For this reason, this Initiative requires a formal arrangement between school and public mental health entities concerning delivery of specialty mental health services for children and adolescents with more serious mental health problems, in addition to specific, school-based preventive and early treatment intervention services. This approach is intended to ensure a complementary relationship between the mental health service delivery system and school-based services. In all cases, schools should plan their programming to ensure active participation in both delivering and receiving mental health services and support.

These grant funds are not intended to supplant the financial resources already dedicated to improving mental health services under the Individuals with Disabilities Educational Act (IDEA). These funds are intended to leverage and coordinate mental health services.

At a minimum, schools must (1) provide screening and assessment in the school setting; (2) provide appropriate school-based mental health prevention and early intervention services for at-risk children and adolescents and their families; (3) provide referral and followup with local public mental health agencies when indicated, consistent with the written agreement between the schools and the local public mental health organization; (4) provide training and consultation to school personnel; and (5) provide supportive services to families. Proposed treatment activities need to address the hiring of providers, e.g., school psychologists, and the specific preventive and treatment interventions these providers will use, if necessary.

It is intended that this program will also support enhanced integration, coordination, and resource sharing of mental health and social service providers in schools and other community-based programs.

Applicants proposing to fund activities under this element must include in their completed application an appendix that addresses the requirements described in appendix F.

4. Early Childhood Psychosocial and Emotional Development Services

Preventive and treatment intervention programs focused on positive development of mental and physical health early in a child's life have enormous potential for buffering the negative impact of multiple environmental and individual risk factors and interrupting the cycle of violence for high-risk children and families. For example, intensive prenatal and early childhood nurse home visitation services for high-risk mothers and their children have been shown to have strong beneficial effects up to 15 years following the intervention, including reduced rates of child abuse, interpersonal violence, delinquency, and substance abuse (Olds et al., 1998). Such programs, as part of a continuum of early childhood services for high-risk families, can bolster resilience to adversity and help children enter school with the necessary skills for prosocial behavior and academic success.

Young children spend their days at home with family members, in family daycare homes, in preschools or Head Start, and increasingly in childcare programs. However, large numbers of very young children are entering early childhood settings without the emotional, intellectual, and social readiness skills needed to negotiate life issues. For children and families with more significant problems (e.g., families who are impacted by substance abuse, mental illness, or violence), high-quality intensive programs can have immense benefits in the long run.

Under this element, the Safe Schools/Healthy Students Initiative will support activities that make available a core network of services and supports to all high-risk families with young children, and to all high-risk mothers prior to the birth of a child. Such activities should represent a continuum of family-focused preventive and treatment services that will enable young children to enter school ready to learn and should be an integral part of the overall comprehensive strategy proposed by the LEA. Illustrative examples of such services may include prenatal physical and mental health home visitation by nurses, integrated physical and mental health services for mothers and infants following birth (e.g., developing parenting skills, fostering relationship building between infant and mother), family support opportunities for families whose children are in childcare programs, case consultation, crisis intervention, integrated therapy, and help for caregivers and teachers to work collaboratively with families to address the social and emotional needs of children. Since access to families with infants and toddlers may be complex because younger children are not yet enrolled in school, proposed activities should include ways to overcome barriers to identifying and serving families in need.

Applicants proposing to fund activities under this element must include in their completed application an appendix that addresses the requirements described in appendix F.

5. Educational Reform

Schools that function well foster learning, safety, and socially appropriate behaviors. They have a strong academic focus, support students in achieving high standards, foster positive relationships, promote meaningful parental and community involvement, and recognize the social and emotional needs of students. Certain school factors are conducive to disorder, crime, and violence. They include overcrowding, high student/teacher ratios, curriculums and courses that are not sufficiently relevant to student needs, low student academic achievement and apathy, overreliance on portable classrooms that increase isolation and hamper communications, use of inappropriate disciplinary actions, and failure of adults to respond promptly and appropriately to problems.

The comprehensive plan should briefly describe steps applicants are taking to address the following: (1) high standards for all students; (2) reductions in class size; (3) use of technology in the classroom, particularly access to the Internet; (4) talented, trained, and dedicated teachers in the classroom; (5) expanded afterschool learning opportunities; and (6) provision of alternatives to typical disciplinary actions, including interventions that teach positive behavior.

Aspects of educational reform that may be eligible for funding as part of this Initiative are (1) teacher training, if the training focuses on knowledge and skills needed to maintain order and discipline and to deliver drug and violence prevention education, and (2) expanded afterschool programs. Applicants are encouraged to use Title I, Goals 2000, and other programs to link school reform with the creation of safe and drug-free schools.

Applicants proposing to fund activities under this element must include in their completed application an appendix that addresses the requirements described in appendix E.

6. Safe School Policies

Although schools are generally among the safest places for young people, safety is enhanced by schoolwide policies and practices that systemically address the needs of students, school personnel, and the community. Applicants should describe the policy components of their comprehensive plan with particular reference to (1) clear standards of student behavior, with enforcement, which consider the social and emotional needs of children; (2) a discipline code based on respect that is widely understood by parents, teachers, and students; (3) penalties that are imposed fairly and equitably and are commensurate with the severity of the infraction and provide alternative interventions that teach positive behaviors; (4) zero tolerance for drugs and weapons on school premises and at school-sponsored events; (5) formal evidence-based drug and violence preventive intervention programs; (6) policies and programs that address truancy; (7) policies and programs that address the needs of students being reintegrated from the juvenile justice system; (8) management information systems for reporting and analyzing violent and noncriminal incidents; and (9) policies and procedures to ensure that parents and the larger community are welcome in the school and have opportunities for meaningful participation in planning and carrying out the school's safety policies.

Applicants proposing to fund activities under this element must include in their completed application an appendix that addresses the requirements described in appendix E.

Evaluation

All sites will be required to participate in a national evaluation that will collect and analyze data on a common, cross-site set of core indicators. Each selected site's development and implementation of a comprehensive, integrated program that addresses the six elements of this initiative will be evaluated at the national and local levels. 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 relationship between the national evaluator and the local evaluators should be collaborative and supportive with guidance and leadership coming from the national evaluator.

Role of the National Evaluator

A national evaluator will be selected through a separate competitive process to direct the above cross-site evaluation. Sites will be required to cooperate with the national evaluator to ensure

common measurement across sites. The national evaluator will have primary responsibility for the following:

- Development of a set of core indicators and outcomes in collaboration with the Agencies for which data will be collected from all sites. The minimum set of core indicators will fall within five domains: prosocial behavior, antisocial behavior, school climate, economic data, and standardized demographic data. These indicators will allow sites to track positive changes during and after the implementation of the program(s) and/or service(s).
- Development of a common protocol to be used at each site for collection of core data.
- Creation and implementation of the data collection and management center for cross-site core data.
- Timely provision of consultation, training, and materials to each site as appropriate. This as and (m) assistance is intended to be a resource for local sites and will help each site achieve its specific objectives.
- Development and collection of data on site-specific variables in collaboration with each site for use as part of the local evaluations.
- Timely provision of information on site-specific core data to each site.
- Design, coordination, and oversight of 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. (Determination to conduct controlled studies will be made subsequent to making grant awards in consultation with the grant sites.)

Role of the Local Evaluator

Each applicant will be required to set aside sufficient funds (no less than 5 percent of the project budget) for evaluation and hire a local evaluator with whom it will work closely throughout the life of the Initiative. Applicants are encouraged to join with a local university, research organization, or other appropriate entity to assist with all evaluation activities.

Applicants must demonstrate a strong commitment to incorporating evaluation activities into their planning and implementation activities. The overall evaluation effort is intended to document and assess how program activities were implemented and whether goals and objectives were met. Evaluation should be an integral component of the plan to provide timely information for strategic planning, measure progress, suggest adjustments, and keep the Initiative outcome focused.

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

- Help the site strategically plan activities that will achieve the program goals and objectives.

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- Respond to the direction of 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 an outcome evaluation. The purpose of this evaluation is to determine whether an intervention is producing its intended effects.

Review Process

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

Applications submitted that are designated as Federal Empowerment Zones or Enterprise Communities will receive a supplemental five points for the Problem(s) To Be Addressed review criterion. (The total number of points cannot exceed the allotted 20 points.)

Project Requirements and Review Criteria

Applications will be judged using the following project requirements and review criteria.

Problem(s) to be Addressed (20 points)

(Note: Applications from Federal Empowerment Zones or Enterprise Communities will receive an automatic five points under this criterion. The total number of points awarded cannot exceed 20.)

These criteria will be used to assess the extent to which the application is based on a clear and accurate statement of a significant problem faced by the target community, including the following:

- The magnitude or severity of the problem(s) to be addressed by the proposed strategy.
- The extent to which existing gaps in services and resources exist, the magnitude of those gaps and weaknesses, and the extent to which the community is ready to improve current conditions.

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- ❑ The factual basis for the problem statement, based on data including, at a minimum but not limited to, the rates of the following:
 - Students engaged in alcohol and drug use and violent behavior.
 - Incidence and prevalence of alcohol and drug use by youth.
 - Weapon carrying or possessing in schools.
 - Incidents of serious and violent crime in schools.
 - Truancy and other unauthorized absences.
 - Suicidal behaviors.
 - Student suspensions and expulsions.
 - Students on probation.
 - Students in juvenile justice placements.
 - Students in foster care and child protective services.
 - Children abused and neglected.
 - School attendance and academic performance data.
 - Students with emotional and behavioral disorders.

 - ❑ Evidence of community risk factors that may contribute to youth violence, drug use, and delinquency such as the following:
 - Socioeconomic conditions as measured by the percentage of families at or below the poverty level and the percentage of students receiving free and reduced meals at school.
 - Population turnover.
 - Racial and ethnic heterogeneity.
 - Housing density.
 - Household composition.
 - Crime and delinquency rates including domestic violence and rape.
 - Suicide rates.

 - ❑ The extent to which the problem statement includes an assessment of the community resources available for children and adolescents, including:
 - Number of afterschool programs.
 - Number of youth served by programs to build social skills.
 - Number and quality of community mental health and social service organizations available to provide services to children, adolescents, and families.
 - Number of youth participating in academic readiness programs.
 - Number and types of early intervention services and programs.
 - Number and types of law enforcement prevention programs.
 - Number and quality of substance abuse prevention programs.
 - Presence of a community anti-drug coalition.

Goals and Objectives (10 points)

In assessing the goals and objectives of the proposed comprehensive plan, the following factors are considered.

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- The extent to which the goals and objectives for the proposed strategy are clearly defined, measurable, and attainable.
 - The extent to which the proposed strategy will meet the established goals and objectives and lead to healthy childhood development and positive mental health and to safe, disciplined, and alcohol- and drug-free learning environments.
 - The extent to which the objectives identified are related to measurable action steps needed to achieve the goal(s).

Design of Proposed Strategy (30 points)

In assessing the design of the proposed strategy, the following factors are considered.

Note: Strategies that propose activities under elements 2, 3, and/or 4 of the comprehensive strategy will have 10 points of the total 30 points based on selection of programs and interventions that are evidence-based (see appendix A for definition.)

- Extent to which the proposed strategy represents a comprehensive network in which each element of the Safe Schools/Healthy Students Initiative is addressed and incorporated in an integrated fashion.
- Extent to which the intervention is appropriate for the age and developmental levels, gender, and ethnic and cultural diversity of the target population.
- Extent to which the application clearly describes the programs, activities, and services that constitute the proposed strategy.
- Extent to which the application demonstrates a linkage between program activities and objectives of the strategy.
- Adequacy of the identified performance measures to demonstrate whether and to what extent the proposed strategy is meeting its short-term, intermediate, and long-term objectives.
- Extent to which the proposed strategy will be coordinated with similar or related efforts and will establish linkages with other appropriate agencies and organizations providing services to the target population including community, State, and Federal.
- Extent of the evidence of a partnership comprising the local educational agency, local public mental health authority, local law enforcement agency, students and members of their families, and juvenile justice officials.
- Adequacy and appropriateness of the plan to collect data related to violence from a variety of sources such as mental health services, social services, schools, law enforcement agencies, and the juvenile justice system.

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- Potential for continued support of the strategy after Federal funding ends, including, as appropriate, demonstrated commitment of appropriate entities to such support.
 - The extent to which the activities/interventions proposed under program elements 2, 3, and/or 4 of the comprehensive plan are evidence-based; that is, they have a solid base of research evidence demonstrating effectiveness. (See appendix A for definition of “evidence-based” and levels of evidence.) **Ten points will be used to assess the strength of this element of the Proposed Design Review Criteria.**
 - The extent to which the program is adequately documented so that both the process and positive outcome can be easily replicated.
 - The extent to which the program selected is designed to help meet the goals and objectives of the community’s comprehensive plan.

Evaluation Plan (10 points)

In determining the quality of the evaluation plan, the following factors will be considered:

- Extent to which the plan provides information for increasing the effectiveness of management and administration of the comprehensive plan, documents that objectives have been met, and determines the overall effectiveness of the plan, its programs, and strategies.
- Extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed strategy.
- Extent to which the methods of evaluation will provide timely guidance for quality assurance.

Management and Organizational Capability (20 points)

In determining the quality of management and organizational capability, the following factors are considered:

- Level of commitment proposed by the written agreements signed by the school superintendent, the head of the local public mental health authority, and the chief law enforcement executive and written agreements with other community partners.
- Relevance and demonstrated commitment of each partner in the proposed strategy to the implementation and success of the strategy, and how they will participate in the proposed project.
- Adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

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- Adequacy of procedures for communicating and sharing information among all partners to ensure feedback and continuous improvement in the operation of the strategy.
 - Skills, experience, time commitments, and educational requirements of key staff, and relevance to the objectives of the proposed strategy.
 - Extent to which staff and the training of those staff reflect the needs of the population to be served.

Budget (10 points)

The budget should be divided into separate sections that correspond to the six elements of the comprehensive plan. Both direct and indirect costs should be allocated within these sections. Budgeting by element of the plan is important because different Agencies fund different elements. In determining the quality of the budget, the following factors will be considered:

- Extent to which costs are reasonable in relation to the number of students to be served and the anticipated benefits and results.
- Extent to which fiscal control and accounting procedures will ensure prudent use, proper and timely disbursement, and accurate accounting of funds received under the program.

Applicant Information

Format

The program narrative must not exceed 30 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 12-point font standard text. 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 3 years in three 1-year budget periods. Applicants should submit a 3-year project plan and a 3-year budget segmented into 1-year budget periods. Funding after the first budget period depends on performance of the grantee, availability of funds, and other criteria established at the time of award. Funds from the U.S. Department of Justice, Office of Community Oriented Policing, to hire School Resource Officers are available for 3 years.

Award Amount

Up to \$3 million is available to urban districts for the initial 1-year budget period. Up to \$2 million is available to suburban districts for the initial 1-year budget period. Up to \$1 million is available to rural districts and tribal schools for the initial 1-year budget period.

In addition, funds are available from the U.S. Department of Justice, Office of Community Oriented Policing (COPS) for the provision of School Resource Officers.

Terms and Conditions of Support

Grant funds may be used only for expenses clearly related and necessary to carrying 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.
- 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 so 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 84.184L, Safe and Drug-Free Schools and Communities Act National Programs—Federal Activities Grants Programs.

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. *In the lower left-hand corner of the envelope, the applicant must clearly write “Safe Schools/Healthy Students Initiative.”*

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 June 1, 1999.

Contact

Questions regarding this Initiative should be directed to the appropriate agency:

Children, Adolescent, and Family Services Branch
Center for Mental Health Services
Substance Abuse and Mental Health Services
301-443-1333

Juvenile Justice Clearinghouse
Office of Juvenile Justice and Delinquency Prevention
800-638-8736

Office of Community Oriented Policing Services
Department of Justice Response Center
800-421-6770

Safe and Drug-Free Schools Program
U.S. Department of Education
202-260-9044

Rural areas designated as EZ-EC:
Office of Community Development
U.S. Department of Agriculture
202-619-7980

Bibliography

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Appendix A: Definitions

Definitions

Community policing: Community policing is a policing philosophy that promotes and supports organizational strategies to address the causes and reduce the fear of crime and social disorder through problem-solving tactics and community-police partnerships. A fundamental shift from traditional, reactive policing, community policing stresses the prevention of crime before it occurs. Community policing is an integral part of combating crime and improving the quality of life in the Nation's cities, towns, and rural areas. Core components of community policing include partnering with the community; problem solving; and transforming policing agencies to support and empower frontline officers, decentralize command and encourage innovative problem solving.

Developmentally appropriate: In designing prevention programs, the developmental appropriateness of different intervention strategies must be considered. A key question is whether the intervention takes into account the developmental stage of the child or youth targeted for the intervention by addressing appropriate risk and protective factors. For example, dyadic parent-child training programs may be effective with young children and early adolescents at risk for adopting violent coping strategies but they are not appropriate or may have negative effects on older adolescents who are seeking independence from parents and who look to peers for approval and status. Likewise, attempting to teach young elementary school children how to deal with peer pressure for engaging in violence or taking drugs is not likely to be effective because they have no understanding of the intense need for peer approval and badges of adult status that emerge with this developmental stage.

Evidence-based: The extent to which an intervention has scientific data to indicate the effectiveness of the intervention. Elements considered in establishing levels of evidence include *study design, intervention effects, sustainability of effects, and replication.*

Level I–A: *Evidence obtained from at least one randomized controlled study using an experimental design.*

[That is, the effectiveness of the program has been established using *experimental design* in which a *sufficient number of subjects* have been *randomly assigned* to either an intervention or a control group. In addition, the outcome of the program shows a *statistically significant positive effect*, and the effect is *sustained for at least 1 year post-intervention*. Evidence is stronger if the beneficial effect has been *replicated* in one or more settings.]

Level I–B: *Evidence obtained from at least one well-designed quasi-experimental controlled trial without randomization.*

[That is, a sufficient number of subjects have been assigned to either an intervention or a control group, but randomization is not required. As in the case of Level I–A, the outcome of the program shows a *statistically significant positive effect*, the effect is *sustained for at least 1 year post-intervention*, and the evidence is stronger if the beneficial effect has been *replicated* in one or more settings.]

Level II–A: *Evidence obtained using a quasi-experimental design, the outcome shows a significant positive effect, and the beneficial effect has been replicated in at least one setting.*

Level II–B: *Evidence obtained using a quasi-experimental design, and the outcome shows a significant positive effect.*

Level III: *Evidence obtained over time from strong and replicated results in uncontrolled experiments.*

Level IV: *Opinions of respected authorities, based on clinical experience, descriptive studies, or reports of expert committees.*

Local educational agency: (a) A public board of education or other public authority legally constituted within a State for either administrative control of or direction of, or to perform service functions of, public elementary or secondary schools in: (1) a city, county, township, school district, or other political subdivision of a State; or (2) a combination of school districts or counties a State recognizes as an administrative agency for its public elementary or secondary schools; or (b) any other public institution or agency that has administrative control and direction of a public elementary or secondary school. As used in the 34 CFR parts 400, 408, 525, 526, and 527 (vocational education programs), the term also includes any other public institution or agency that has administrative control and direction of a vocational education program.

Prevention: Reduction of risk of onset, or delay of onset, of an adverse health, mental health, or other outcome. Prevention interventions can be characterized as *universal*, *selective*, or *indicated*, based on the level of risk associated with the groups or individuals for whom the intervention is intended. Successful prevention interventions may reduce risk of onset, or they may delay onset, of negative outcomes. Preventive interventions may also include treatment interventions intended to reduce risk of comorbidity, attenuate severity of illness, or prevent relapse of episodic disorders in diagnosed populations.

Protective factor: Characteristics, variables, and/or conditions present in individuals or groups that increase resistance to risk and fortify against the development of a disorder or adverse outcome. Both protective and risk factors can vary over time.

Risk factor: Characteristics, variables, and/or hazards present in an individual or group that increase the likelihood of that individual or group developing a disorder or adverse outcome. Since both the potency and clustering of risk and protection can vary over time and developmental periods, successful, developmentally appropriate prevention interventions take this variation into account.

Rural*

A rural area is defined as:

(a) large town—an incorporated place or a Census-designated place (CDP) with a population of at least 25,000 and located outside a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA).

(b) small town—an incorporated place or CDP with a population between 2,500 and 24,999 and located outside a CMSA or MSA.

(c) any incorporated place, CDP, or non-place territory designated as rural by the U.S. Bureau of the Census.

School resource officer: A career law enforcement officer, with sworn authority, deployed in community-oriented policing, and assigned by the employing police department or agency to work in collaboration with schools and community-based organizations to: (a) address crime and disorder problems, gangs, and drug activities affecting or occurring in or around an elementary or secondary school; (b) develop or expand crime prevention efforts for students; (c) educate likely school-age victims in crime prevention and safety; (d) develop or expand community justice initiatives for students; (e) train students in conflict resolution, restorative justice, and crime awareness; (f) assist in the identification of physical changes in the environment that may reduce crime in or around the school; and (g) assist in developing school policy that addresses crime and recommend procedural changes.

Suburban*

A suburban area is defined as:

(a) urban fringe of a large city—any incorporated place, Census-designated place (CDP), or non-place territory within a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA) of a large city and defined as urban by the U.S. Bureau of the Census.

(b) urban fringe of a midsize city—any incorporated place, CDP, or non-place within a CMSA or MSA of a midsize central city and defined as urban by the U.S. Bureau of the Census.

Urban*

An urban area is defined as:

(a) large city—a central city of a metropolitan statistical area (MSA) or consolidated metropolitan statistical area (CMSA) with a population of at least 250,000.

(b) midsize city—central city of an MSA or CMSA with a population less than 250,000.

**Note: The definitions of rural, suburban, and urban are based upon school locale codes utilized by the National Center for Education Statistics Common Core Data (CCD) Public School Universe Data Information. These locale codes were systematically assigned by the Geography Division, Bureau of the Census. Codes were assigned based on the classification of the place in which each district is located. This was done by matching addresses from the CCD School Universe Survey to the U.S. Census Bureau's City Reference File.*

Appendix B: Resources/References

Resources/References

The organizations and resources listed are not exhaustive, nor is their inclusion intended as an endorsement by the U.S. Departments of Education, Health and Human Services, and Justice. Rather, these listings are intended to assist schools and communities in developing and enhancing comprehensive school safety plans.

Resources

U.S. Department of Education

400 Maryland Avenue SW.
Washington, DC 20202
www.ed.gov

Office of Correctional Education (OCE)

www.ed.gov/offices/OVAE/OCE/index.html

In April 1991, the U.S. Department of Education created a new office to provide national leadership on issues in correctional education. OCE provides technical assistance to States, local schools, and correctional institutions and shares information on correctional education.

Office of Special Education Programs (OSEP)

www.ed.gov/offices/OSERS/OSEP/index.html

OSEP provides leadership and fiscal resources to assist State and local efforts to educate children with disabilities in order to improve results for those children and to ensure equal protection of the law.

Regional Education Laboratories

www.nwrel.org/national/index.html

Regional Education Laboratories is a map of links to all 10 laboratories supported by the U.S. Department of Education to provide technical assistance to educators.

Safe and Drug-Free Schools Program

www.ed.gov/offices/OESE/SDFS

The Safe and Drug-Free Schools Program is the Federal government's primary vehicle for reducing drug, alcohol, and tobacco use, and violence, through education and prevention activities in our Nation's schools.

U.S. Department of Justice

950 Pennsylvania Avenue NW.
Washington, DC 20530-0001
www.usdoj.gov

National Criminal Justice Reference Service (NCJRS)

www.ncjrs.org

NCJRS is one of the most extensive sources of information on criminal and juvenile justice in the world, providing services to an international community of policymakers and professionals. NCJRS is a collection of clearinghouses supporting all bureaus of the U.S. Department of Justice, Office of Justice Programs (OJP): the National Institute of Justice, OJJDP, the Bureau of Justice Statistics, the Bureau of Justice Assistance, the Office for Victims of Crime, and the OJP Program Offices.

Office of Community Oriented Policing Services (COPS)

www.usdoj.gov/cops

Established under the Public Safety Partnership and Community Policing Act of 1994, COPS has four primary goals: increase the number of community policing officers on the beat by 100,000; promote the implementation of departmentwide community policing in law enforcement agencies across the country; help develop an infrastructure that will institutionalize and sustain community policing after Federal funding has ended; and demonstrate and evaluate the ability of agencies practicing community policing to significantly improve the quality of life by reducing the levels of violence, crime, and disorder in their communities.

Office of Juvenile Justice and Delinquency Prevention (OJJDP)

www.ojjdp.ncjrs.org

OJJDP's mission is to provide national leadership, coordination, and resources to develop, implement, and support effective methods of preventing juvenile victimization and responding appropriately to juvenile delinquency. This is accomplished through prevention programs and a juvenile justice system that protects the public safety, holds juvenile offenders accountable, and provides treatment and rehabilitative services based on the needs of each juvenile.

U.S. Department of Health and Human Services

200 Independence Avenue SW.
Washington, DC 20201
www.hhs.gov

Center for Mental Health Services (CMHS)

www.samhsa.gov/cmhs/htm

CMHS, a SAMHSA program, provides national leadership to prevent and treat mental disorders; improve access and promote high-quality services for people with, or at risk for, these disorders; and promote improvement of mental health for all Americans and rehabilitation services for individuals with mental illness.

Center for Substance Abuse Prevention (CSAP)

www.samhsa.gov/csap/index.htm

CSAP, a SAMHSA program, provides national leadership in the Federal effort to prevent alcohol, tobacco, and illicit drug problems.

Centers for Disease Control and Prevention, Division of Adolescent and School Health (DASH)

www.cdc.gov/nccdphp/dash

DASH's mission is to: identify the highest priority health risks among youth, monitor the incidence and prevalence of those risks, implement national programs to prevent risks, and evaluate and improve those programs.

Centers for Disease Control and Prevention, Division of Violence Prevention

www.cdc.gov/ncipc/dvp/dvp.htm

The Division of Violence Prevention in CDC's National Center for Injury Prevention and Control has four priority areas for violence prevention: youth violence, family and intimate violence, suicide, and firearm injuries.

Health Resources and Services Administration (HRSA), Bureau of Primary Health Care (BPHC)

www.bphc.hrsa.dhhs.gov

BPHC promotes and establishes school-based health centers as an effective way to improve the health of vulnerable children and adolescents.

Health Resources and Services Administration (HRSA), Maternal and Child Health Bureau (MCBH)

www.hhs.gov/hrsa/mchb

MCBH is charged with the primary responsibility for promoting and improving the health of the Nation's mothers and children, including families with low income levels, those with diverse racial and ethnic heritages, and those living in rural or isolated areas without access to care.

National Institute of Mental Health (NIMH)

www.nimh.nih.gov

NIMH conducts and supports research nationwide on mental illness and mental health, including studies of the brain, behavior, and mental health services. NIMH is the foremost mental health research organization in the world, with a mission dedicated to improving the mental health of the American people; fostering better understanding of effective diagnosis, treatment, and rehabilitation of mental and brain disorders; and supporting research on interventions to prevent mental illness or to reduce the frequency of recurrent episodes of mental illnesses and their disabling consequences.

Substance Abuse and Mental Health Services Administration (SAMHSA)

www.samhsa.gov

SAMHSA's mission within the Nation's health system is to improve the quality and availability of prevention, treatment, and rehabilitation services to reduce illness, death, disability, and cost to society from substance abuse and mental illnesses.

Online Federal Documents

Annual Report on School Safety, 1998

www.ed.gov/pubs/AnnSchoolRept98

Details the nature and scope of school violence and provides information on model programs, resources, and steps that schools and communities can take to create and maintain safe learning environments.

Child Development—Community Policing: Partnership in a Climate of Violence

www.ncjrs.org/jjdp.htm

Describes a unique collaborative program between the New Haven, CT, Department of Police Services and the Child Study Center at the Yale University School of Medicine that addresses the psychological impact of chronic exposure to community violence on children and families. This program serves as a national model for police-mental health partnerships across the country.

Combating Fear and Restoring Safety in Schools

www.ncjrs.org/jjvict.htm

Focuses on the national effort to reach youth who are absent or truant from school because of school-associated fear and intimidation.

Conflict Resolution Education: A Guide to Implementing Programs in Schools, Youth-Serving Organizations, and Community and Juvenile Justice Settings

www.ncjrs.org/jjdp.htm

Provides a reference tool that offers both basic information and experts' experience to assist educators and other youth-serving professionals in building effective conflict resolution education programs. The guide is based on a shared vision that youth of all ages can learn to deal constructively with conflict and live in civil association with one another.

Creating Safe and Drug-Free Schools: An Action Guide

www.ed.gov/offices/OESE/SDFS/actguid/index.html

Outlines action steps for schools, parents, students, and community and business groups, and provides information briefs on specific issues affecting school safety. It also contains research and evaluation findings and a list of resources and additional readings.

Early Warning, Timely Response: A Guide to Safe Schools

www.ed.gov/offices/OSERS/OSEP/earlywrn.html

Offers research-based practices designed to assist school communities identify warning signs early and develop prevention, intervention, and crisis response plans.

Keeping Young People in School: Community Programs that Work

www.ncjrs.org/jjdp.htm

Highlights dropout prevention initiatives, with a particular focus on the Communities in Schools (CIS) initiative and its evaluation conducted by the Urban Institute.

Manual to Combat Truancy

www.ed.gov/pubs/Truancy

Offers parents, school officials, law enforcement agencies, and communities a set of principles to design their own strategies to combat truancy and describes successful models of how anti-truancy initiatives are working in communities across the Nation.

Mentoring—A Proven Delinquency Prevention Strategy

www.ncjrs.org/jjdp.htm

Presents the results of an independent evaluation of the Nation's oldest and largest mentoring program, Big Brothers/Big Sisters of America. The study found that mentored youth were less likely to start using drugs or alcohol, were less assaultive, skipped fewer days of school, and had better relationships with their parents and peers than similar youth without mentors.

Preventing Crime: What Works, What Doesn't, What's Promising

www.ncjrs.org

Contains a review of more than 500 program impact evaluations and identifies what works, what does not, and what is promising in crime prevention.

Reaching Out to Youth Out of the Education Mainstream

www.ncjrs.org/jjdp.htm

Describes a new effort to reduce the number of juveniles who leave school prematurely and who are at risk of delinquency because they are truants or dropouts, afraid to attend school, suspended or expelled, or in need of help to be reintegrated into their mainstream school from the juvenile justice system. This Bulletin introduces a series of OJJDP Bulletins focusing on effective programs and innovative strategies to reach these children.

Safe, Drug-Free, and Effective Schools for All Students: What Works

www.air-dc.org/cecp/resources/safe&drug_free.main.htm

Evaluates programs formulated under the Safe and Drug-Free Schools Act. The goal of the project was to learn about schools that managed to reduce discipline problems and improve the learning and behavior of all students, including those with disabilities. This report reflects three site visits conducted by a research team accompanied by expert panels.

Safe and Smart: Making the After-School Hours Work for Kids

www.ed.gov/pubs/SafeandSmart

Presents positive research and examples illustrating the potential of quality afterschool activities to keep children safe, out of trouble, and learning. Specifically, it presents evidence of success—both empirical and anecdotal—for afterschool activities; identifies key components of high-quality programs and effective program practices; and showcases exemplary afterschool and extended learning models from across the country with promising results in our Nation's efforts to keep children in school and on track.

Sharing Information: A Guide to the Family Educational Rights and Privacy Act and Participation in Juvenile Justice Programs

www.ncjrs.org/jjgen.htm

Provides basic information on the Family Educational Rights and Privacy Act (FERPA) for elementary and secondary education professionals and those involved in the delivery of services to juveniles, including students involved in the juvenile justice system.

Truancy: First Step to a Lifetime of Problems

www.ncjrs.org/jjdp.htm

Discusses truancy as a major problem in this country, both for youth and society. Highlights seven communities whose truancy reduction programs are achieving good results through innovative

approaches that involve schools, law enforcement, families, businesses, judicial and social service agencies, and community and youth service organizations.

Organizations

American Federation of Teachers

555 New Jersey Avenue NW.
Washington, DC 20001
202-879-4400
www.aft.org

Black Psychiatrists of America (BPA)

866 Carlton Avenue
Oakland, CA 94610
415-834-7103

Boys & Girls Clubs of America

1230 West Peachtree Street NW.
Atlanta, GA 30309
404-815-5765
www.bgca.org

Center for Effective Collaboration and Practice

Improving Services for Children and Youth with Emotional and Behavioral Problems
1000 Thomas Jefferson Street NW.
Suite 400
Washington, DC 20007
202-944-5389
www.air-dc.org/cecp/cecp.html

Center for Positive Behavior Intervention and Support

5262 University of Oregon
Eugene, OR 97403-5262
541-346-5311
www.stpreof.uoregon.edu

Center for the Study and Prevention of Violence

University of Colorado at Boulder, Campus Box 442
Boulder, CO 80309-0442
303-492-1032
www.colorado.edu/UCB/Research/cspv

Children's Defense Fund

25 E Street NW.
Washington, DC 20001
202-628-8787

Community Mental Health Council

Attn: Dr. Carl Bell
8704 South Constance Street
Chicago, IL 60617
773-734-4033, ext. 204

Community Policing Consortium

1726 M Street NW.
Washington, DC 20036
Publications: 800-421-6770
www.communitypolicing.org

Federation of Families for Children's Mental Health

1021 Prince Street
Alexandria, VA 22314-2971
703-684-7710

Hamilton Fish National Institute on School and Community Violence

1925 North Lynn Street
Suite 305
Rosslyn, VA 22209
703-527-4217
www.hfni.gsehd.gwu.edu

Hispano/Latino Community Prevention Network

601 East Montecito Street
P.O. Box 42506
Santa Barbara, CA 93140
508-580-7856

National Association of Black Social Workers (NABSW)

8436 West McNichols
Detroit, MI 48221

National Association of Elementary School Principals

1615 Duke Street
Alexandria, VA 22314-3483
703-684-3345
www.naesp.org

National Association of State Mental Health Program Directors/Commissioners

66 Canal Center Plaza
Suite 302
Alexandria, VA 22314
703-739-9333

National Association of School Psychologists

4340 East West Highway
Suite 402
Bethesda, MD 20814
301-657-0270
www.naspweb/org/center.html

National Association of Secondary School Principals

1904 Association Drive
Reston, VA 22091
703-860-0200
www.nassp.org

National Black Child Development Institute

1023 15th Street NW., Suite 251
Washington, DC 20005
301-434-5688

**National Coalition of Hispanic Health and
Human Services Organizations (COSSMHO)**

1501 16th Street NW.
Washington, DC 20036-1401
202-797-4321

National Education Association

1201 16th Street NW.
Washington, DC 20036
202-833-4000
www.nea.org

National Hispanic/Latino Community Prevention Network

Route 1, Box 204
Española, NM 87532
505-747-1889

**National Information Center for Children and
Youth with Disabilities (NICHCY)**

Academy for Educational Development
P.O. Box 1492
Washington, DC 20013-1492
202-884-8200
www.nichcy.org

National Mental Health Association

1021 Prince Street
Alexandria, VA 22314-2971
703-684-7722

National PTA

330 North Wabash Avenue
Suite 2100
Chicago, IL 60611-3690
800-307-4PTA
www.pta.org

National Technical Assistance Center for Children's Mental Health

Georgetown University Child Development Center
3307 M Street NW.
Washington, DC 20007
202-687-5000

Organization of Latino Social Workers (OLASW)

2319 South Damen Avenue
Chicago, IL 60608
773-579-0832

Zero to Three, National Center for Infants, Toddlers, and Families

734 15th Street NW.
10th Floor
Washington, DC 20005-1013
202-638-0840

Web Sites**Blueprints for Violence Prevention**

www.Colorado.EDU/cspv/blueprints

The Center for the Study and Prevention of Violence (CSPV), with funding from the Colorado Division of Criminal Justice and the Centers for Disease Control and Prevention (and later from the Pennsylvania Commission on Crime and Delinquency), initiated a project to identify 10 violence prevention programs that met a very high scientific standard of program effectiveness—programs that could provide an initial nucleus for a national violence prevention initiative. Blueprints were designed to be very practical descriptions of effective programs to allow States, communities, and individual agencies to: (1) determine the appropriateness of this intervention for their State or community; (2) provide a realistic cost estimate for this intervention; (3) provide an assessment of the organizational capacity needed to ensure its successful startup and operation over time; and (4) give some indication of the potential barriers and obstacles that might be encountered when attempting to implement this type of intervention.

Institute on Violence and Destructive Behavior

www.interact.uoregon.edu/ivdb/ivdb.html

The Institute's mission is to empower schools and social service agencies to address violence and destructive behavior at the point of school entry and beyond, to ensure safety and facilitate the academic achievement and healthy social development of children and youth. This is a

combination of community, campus, and State efforts to research violence and destructive behavior among children and youth.

The National Longitudinal Study of Adolescent Health (Add Health)

www.cpc.unc.edu/projects/addhealth/addhealth_home.html

Add Health is a school-based study of the health-related behaviors of adolescents in grades 7–12. It has been designed to explore the causes of these behaviors, with an emphasis on the influence of social context. Add Health postulates that families, friends, schools, and communities play roles in the lives of adolescents that may encourage healthy choices of activities or may lead to unhealthy, self-destructive behaviors.

Law-Related Education

www.abanet.org/publiced/youth/youth.html

Law-related education (LRE) teaches elementary and secondary students about the foundations of our constitutional republic and their responsibilities and rights as citizens. Through law-related education, students develop unique insights that promote social responsibility, reaffirm the fundamental values of right and wrong, and inspire a commitment to good citizenship. LRE programs which have been demonstrated to be effective can be integrated into existing courses (e.g., government, civics, and history), offered as electives (e.g., high school practical law course), used as the focus of a special event (e.g., mock trial competition, mock congressional hearings, mock mediations, etc.), and/or used as components of an afterschool program. Specialized LRE programs have been developed and tested with the highest at-risk groups of youth including gang members, teen parents, and youth already in the juvenile justice system. LRE programs exist at the local (school), Statewide, and national level. These programs recognize the need for partnerships with law enforcement, the bar, the bench, and others.

National School Safety Center

www.nssc1.org

The National School Safety Center (NSSC) was created by presidential directive in 1984 to meet the growing need for additional training and preparation in school crime and violence prevention. Affiliated with Pepperdine University, NSSC is a nonprofit organization whose charge is to promote safe schools—free of crime and violence—and to help ensure quality education for all of America's children.

National Youth Gang Center

www.iir.com/nygc

The purpose of the National Youth Gang Center (NYGC) is to expand and maintain the body of critical knowledge about youth gangs and effective responses to them. The NYGC assists State and local jurisdictions in the collection, analysis, and exchange of information on gang-related demographics, legislation, literature, research, and promising program strategies. It also coordinates activities of the OJJDP Youth Gang Consortium, a group of Federal agencies, gang program representatives, and service providers.

Partnerships Against Violence Network (PAVNET)

www.pavnet.org

PAVNET Online is a virtual library of information about violence and youth-at-risk, representing data from seven different Federal agencies. It is a one-stop, searchable, information resource to help reduce redundancy in information management and provide clear and comprehensive access to information for States and local communities.

Regional Education Laboratories

www.nwrel.org/national/index.html

Regional Education Laboratories is a map of links to all 10 laboratories supported by the U.S. Department of Education to provide technical assistance to educators: NCREL, McREL, AEL, WestEd, SEDL, PREL, SERVE, NWREL, LSS, and LAB.

School Mental Health Project/Center for Mental Health in Schools (UCLA)

www.smhp.psych.ucla.edu

The Center's mission is to improve outcomes for youth by enhancing policies, programs, and practices relevant to mental health in schools, with specific attention to strategies that can counter fragmentation and enhance collaboration between school and community programs.

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Appendix C: General Application Forms

APPLICATION FOR FEDERAL ASSISTANCE

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

5. APPLICANT INFORMATION

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

6. EMPLOYER IDENTIFICATION NUMBER (EIN): C O - 9 8 7 6 5 4 3	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 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): _____	9. NAME OF FEDERAL AGENCY: Office of Juvenile Justice and Delinquency Prevention
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10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 1 6 5 4 2 TITLE: National Institute for Juvenile Justice and Delinquency Prevention	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Project to Expand and Improve Juvenile Restitution Program
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12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): Arlington, VA

13. PROPOSED PROJECT: Start Date: 10/01/98 Ending Date: 09/30/99	14. CONGRESSIONAL DISTRICTS OF: a. Applicant: 19 b. Project: 19
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15. ESTIMATED FUNDING: <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	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
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																				

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/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	Type of Submission: If this proposal is not for construction or building purposes, check “Non-Construction.”
2	Date Submitted: 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	Date Received by State: Leave blank. This block is completed by the State single point of contact, if applicable.
4	Date Received by Federal Agency: This item will be completed by OJP.
5	Applicant Information: 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	Employer Identification Number: Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	Type of Applicant: Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	Type of Application: Check 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	Name of Federal Agency: Type in the name of the awarding agency, such as “Office of Juvenile Justice and Delinquency Prevention.”
10	Catalog of Federal Domestic Assistance Number: This would be contained in the program announcement.
11	Descriptive Title of Applicants Project: Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex: 10/1/98–9/30/99.
12	Areas Affected by Project: Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	Proposed Project Dates: Fill in the proposed begin and end dates of the project.
14	Congressional Districts: 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	Estimated Funding: In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will available to the project and the source of those funds on lines “b-f,” as appropriate.
16	State Executive Order 12372: Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds. 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	Delinquent Federal Debt: This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	Authorized Representative: Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as “original” to help 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
		TOTAL _____

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

Name/Position	Computation	Cost
		TOTAL _____
		Total Personnel & Fringe Benefits _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., 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
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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
		TOTAL _____

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

Purpose	Description of Work	Cost
		TOTAL _____

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

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

Name of Consultant	Service Provided	Computation	Cost
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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
		TOTAL _____

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

Description	Computation	Cost
		TOTAL _____

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

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

Budget Detail Worksheet

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>		
		TOTAL \$177,900

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>		
		TOTAL \$48,964
		Total Personnel & Fringe Benefits \$226,864

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
<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.

Item	Computation	Cost
<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.

Supply Items	Computation	Cost
<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>		
		TOTAL <u>\$1,840</u>

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
<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>		
		TOTAL <u>\$10,000</u>

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
<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.)

Item	Location	Computation	Cost
<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.

Item	Cost
<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.

Description	Computation	Cost
<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>
		TOTAL <u>\$13,500</u>

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
<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>		
		TOTAL <u>\$22,686</u>

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.

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

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

ASSURANCES

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

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

Signature

Date

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.

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
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4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime: Congressional District, if known: _____
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6. Federal Department/Agency: 	7. Federal Program Name/Description: CFDA Number, if applicable: _____
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8. Federal Action Number, if known: _____	9. Award Amount, if known: \$ _____
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10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): _____	b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI): _____
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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.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
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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.

Appendix D: Office of Community Oriented Policing Application Forms

Universal Hiring Program Budget Information

Applicant Name: _____ ORI Code (Assigned by FBI): _____ State: _____

This worksheet will assist you in properly organizing and estimating your costs and providing the necessary details for financial review. Complete Part 1 if you are requesting funds for full-time officers, Part 2 if you are requesting part-time officers, and both parts if you are requesting full- and part-time officers. Everyone must complete a Budget Summary. If you plan to hire more than one part-time officer and they will be working a different number of hours, use average salary and benefit figures.

The budget information you provide will be used to calculate your grant amount. Assistance in completing this information is available from the U.S. Department of Justice Response Center at 1-800-421-6770, or by writing the COPS Office, 1100 Vermont Avenue, NW, Washington, DC 20530. OMB Approval #1103-0027, exp. 5/98

Part 1: Complete If You Are Requesting Full-Time Officers

1. Cost Per Full-Time Officer – Year 1

Current Annual Entry-Level Base Salary \$ _____(a)

Annual Fringe Benefits:

*FICA / Social Security	\$ _____
Health Insurance	\$ _____
Life Insurance	\$ _____
Vacation	\$ _____
Sick Leave	\$ _____
Retirement	\$ _____
*Worker’s Comp.	\$ _____
*Unemployment Ins.	\$ _____
Other _____	\$ _____
<i>(Please list others.)</i>	

Total Fringe Benefits \$ _____(b)

Total Year 1 Salary and Benefits \$ _____(c)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level officer.

Department costs of FICA/SS (may not exceed 7.65%).
Department costs toward health insurance coverage.
Department costs toward life insurance coverage.
Department vacation costs, if not included in base salary.
Department sick leave costs, if not included in base salary.
Department contribution to retirement benefits.
Department costs of worker’s compensation.
Department costs of unemployment insurance.
Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 1.
 Year 1 base salary plus Year 1 fringe benefits (line a + line b).

2. Cost Per Full-Time Officer – Year 2

Current Annual Entry-Level Base Salary \$ _____ (d)

Annual Fringe Benefits:

*FICA / Social Security \$ _____
 Health Insurance \$ _____
 Life Insurance \$ _____
 Vacation \$ _____
 Sick Leave \$ _____
 Retirement \$ _____
 *Worker’s Comp. \$ _____
 *Unemployment Ins. \$ _____
 Other _____ \$ _____
 (Please list others.)

Total Fringe Benefits \$ _____ (e)

Total Year 2 Salary and Benefits \$ _____ (f)

3. Cost Per Full-Time Officer – Year 3

Current Annual Entry-Level Base Salary \$ _____ (g)

Annual Fringe Benefits:

*FICA / Social Security \$ _____
 Health Insurance \$ _____
 Life Insurance \$ _____
 Vacation \$ _____
 Sick Leave \$ _____
 Retirement \$ _____
 *Worker’s Comp. \$ _____
 *Unemployment Ins. \$ _____
 Other _____ \$ _____
 (Please list others.)

Total Fringe Benefits \$ _____ (h)

Total Year 3 Salary and Benefits \$ _____ (i)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level officer in Year 2.

Department costs of FICA/SS (may not exceed 7.65%).

Department costs toward health insurance coverage.

Department costs toward life insurance coverage.

Department vacation costs, if not included in base salary.

Department sick leave costs, if not included in base salary.

Department contribution to retirement benefits.

Department costs of worker’s compensation.

Department costs of unemployment insurance.

Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 2.

Year 2 base salary plus Year 2 fringe benefits (line d + line e).

Instructions

Enter the base annual salary that your department currently pays a new, entry-level officer in Year 3.

Department costs of FICA/SS (may not exceed 7.65%).

Department costs toward health insurance coverage.

Department costs toward life insurance coverage.

Department vacation costs, if not included in base salary.

Department sick leave costs, if not included in base salary.

Department contribution to retirement benefits.

Department costs of worker’s compensation.

Department costs of unemployment insurance.

Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 3.

Year 3 base salary plus Year 3 fringe benefits (line g + line h).

Department Name: _____ ORI Code (Assigned by FBI): _____

Part 2: Complete If You Are Requesting Part-Time Officers

Note: There is a funding cap for part-time officers in proportion to the number of hours worked (e.g., 20 hours/week = .5 full-time equivalent officer).

- 1. Part-Time Hours:** What is the average number of hours per week that your part-time COPS officer will work? _____
 How many hours per week is considered full-time employment? _____
 What is the average number of hours per year that your part-time COPS officer will work? _____
 What is the hourly rate for the part-time COPS officer? _____
 Multiply the hourly rate by the average number of hours per year and enter this amount in (j) below.

2. Cost Per Part-Time Officer – Year 1

**Current Annual Entry-Level Base Salary
 For a Part-Time Officer** \$ _____(j)

Annual Fringe Benefits:

- *FICA/Social Security \$ _____
 - Health Insurance \$ _____
 - Life Insurance \$ _____
 - Vacation \$ _____
 - Sick Leave \$ _____
 - Retirement \$ _____
 - *Worker’s Comp. \$ _____
 - *Unemployment Ins. \$ _____
 - Other _____ \$ _____
- (Please list others.)

Total Fringe Benefits \$ _____(k)
Total Year 1 Salary and Benefits \$ _____(l)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level, part-time officer.

- Department costs of FICA/SS (may not exceed 7.65%).
- Department costs toward health insurance coverage.
- Department costs toward life insurance coverage.
- Department vacation costs, if not included in base salary.
- Department sick leave costs, if not included in base salary.
- Department contribution to retirement benefits.
- Department costs of worker’s compensation.
- Department costs of unemployment insurance.
- Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.**

Sum of department fringe benefit costs for Year 1.
 Year 1 base salary plus Year 1 fringe benefits (line j + line k).

3. Cost Per Part-Time Officer – Year 2

Current Annual Entry-Level Base Salary \$ _____(m)

Annual Fringe Benefits:

*FICA / Social Security \$ _____
Health Insurance \$ _____
Life Insurance \$ _____
Vacation \$ _____
Sick Leave \$ _____
Retirement \$ _____
*Worker’s Comp. \$ _____
*Unemployment Ins. \$ _____
Other _____ \$ _____
(Please list others.)

Total Fringe Benefits \$ _____(n)
Total Year 2 Salary and Benefits \$ _____(o)

4. Cost Per Part-Time Officer – Year 3

Current Annual Entry-Level Base Salary \$ _____(p)

Annual Fringe Benefits:

*FICA / Social Security \$ _____
Health Insurance \$ _____
Life Insurance \$ _____
Vacation \$ _____
Sick Leave \$ _____
Retirement \$ _____
*Worker’s Comp. \$ _____
*Unemployment Ins. \$ _____
Other _____ \$ _____
(Please list others.)

Total Fringe Benefits \$ _____(q)
Total Year 3 Salary and Benefits \$ _____(r)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level, part-time COPS officer in Year 2.

Department costs of FICA/SS (may not exceed 7.65%).
Department costs toward health insurance coverage.
Department costs toward life insurance coverage.
Department vacation costs, if not included in base salary.
Department sick leave costs, if not included in base salary.
Department contribution to retirement benefits.
Department costs of worker’s compensation.
Department costs of unemployment insurance.
Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 2.
Year 2 base salary plus Year 2 fringe benefits (line m + line n).

Instructions

Enter the base annual salary that your department currently pays a new, entry-level, part-time COPS officer in Year 3.

Department costs of FICA/SS (may not exceed 7.65%).
Department costs toward health insurance coverage.
Department costs toward life insurance coverage.
Department vacation costs, if not included in base salary.
Department sick leave costs, if not included in base salary.
Department contribution to retirement benefits.
Department costs of worker’s compensation.
Department costs of unemployment insurance.
Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 3.
Year 3 base salary plus Year 3 fringe benefits (line p + line q).

Department Name: _____ ORI Code (Assigned by FBI): _____

Part 3: Universal Hiring Program – Budget Summary

After completing Part 1 and/or Part 2 of this form, answer the following questions. If necessary, attach an explanation of how you computed salaries and benefits for the worksheet. Be sure to answer **EVERY** question. Missing or erroneous information can greatly slow the grant-making process.

1. If your department's second- and third-year costs for salaries and/or benefits are greater than the first year, check the reason(s) why in the space below:

Cost of living adjustment (COLA) Step raises Changes in benefit costs Other (attach an explanation)

2. If you are requesting full-time officer(s), what is the department's total 3-year cost for salaries and benefits for one officer ?

(c + f + i): _____(s)

Multiple the total from (s) above by 0.75 (75%): \$ _____(t). Compare (t) to \$75,000. Write whichever amount is LESS: \$ _____(u). This is the maximum amount of Federal funds for which your department is eligible.

If you are requesting part-time officer(s), what is the department's total 3-year cost for salaries and benefits for one officer?

(l + o + r): _____(v)

Multiple the total from (v) above by 0.75 (75%): \$ _____(w). This is the maximum amount of Federal funds for which your department is eligible.

3. State and municipal agencies that receive Federal grants are required to have audits of those grants forwarded to a single Federal agency (Justice, HUD, HHS, Transportation, etc.). The single Federal agency where such audits are sent is known as your "Cognizant Federal Agency." For assistance in determining which Federal agency receives your audits, call 1-800-421-6770. Enter the name of this Federal agency in the space below:

4. Starting date of your fiscal year: _____ Ending date: _____

NOTE: UNLESS A WAIVER IS AUTHORIZED, FEDERAL FUNDS FOR EACH OFFICER CANNOT EXCEED 75 PERCENT OF 3-YEAR COSTS OF AN ENTRY-LEVEL OFFICER'S SALARY AND BENEFITS, OR \$75,000, WHICHEVER IS LESS.

*** IF NO FUNDS WERE BUDGETED FOR WORKER'S COMPENSATION, FICA OR UNEMPLOYMENT, PLEASE EXPLAIN.**

5. Under COPS grants, the Federal share of total salaries and benefits must decrease each year leading to full local funding by the fourth year of officers' employment. At the same time, your local share must increase each year. The percentage of total officers' salaries and benefits paid with Federal funds must be less in Year 2 than in Year 1 and less in Year 3 than in Year 2. Looking at it from the local funding perspective, the percentage of total officers' salaries and benefits paid with local funds must be more in Year 2 than in Year 1 and more in Year 3 than in Year 2. Fill out the following 3-year projection, showing how the Federal share and your share will change year by year for one officer. **If applying for a waiver, you must still complete the Federal and local amount sections as if you were not receiving a waiver.**

Federal Share Requirement for One Full-Time Officer's Salary and Benefits

	YEAR 1	YEAR 2	YEAR 3	TOTAL - 3 YEARS
Federal Amount <i>(Percentage must decrease each year)</i>	\$	\$	\$	\$ May not exceed 75% of total costs or \$75,000, whichever is smaller - line (u)
Local Amount <i>(Percentage must increase each year)</i>	\$	\$	\$	\$
Total <i>(Federal Amount plus Local Amount)</i>	\$ Year 1 - line (c)	\$ Year 2 - line (f)	\$ Year 3 - line (i)	\$ Total 3-year costs - line (s)

Federal Share Requirement for One Part-Time Officer's Salary and Benefits

	YEAR 1	YEAR 2	YEAR 3	TOTAL - 3 YEARS
Federal Amount <i>(Percentage must decrease each year)</i>	\$	\$	\$	\$ line (v)
Local Amount <i>(Percentage must increase each year)</i>	\$	\$	\$	\$
Total <i>(Federal Amount plus Local Amount)</i>	\$ Year 1 - line (l)	\$ Year 2 - line (o)	\$ Year 3 - line (r)	\$ Total 3-year costs - line (w)

Signature

The undersigned attests to the accuracy of the Budget Information submitted on the preceding pages.

Name (typed) of Authorized Official: _____ Title: _____

Signature: _____ Date: _____

Universal Hiring Program Budget Information

Applicant Name: Hessville, Maryland ORI Code (Assigned by FBI): MD99999 State: MD

This worksheet will assist you in properly organizing and estimating your costs and providing the necessary details for financial review. Complete Part 1 if you are requesting funds for full-time officers, Part 2 if you are requesting part-time officers, and both parts if you are requesting full and part-time officers. Everyone must complete a Budget Summary. If you plan to hire more than one person and they will be working a different number of hours, use average salary and benefit figures.

The budget information you provide will be used to calculate your grant amount. Assistance in completing this information is available from the U.S. Department of Justice Response Center at 1-800-421-6770, or by writing the COPS Office, 1100 Vermont Avenue, NW, Washington, DC 20530. OMB Approval #1103-0027, exp. 5/98



Part 1: Complete If You Are Requesting Full-Time Officers

1. Cost Per Full-Time Officer – Year 1

Current Annual Entry-Level Base Salary \$ 15,000 (a)

Annual Fringe Benefits:

*FICA/Social Security	\$ <u>1,147</u>
Health Insurance	\$ <u>3,000</u>
Life Insurance	\$ _____
Vacation	\$ _____
Sick Leave	\$ _____
Retirement	\$ <u>2,565</u>
*Worker’s Comp.	\$ <u>267</u>
*Unemployment Ins.	\$ <u>200</u>
Other _____	\$ _____
<i>(Please list others.)</i>	

Total Fringe Benefits \$ 7,179 (b)

Total Year 1 Salary and Benefits \$ 22,179 (c)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level officer.

Department costs of FICA/SS (may not exceed 7.65%).

Department costs toward health insurance coverage.

Department costs toward life insurance coverage.

Department vacation costs, if not included in base salary.

Department sick leave costs, if not included in base salary.

Department contribution to retirement benefits.

Department costs of worker’s compensation.

Department costs of unemployment insurance.

Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 1.

Year 1 base salary plus Year 1 fringe benefits (line a + line b).

2. Cost Per Full-Time Officer – Year 2

Current Annual Entry-Level Base Salary \$ 15,375 (d)

Annual Fringe Benefits:

*FICA/Social Security	\$ <u>1,176</u>
Health Insurance	\$ <u>3,075</u>
Life Insurance	\$ _____
Vacation	\$ _____
Sick Leave	\$ _____
Retirement	\$ <u>2,630</u>
*Worker's Comp.	\$ <u>273</u>
*Unemployment Ins.	\$ <u>200</u>
Other _____	\$ _____

(Please list others.)

Total Fringe Benefits \$ 7,354 (e)

Total Year 2 Salary and Benefits \$ 22,729 (f)

3. Cost Per Full-Time Officer – Year 3

Current Annual Entry-Level Base Salary \$ 15,759 (g)

Annual Fringe Benefits:

*FICA/Social Security	\$ <u>1,205</u>
Health Insurance	\$ <u>3,151</u>
Life Insurance	\$ _____
Vacation	\$ _____
Sick Leave	\$ _____
Retirement	\$ <u>2,695</u>
*Worker's Comp.	\$ <u>280</u>
*Unemployment Ins.	\$ <u>200</u>
Other _____	\$ _____

(Please list others.)

Total Fringe Benefits \$ 7,531 (h)

Total Year 3 Salary and Benefits \$ 23,290 (i)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level officer in Year 2.

Department costs of FICA/SS (may not exceed 7.65%).

Department costs toward health insurance coverage.

Department costs toward life insurance coverage.

Department vacation costs, if not included in base salary.

Department sick leave costs, if not included in base salary.

Department contribution to retirement benefits.

Department costs of worker's compensation.

Department costs of unemployment insurance.

Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 2.

Year 2 base salary plus Year 2 fringe benefits (line d + line e).

Instructions

Enter the base annual salary that your department currently pays a new, entry-level officer in Year 3.

Department costs of FICA/SS (may not exceed 7.65%).

Department costs toward health insurance coverage.

Department costs toward life insurance coverage.

Department vacation costs, if not included in base salary.

Department sick leave costs, if not included in base salary.

Department contribution to retirement benefits.

Department costs of worker's compensation.

Department costs of unemployment insurance.

Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 3.

Year 3 base salary plus Year 3 fringe benefits (line g + line h).

Applicant Name: Hessville, Maryland ORI Code (Assigned by FBI): MD99999

Part 2: Complete If You Are Requesting Part-Time Officers

Note: There is a funding cap for part-time officers in proportion to the number of hours worked (e.g., 20 hours/week = .5 full-time equivalent officer).

1. Part-Time Hours:

What is the average number of hours per week that your part-time COPS officer will work? 20
How many hours per week is considered full-time employment? 40
What is the average number of hours per year that your part-time COPS officer will work? 1000
What is the hourly rate for the part-time COPS officer? 7.50
Multiply the hourly rate by the average number of hours per year and enter this amount.

SAMPLE

2. Cost Per Part-Time Officer – Year 1

Current Annual Entry-Level Base Salary
For a Part-Time Officer \$ 7,500 (j)

Annual Fringe Benefits:

*FICA/Social Security \$ 574
Health Insurance \$ _____
Life Insurance \$ _____
Vacation \$ _____
Sick Leave \$ _____
Retirement \$ _____
*Worker's Comp. \$ 100
*Unemployment Ins. \$ 30
Other _____
(Please list others.)

Total Fringe Benefits \$ 704 (k)
Total Year 1 Salary and Benefits \$ 8,204 (l)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level, part-time officer.

Department costs of FICA/SS (may not exceed 7.65%).
Department costs toward health insurance coverage.
Department costs toward life insurance coverage.
Department vacation costs, if not included in base salary.
Department sick leave costs, if not included in base salary.
Department contribution to retirement benefits.
Department costs of worker's compensation.
Department costs of unemployment insurance.
Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 1.
Year 1 base salary plus Year 1 fringe benefits (line j + line k).

3. Cost Per Part-Time Officer – Year 2

Current Annual Entry-Level Base Salary \$ 7,800 (m)

Annual Fringe Benefits:

*FICA/Social Security	\$ <u>597</u>
Health Insurance	\$ _____
Life Insurance	\$ _____
Vacation	\$ _____
Sick Leave	\$ _____
Retirement	\$ _____
*Worker's Comp.	\$ <u>110</u>
*Unemployment Ins.	\$ <u>35</u>
Other _____	\$ _____

(Please list others.)

Total Fringe Benefits \$ 742 (n)

Total Year 2 Salary and Benefits \$ 8,542 (o)

4. Cost Per Part-Time Officer – Year 3

Current Annual Entry-Level Base Salary \$ 8,100 (p)

Annual Fringe Benefits:

*FICA/Social Security	\$ <u>620</u>
Health Insurance	\$ _____
Life Insurance	\$ _____
Vacation	\$ _____
Sick Leave	\$ _____
Retirement	\$ _____
*Worker's Comp.	\$ <u>120</u>
*Unemployment Ins.	\$ <u>40</u>
Other _____	\$ _____

(Please list others.)

Total Fringe Benefits \$ 780 (q)

Total Year 3 Salary and Benefits \$ 8,880 (r)

Instructions

Enter the base annual salary that your department currently pays a new, entry-level, part-time COPS officer in Year 2.

Department costs of FICA/SS (may not exceed 7.65%).

Department costs toward health insurance coverage.

Department costs toward life insurance coverage.

Department vacation costs, if not included in base salary.

Department sick leave costs, if not included in base salary.

Department contribution to retirement benefits.

Department costs of worker's compensation.

Department costs of unemployment insurance.

Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 2.

Year 2 base salary plus Year 2 fringe benefits (line m + line n).



Instructions

Enter the base annual salary that your department currently pays a new, entry-level, part-time COPS officer in Year 3.

Department costs of FICA/SS (may not exceed 7.65%).

Department costs toward health insurance coverage.

Department costs toward life insurance coverage.

Department vacation costs, if not included in base salary.

Department sick leave costs, if not included in base salary.

Department contribution to retirement benefits.

Department costs of worker's compensation.

Department costs of unemployment insurance.

Costs of equipment, training, uniforms, vehicles and overtime are not permitted. Please do not include these costs.

Sum of department fringe benefit costs for Year 3.

Year 3 base salary plus Year 3 fringe benefits (line p + line q).

Applicant Name: Hessville, Maryland ORI Code (Assigned by FBI): MD99999

Part 3: Universal Hiring Program – Budget Summary

After completing Part 1 and/or Part 2 of this form, answer the following questions. If necessary, attach an explanation of how you computed salaries and benefits for the worksheet. Be sure to answer **EVERY** question. Missing or erroneous information can greatly slow the grant-making process. Please call 1-800-421-6770 if you have any questions or need assistance.

1. If your department's second- and third-year costs for salaries and/or benefits are greater than the first year, explain the reason(s) why in the space below:

Cost of living adjustment (COLA) Step raises Changes in benefit costs Other (attach explanation)



2. If you are requesting full-time officer(s), what is the department's total 3-year cost for salaries and benefits for one officer?

(c + f + i): 68,198 (s)

Multiply the total from (s) above by 0.75 (75%): \$ 51,148 (t). Compare (t) to \$75,000. Write whichever amount is LESS: \$ 51,148 (u). This is the maximum amount of Federal funds for which your department is eligible.

If you are requesting part-time officer(s), what is the department's total 3-year cost for salaries and benefits for one officer?

(l + o + r): 25,626 (v)

Multiply the total from (v) above by 0.75 (75%): \$ 19,219 (w). This is the maximum amount of Federal funds for which your department is eligible.

3. State and municipal agencies that receive Federal grants are required to have audits of those grants forwarded to a single Federal agency (Justice, HUD, HHS, Transportation, etc.). The single Federal agency where such audits are sent is known as your "Cognizant Federal Agency." For assistance in determining which Federal agency receives your audits call 1-800-421-6770. Enter the name of this Federal agency in the space below:

U.S. Department of Justice

4. Starting date of your fiscal year: October 1 Ending date: September 30

NOTE: UNLESS A WAIVER IS AUTHORIZED, FEDERAL FUNDS FOR EACH OFFICER CANNOT EXCEED 75 PERCENT OF 3-YEAR COSTS OF AN ENTRY-LEVEL OFFICER'S SALARY AND BENEFITS, OR \$75,000, WHICHEVER IS LESS.

*** IF NO FUNDS WERE BUDGETED FOR WORKER'S COMPENSATION, FICA OR UNEMPLOYMENT, PLEASE EXPLAIN.**

5. Under COPS grants, the Federal share of total salaries and benefits must decrease each year leading to full local funding by the fourth year of officers' employment. At the same time, your local share must increase each year. The percentage of total officers' salaries and benefits paid with Federal funds must be less in Year 2 than Year 1 and less in Year 3 than Year 2. Looking at it from the local funding perspective, the percentage of total officers' salaries and benefits paid with local funds must be more in Year 2 than Year 1 and more in Year 3 than Year 2. Fill out the following 3-year projection, showing how the Federal share and your share will change year by year for one officer applying for a waiver, **you must still complete the Federal and local amount sections as if you were not receiving a waiver.**

SAMPLE

Federal Share Requirement for One Full-Time Officer's Salary and Benefits

	YEAR 1	YEAR 2	YEAR 3	TOTAL - 3 YEARS
Federal Amount <i>(Percentage must decrease each year)</i>	\$ 17,743	\$ 17,047	\$ 16,358	\$ 51,148 May not exceed 75% of total costs or \$75,000, whichever is smaller - line (u)
Local Amount <i>(Percentage must increase each year)</i>	\$ 4,436	\$ 5,682	\$ 6,932	\$ 17,050
Total <i>(Federal Amount plus Local Amount)</i>	\$ 22,179 Year 1 - line (c)	\$ 22,729 Year 2 - line (f)	\$ 23,290 Year 3 - line (i)	\$ 68,198 Total 3-year costs - line (s)

Federal Share Requirement for One Part-Time Officer's Salary and Benefits

	YEAR 1	YEAR 2	YEAR 3	TOTAL - 3 YEARS
Federal Amount <i>(Percentage must decrease each year)</i>	\$ 6,563	\$ 6,407	\$ 6,249	\$ 19,219 line (v)
Local Amount <i>(Percentage must increase each year)</i>	\$ 1,641	\$ 2,135	\$ 2,631	\$ 6,407
Total <i>(Federal Amount plus Local Amount)</i>	\$ 8,204 Year 1 - line (l)	\$ 8,542 Year 2 - line (o)	\$ 8,880 Year 3 - line (r)	\$ 25,626 Total 3-year costs - line (w)

Signature

The undersigned attests to the accuracy of the Budget Information submitted on the preceding pages.

Name (typed) of Authorized Official: _____ Title: _____

Signature: _____ Date: _____

SAMPLE



Certifications

Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements Coordination with Affected Agencies; Non-Supplanting; and Retention.

Although the Department of Justice has made every effort to simplify the application process, other provisions of Federal law require us to seek your certification regarding certain matters. Applicants should read the regulations cited below and the instructions for certification included in the regulations to understand the requirements and whether they apply to a particular applicant. 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)," and the coordination and non-supplanting requirements of the Public Safety Partnership and Community Policing Act of 1994. 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 grant.

1. Lobbying

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

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

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

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

2. Debarment, Suspension and Other Responsibility Matters (Direct Recipient)

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

A. The applicant certifies that it and its principals:

(i) 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;

(ii) 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 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;

(iii) 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 (A)(ii) of this certification; and

(iv) 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:

(i) 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;

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

- (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (d) The penalties that may be imposed upon employees for drug-abuse violations occurring in the workplace;
- (iii) 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 (i);
- (iv) Notifying the employee in the statement required by paragraph (i) that, as a condition of employment under the grant, the employee will —
- (a) Abide by the terms of the statement; and
 - (b) 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;
 - (v) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (iv)(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: COPS Office, 1100 Vermont Ave., NW, Washington, DC 20530. Notice shall include the identification number(s) of each affected grant;
 - (vi) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (iv)(b), with respect to any employee who is so convicted —
 - (a) 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
 - (b) 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;
 - (vii) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (i), (ii), (iii), (iv), (v) and (vi).

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

Place of performance (street address, city, county, state, zip code)

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

Section 67.630 of the regulations provides that a grantee that is a state may elect to make one certification in each Federal fiscal year, a copy of which should be included with each application for Department of Justice funding. States and state agencies may elect to use OJPForm 4061/7.

Check if the state has elected to complete OJPForm 4061/7.

4. Coordination

The Public Safety Partnership and Community Policing Act of 1994 requires applicants to certify that there has been appropriate coordination with all agencies that may be affected by the applicant's grant proposal if approved. Affected agencies may include, among others, the Office of the United States Attorney, state or local prosecutors, or correctional agencies. The applicant certifies that there has been appropriate coordination with all affected agencies.

5. Non-Supplanting

The applicant hereby certifies that Federal funds will not be used to replace or supplant state or local funds, or funds supplied by the Bureau of Indian Affairs, that would, in the absence of Federal aid, be made available to or for law enforcement purposes.

6. Retention

The applicant hereby certifies that it understands that it must abide by its submitted plan to retain the additional officer positions at the conclusion of the grant period.

Grantee Name and Address: _____

Application No. and/or Project Name: _____ Grantee IRS/ Vendor Number: _____

Typed Name and Title of Law Enforcement Representative: _____

Signature: _____ Date: _____

As the duly authorized representative of the governing body, I hereby certify that the I am binding the governing body to the above certifications, including the plan to retain. Elections of new officials will not relieve the governing body of its obligations under this grant.

Typed Name and Title of Government Representative: _____

Signature: _____ Date: _____



Assurances

Several provisions of Federal law and policy apply to all grant programs. We (**the Office of Community Oriented Policing Services**) need to secure your assurance that you (**the applicant**) will comply with these provisions. If you would like further information about any of the matters on which we seek your assurance, please contact us.

By your authorized representative's signature, you assure us and certify to us that you will comply with all legal and administrative requirements that govern the applicant for acceptance and use of Federal grant funds. In particular, you assure us that:

1. You have been legally and officially authorized by the appropriate governing body (for example, mayor or city council) to apply for this grant and that the persons signing the application and these assurances on your behalf are authorized to do so and to act on your behalf with respect to any issues that may arise during processing of this application.
2. You will comply with the provisions of Federal law which limit certain political activities of your employees whose principal employment is in connection with an activity financed in whole or in part with this grant. These restrictions are set forth in 5 U.S.C. § 1501, et seq.
3. You will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, if they apply to you.
4. You will establish safeguards, if you have not done so already, to prohibit employees from using their positions for a purpose that is, or gives the appearance of being, motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
5. You will give the Department of Justice or the Comptroller General access to and the right to examine records and documents related to the grant.
6. You will comply with all requirements imposed by the Department of Justice as a condition or administrative requirement of the grant; with the program guidelines; with the requirements of OMB Circulars A-87 (governing cost calculations) and A-128 or A-133 (governing audits); with the applicable provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; with 28 CFR Part 66 (Uniform Administrative Requirements); with the provisions of the current edition of the appropriate COPS grant owner's manual; and with all other applicable laws, orders, regulations or circulars.
7. You will, to the extent practicable and consistent with applicable law, seek, recruit and hire qualified members of racial and ethnic minority groups and qualified women in order to further effective law enforcement by increasing their ranks within the sworn positions in your agency.
8. You will not, on the ground of race, color, religion, national origin, gender, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with Federal funds. These civil rights requirements are found in the non-discrimination provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789(d)); Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Indian Civil Rights Act (25 U.S.C. §§ 1301-1303); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); Title II, Subtitle A of the Americans with Disabilities Act (ADA) (42 U.S.C. § 12101, et seq.); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); and Department of Justice Non-Discrimination Regulations contained in Title 28, Parts 35 and 42 (subparts C, D, E and G) of the Code of Federal Regulations.
 - A. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability or age against you after a due process hearing, you agree to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs, 810 7th Street, NW, Washington, DC 20531.
 - B. If you are applying for a grant of \$500,000 or more and Department regulations (28 CFR 42.301 et seq.) require you to submit an Equal Opportunity Employment Plan, you will do so at the time of this application, if you have not done so in the past. If you are applying for a grant of less than \$500,000 and the regulations require you to maintain a Plan on file in your office, you will do so within 120 days of your grant award.
9. You will insure that the facilities under your ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that you will notify us if you are advised by the EPA indicating that a facility to be used in this grant is under consideration for listing by EPA.
10. If your state has established a review and comment procedure under Executive Order 12372 and has selected this program for review, you have made this application available for review by the state Single Point of Contact.
11. You will devise a plan to retain the increased hiring level with state and local funds after the conclusion of your grant.

I hereby certify compliance with the above assurances that govern the application and use of Federal funds.

Signature: _____ Date: _____

**Appendix E:
U.S. Department of Education
Special Requirements**

U.S. Department of Education Special Requirements

General Education Provisions Act (GEPA)

General Education Provisions Act (GEPA) section 427 affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this new provision, summarized below, to receive funding.

Requirements

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that an applicant may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, applicants can determine whether these or other barriers may prevent their students, teachers, and so forth, from equitable access or participation. The description need not be lengthy; an applicant may provide a clear and succinct description of how it plans to address those barriers that are applicable to its circumstances. In addition, the information may be provided in a single narrative, or if appropriate, may be discussed in connection with related topics in the application.

A general statement of an applicant's nondiscriminatory policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve high standards. Consistent with program requirements and its approved application, an applicant may use the awarded Federal funds to eliminate barriers it identifies.

Examples

The following examples may help illustrate how an applicant may comply with section 427:

- An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native languages.

-
- ❑ An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in braille for students who are blind.
 - ❑ An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it tends to conduct outreach efforts to girls to encourage their enrollment.

**Appendix F:
U.S. Department of Health and
Human Services Special
Requirements**

U.S. Department of Health and Human Services Special Requirements

Confidentiality and Participant Protection

The information provided in this section will be used to determine whether the level of protection of participants appears adequate or whether further provisions are needed. Adequate protection of participants is an essential part of an application and will be considered in funding decisions.

Projects proposed under this announcement may expose participants to risks in as many ways as projects can differ from each other. Applicants should report in an appendix to their application any foreseeable risks for project participants and the procedures developed to protect participants from those risks, as set forth below. Applicants should discuss how each element will be addressed or why it does not apply to the project.

Protection from Potential Risks

- (a) Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse effects, besides the confidentiality issues addressed below, that are due to (i) participation in the project itself, or (ii) the evaluation activities.
- (b) If appropriate, describe alternative treatments and procedures that might be advantageous to the subjects and the rationale for their nonuse.
- (c) Describe the procedures that will be followed to minimize or protect participants against potential risks, including risks to confidentiality.
- (d) If appropriate, specify plans to provide needed professional intervention in the event of adverse effects to participants.

Equitable Selection of Participants

Target population(s):

Describe the sociodemographic characteristics of the target population(s) for the proposed project, including age, gender, racial/ethnic composition, and other distinguishing characteristics (e.g., homeless youth, foster children, children of substance abusers, or other special population groups).

Recruitment and Selection

- (a) Specify the criteria for inclusion or exclusion of participants and explain the rationale for these criteria.
- (b) Explain the rationale for the use of special classes of subjects, who are likely to be vulnerable.
- (c) Summarize the recruitment and selection procedures, including the circumstances under which participation will be sought and who will seek it.

Absence of Coercion

Explain whether participation in the project is voluntary or mandatory. Identify any potentially coercive elements that may be present.

Appropriate Data Collection:

- (a) Identify from whom data will be collected (e.g., participants, family members, teachers) and by what means or sources (e.g., school records, personal interviews, written questionnaires, psychological assessment instruments, observation).
- (b) Identify the form of records or data. Indicate whether the material or data will be obtained specifically for evaluative purposes or whether use will be made of existing records or data. Also, if appropriate, describe the provisions for monitoring the data to ensure the safety of subjects.
- (c) Provide in appendix IV of the application copies of all available data collection instruments and interview protocols that will be used.

Privacy and Confidentiality

Specify the procedures that will be implemented to ensure privacy and confidentiality, including by whom and how data will be collected, procedures for administration of data collection instruments, where data will be stored, who will and will not have access to information, and how participants' identities will be safeguarded (e.g., through the use of a coding system on data records, limiting access to records, storing identifiers separately from data).

Note: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records in accordance with the provisions of title 42 of the Code of Federal Regulations, part 2 (42 CFR, pt. 2).

Adequate Consent Procedures

- (a) Specify what information will be provided to participants regarding the nature and purpose of their participation; the voluntary nature of their participation; their right to withdraw from the project at any time, without prejudice; anticipated use of data; procedures for maintaining

confidentiality of the data; potential risks; and procedures that will be implemented to protect participants against these risks.

Note: If the project poses potential physical, medical, psychological, legal, social, or other risks, awardees may be required to obtain *written* informed consent.

(b) Indicate whether it is planned to obtain informed consent from participants and/or their parents or legal guardians, and describe the method of documenting consent. For example, are consent forms read to individuals? Are prospective participants questioned to ensure they understand the forms? Are they given copies of what they sign?

(c) Indicate whether separate consents will be obtained for different stages or aspects of the project and whether consent for the collection of evaluative data will be required for participation in the project itself. For example, will separate consent be obtained for the collection of evaluation data in addition to the consent obtained for participation in the intervention, treatment, or services project itself? Will individuals not consenting to the collection of individually identifiable data for evaluative purposes be permitted to participate in the project?

Risk/Benefit Discussion

Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

Single State Agency Coordination for Mental Health

Applicants that include a mental health component must ensure coordination with the Single State Agency (SSA) for mental health as required under section 501(d)(13)(B) of the Public Health Service Act to help ensure communication, reduce duplication, and facilitate continuity.

Applicants must send a letter to the SSA that briefly describes the project. A copy of the letter should be included in an appendix of the application, entitled Letter to SSA. The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the deadline date for the receipt of applications to:

Division of Extramural Activities, Policy, and Review (DEAPR)
Substance Abuse and Mental Health Services Administration
Parklawn Building, Room 17-89
5600 Fishers Lane
Rockville, MD 20857
Attn: SSA-CFDA No. 84-184L

Applicants may request that the SSA send them a copy of any State comments. A listing of SSA's can be found in appendix G.

Data Collection Requirements

The Government Performance and Results Act (GPRA) was enacted in 1993 to improve stewardship in the Federal government by linking resource and management decisions to program performance. GPRA provides one way of assuring stakeholders that Federal funds invested in programs such as this one are well spent. Therefore, each grantee will be required to participate in the collection of specific GPRA-related data.

Information on the specifics of required data collection will be provided to awardees by the project officer. A minimal set of indicators should include rates for the following: students engaged in alcohol and drug use and violent behavior, weapon carrying in schools, incidents of serious and violent crime in schools, truancy and other unauthorized absences, suicidal behaviors, student suspensions and expulsions, students on probation, students in juvenile justice placements, students in foster care and child protective services, and students with emotional and behavioral disorders. Project specific objectives with indicators should be established for each project.

Appendix G: Contact Lists

Contact Lists

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*.

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