



FY 1999



Safe Start Initiative

• Application Package •

Program Announcements • Application Instructions and Forms

Due Date: June 14, 1999

OJJDP

FY 1999



Safe Start Initiative

• **Application Package** •



**Safe Start
Demonstration Project**

**Evaluation of
Safe Start Initiative**



Application Deadline: June 14, 1999

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Introduction

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) invites eligible applicants to review this *Application Package* for the 5½-year Safe Start initiative. The package includes two program announcements: one for a demonstration project designed to prevent and reduce the impact of family and community violence on young children (birth to 6 years of age), and one for an evaluation of the initiative, designed to document and assess community efforts to reduce the impact of family and community violence on young children. Program announcements, application instructions, and forms for both parts of the Safe Start initiative are available in this one application package.

Eligible applicants for the **Safe Start Demonstration Project** are communities that have formed a strong collaborative group (or shown the ability and commitment to expand coordination with key partners such as courts, law enforcement, early childhood development and domestic violence agencies, and mental health services) to prevent and address the impact that exposure to violence has on young children. Only public agencies (including State agencies, units of local government, and tribal governments) may apply as lead applicants. Private agencies and organizations can apply only as coapplicants or collaborative partners.

Eligible applicants for the **Evaluation** are public and private agencies, organizations, institutions, or individuals that have demonstrated experience in evaluating broad-based community initiatives. This experience must include the design of studies capable of analyzing process and measuring impact across multiple communities and the development and delivery of evaluation-based training and technical assistance. Private, for-profit organizations must agree to waive any profit or fee. Joint applications from two or more eligible applicants are welcome, as long as one is designated as the primary applicant and any others as coapplicants.

For the Safe Start Demonstration Project, approximately 12 cooperative agreements of up to \$670,000 for an initial 18-month budget period will be awarded through a competitive grant process in FY 1999. For the Evaluation of the Safe Start Initiative, one cooperative agreement of up to \$1 million for an initial 12-month budget period will be awarded, also through a competitive grant process.

Grant proposals must be received by June 14, 1999, and should be sent to:

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 (phone number is required for some carriers)

Application and Administrative Requirements

Instructions for Completing Applications for Assistance

Applying for funds from a Federal agency can be challenging for any applicant. The Office of Juvenile Justice and Delinquency Prevention (OJJDP) provides resources and the following set of instructions and examples to help alleviate this confusion.

Recommended Steps

- Review the Requests for Proposal (RFP's), paying specific attention to eligibility requirements and the due date. The RFP's are included in this *Application Package*.
- 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, other format and content guidelines, and the Peer Review Guideline (the established review process followed by OJJDP and its contracting agency).
- Contact OJJDP's Clearinghouse with questions or for more copies of this *Application Package*. See page 4 for details on contacting the Clearinghouse.
- Contact the OJJDP Program Managers for specific questions about the content of the RFP's.
- Prepare an application package that includes these **required** components: **forms** (Standard Form 424, Assurances, Certifications, and Disclosure); **project specifications** (Project Abstract, Budget Detail/Narrative Worksheet, and Program Narrative); and the **appendix** (timeline of major milestones including project deliverables and résumés of all personnel) using the instructions and details outlined in General Application Requirements, pages 5–8. Original copies of forms and other attachments should be signed in blue ink. Prepare and include a Table of Contents and be sure to also use and include the Checklist for OJJDP Applications (page 59) for assistance in submitting a complete application package.
- Review the application package to ensure that it is complete and that all required forms are signed and included.
- Submit the original and five copies of the application package using a mail carrier or delivery service that will ensure delivery by 5 p.m. ET on the due date. The original must be marked "original" and include original signatures on the forms in blue ink. The due date is specified in the RFP's. Unless otherwise noted in the RFP's, page 9, under Submitting Your Application, provides the address to send the application package. Be sure that the program name you are applying for appears in the lower left corner of the envelope.

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- Await written or oral confirmation that your application package was received and, subsequently, whether or not your program was selected for funding.

Reference and Resource Support

Information and assistance on current and future funding opportunities and additional copies of this *Application Package* are available from OJJDP's Juvenile Justice Clearinghouse. You may contact the Clearinghouse via telephone, fax, mail, or computer.

Juvenile Justice Clearinghouse

Phone: 800-638-8736 (Monday-Friday, 8:30 a.m.-7 p.m. ET)
Fax-on-Demand: 800-638-8736, select option 1, then option 2 (24 hours a day, 7 days a week)
Fax: 301-519-5212
Mail: JJC, P.O. Box 6000, Rockville, MD 20849-6000
E-Mail: puborder@ncjrs.org
Home Page: www.ojjdp.ncjrs.org

Copies of the *Application Package* are available by the following:

Mail: Copies will be sent first class and will take approximately 3-5 days.
Fax-on-Demand: Copies can be sent to your attention via fax immediately upon request (**Note:** *There may be a short delay depending on the volume of requests*).
Online: Text can be downloaded from OJJDP's home page, Grants and Funding section, immediately upon request.

Updates on grants and funding opportunities, including award announcements, are also available. Call the Juvenile Justice Clearinghouse at 800-638-8736; select option 4 for agency news and option 3 for grants and funding information.

General Eligibility Requirements

Applications are invited from eligible public and private agencies, organizations, institutions, individuals, or combinations thereof. If eligible for an assistance award, private for-profit organizations must agree to waive any profit or fee. Joint applications by two or more eligible applicants are welcome, provided that one organization is designated as the primary applicant and the other(s) as coapplicant(s).

Applicants must demonstrate that they have experience in the design and implementation of the type of program or program activity for which they are applying and have the management and financial capability to effectively implement a project of the size and scope delineated in the program description. Each applicant must also demonstrate the capability to manage the program in order to be eligible for funding consideration.

Note: *Please consult the RFP's for specific eligibility requirements.*

General Application Requirements

OJJDP prepares specific RFP's that address particular programs and policy goals of the Office. Any application sent to OJJDP must respond to a particular RFP. Each RFP stipulates what the application must contain and the selection criteria by which each proposal will be reviewed.

The following section provides a brief description of the mandatory components, broken out by the three key sections (Forms, Project Specifications, and Appendix) of an application package. The original and five copies of the application package must include and address each component. The package should also include a Table of Contents, and each page of the application package should be numbered.

Forms

Four forms comprise this section: Standard Form 424, OJP Form 4000/3, OJP Form 4061/6, and Standard Form LLL.

Standard Form 424

SF-424 is a cover sheet for the OJJDP funding application. A copy and sample, along with instructions to complete the 18 data fields, are included in appendix A. **Note:** *No application will be accepted without a complete, signed, original SF-424.* A frequently asked question is, What is the *Catalog of Federal Domestic Assistance* number requested in item 10 of the SF-424? Each funding opportunity has a number that corresponds to a funding source and category—the number is found in the *Catalog of Federal Domestic Assistance*.

Assurances, Certifications, and Disclosure

Three forms that address assurances, certifications, and disclosures must be read, signed, and included in the application package. Copies are available in appendix A. Sign originals in blue ink.

- 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 the certification requirements under 28 CFR Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 67, “Government-Wide Debarment and Suspension (Nonprocurement)” and “Government-Wide Requirement for Drug-Free Workplace (Grants).” The certifications will be treated as material representations of the facts on which reliance will be placed by the U.S. Department of Justice in making awards.
- Standard Form LLL (Disclosure of Lobbying Activities) is requested 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 an employee of a member of Congress in connection with a covered Federal action.
Note: *SF-LLL form is not required if there are no lobbying activities to disclose.*

Project Specifications

Three components comprise this section.

Project Abstract

The Project Abstract, limited to 150–200 words, highlights key points of the proposed project. The abstract should briefly present the goals of the project and how the applicant intends to accomplish them.

Budget Detail Worksheet/Budget Narrative

To understand how the grant award will be used by the applicant, OJJDP requires a Budget Detail Worksheet, accompanied by a Budget Narrative, in the application. The Budget Detail Worksheet must break down into more explicit terms the costs associated with the project. It must show how the applicant arrived at the total amount of the requested award.

The Budget Narrative should closely follow the content of the Budget Detail Worksheet. The narrative must provide justification for all proposed costs. Among other things, the narrative must explain how fringe benefits were calculated, how travel costs were estimated, why particular items of equipment or supplies must be purchased, and how indirect costs (if applicable) were calculated. The Budget Narrative should refer to the Program Narrative and justify the specific

items listed (particularly supplies, travel, and equipment). Finally, the applicant must show that all costs in the application are reasonable.

A sample Budget Detail Worksheet with narrative incorporated is included on page 73 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.

Program Narrative

The Program Narrative should address the RFP's specific criteria and/or application requirements, illustrate how the proposed project identifies and will resolve problems in the community, and fully describe the expected design and implementation of the proposed program. Unless the specific RFP contains other program-specific criteria, the Program Narrative should address the following areas:

Problem(s) To Be Addressed. The problem to be addressed by the project is clearly stated.

Goals and Objectives. The goals and objectives of the proposed project are clearly defined and the outcomes are measurable. A key element to goals, objectives, and outcomes is a timeline of key milestones, including project deliverables, which should be included in the appendix.

Project Design. A sound project design that contains program elements directly linked to the achievement of project objectives.

Management and Organizational Capability. The project management and overall organizational capability demonstrate the applicant's capacity to successfully operate and support the project. Information key to management and organization is résumés of key personnel, which should be included in the appendix.

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

Note: *Page limits and other format guidelines noted in the RFP's must be followed.*

OJJDP requires that funded programs contain plans for continuous self-assessment to keep program management informed of progress and results, and these plans should be noted in the Program Narrative. In addition, many funded projects will be considered for participation in independent evaluations initiated by OJJDP or other Office of Justice Programs (OJP) agencies. Project management will be expected to cooperate fully with designated evaluators.

Appendix

Should include, but is not limited to, a timeline and résumés. The RFP's may require additional information to be included in the appendix.

Timeline of Major Milestones and Project Deliverables

Include a timeline that tracks when major milestones and project deliverables will be accomplished.

Résumés of Personnel

Provide résumés of key proposed staff.

Note: *Applications that include proposed noncompetitive contracts for the provision of specific goods and services must include a sole-source justification for any procurement in excess of \$100,000.*

Applicants receiving other funds in support of the proposed activity (current, recent, or expected) must include in their application information on all sources of these funds (including funding from other Federal agencies); the anticipated total amount to be received; and a brief description of any other program(s) receiving such funds.

Other Requirements for Review and Consideration

Pages 10–12 outline other requirements that require review and consideration. These include Financial Requirements, Civil Rights Requirements (Prohibition of Discrimination for Recipients of Federal Funds), and Audit Requirements.

State Single Points of Contact

Executive Order 12372 requires applicants from State governments and units of local government or other organizations providing services within a State to submit a copy of the application package to the State Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the State. The State SPOC's are listed in appendix C of this *Application Package*. 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 to OJJDP.

Submitting Your Application

Use the Checklist for OJJDP Applications (page 59) to ensure that a complete application package is submitted.

It is the applicant's responsibility to ensure that the application package is received by 5 p.m. ET on the due date (unless otherwise noted in the RFP's). Select a mail carrier or delivery service that will ensure receipt.

All application packages should be mailed or delivered to the following address:

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 (phone number is required for some mail carriers)

Applicants must clearly write "Safe Start Demonstration Project" or "Evaluation of the Safe Start Initiative" in the lower left corner of the envelope.

OJJDP will notify applicants that their applications have been received. Subsequently, applicants will also be notified as to whether or not their project will be selected for funding. Applicants should provide a return address, telephone number, and fax number to assist with this notification process.

Application Review Process

All applicants will be evaluated and rated by a peer review panel according to specified criteria. Peer review will be conducted in accordance with the OJJDP Peer Review Guideline contained in appendix B. When appropriate in a particular grant program, preference will be given to communities that can demonstrate broad-based, multidisciplinary planning. Applicants should explain how the grant program will be integrated into the communities' overall plan.

Selection criteria for each competitive program will determine applicants' responsiveness to minimum program application requirements, organizational capability, and thoroughness and innovativeness in responding to strategic issues related to project implementation. The program announcement will indicate whether there are additional program-specific review criteria and/or changes in points assigned to criteria used in the peer reviews for that particular program.

Peer reviewers will use the categories outlined in the Program Narrative section (see page 7) under General Application Requirements to rate applications unless the RFP's contain separate, program-specific selection criteria.

The Administrator may also give consideration to geographic distribution and regional balance when making awards. Peer reviewers' recommendations are advisory only; the final award

decision is made by the Administrator. OJJDP will negotiate specific terms of the awards with the selected applicants.

Suspension or Termination of Funding

OJJDP may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

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

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

Other Requirements for Review and Compliance

Financial Requirements

Discretionary grants are governed by the provisions of the Office of Management and Budget (OMB) circulars applicable to financial assistance. The circulars, along with additional information and guidance, are contained in the *Office of Justice Programs' Financial Guide* available from OJP. This *Guide* includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. The *Guide* will be provided upon request and will govern the administration of funds by all successful applicants.

Civil Rights Requirements

Prohibition of Discrimination for Recipients of Federal Funds

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

In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, disability, or age against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, OJP.

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

Applicants must read, sign the original in blue ink, and include the original and five copies of the three assurances, certifications, and disclosure forms. See Assurances, Certifications, and Disclosure under General Application Requirements on page 5 for more details.

Audit Requirements

State and local governments are governed by the Single Audit Act of 1984 and OMB Circular A 128, "Audit of State and Local Governments." Nonprofit organizations and institutions of higher education are governed by OMB Circular A 133, "Audits of Institutions of Higher Education and Other Nonprofit Institutions." The type of audit required under these circulars is dependent upon the amount of Federal funds that can be audited during the recipient's fiscal year. For example:

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

Commercial (for-profit) organizations shall have financial and compliance audits performed by qualified individuals who are independent from those who authorize the expenditure of Federal funds. This audit must be performed in accordance with Government Auditing Standards. The audit thresholds contained in OMB Circulars A 128 and A 133 apply.

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

Program Announcements

Safe Start Demonstration Project

Purpose

The purpose of the Safe Start demonstration project is to develop a demonstration initiative to prevent and reduce the impact of family and community violence on young children (primarily from birth to 6 years of age). The project seeks to create a comprehensive service delivery system by helping communities to expand existing partnerships among service providers in the fields of early childhood education/development, health, mental health, family support and strengthening, domestic violence, substance abuse prevention and treatment, crisis intervention, child welfare, law enforcement, courts, and legal services. This comprehensive service delivery system should improve access to, delivery of, and quality of services for young children at high risk of exposure to violence or who have been exposed to violence,¹ along with their families, and their caregivers, at any point of entry into the system.

Background

Throughout America, millions of children are exposed to violence at home, in their neighborhoods, and in their schools.

In 1996 nearly 3 million children were the subjects of 2 million reports of child abuse and neglect (Poe-Yamagata, 1997). A 1994 study found that 1 out of every 10 children treated in the Boston City Hospital primary care clinic had witnessed a shooting or stabbing before the age of 6. Almost all (94 percent) of the children had been exposed to multiple forms of violence, and half had been exposed to violence within the past month. Half of the children witnessed such violence in the home, and half witnessed it in the streets. The average age of these children was 2.7 years (Taylor et al., 1994).

It has been estimated that each year in the United States between 3.3 million (Carlson, 1984) and 10 million (Straus, 1991) children witness violence in the home, including a range of behaviors from intense verbal arguments to fatal assaults with guns and knives.

Family violence also encompasses violence between siblings. According to one study, 77 percent of children under the age of 9 had recently been violent toward a sibling (Steinmetz, 1977). Another study found that 80 percent of children committed violent acts toward their siblings every year (Straus, Gelles, and Steinmetz, 1980).

¹ “Exposure to violence” means being a victim of abuse, neglect, or maltreatment or a witness to domestic violence, or other violent crime.

Young children are particularly at risk of and affected by violence and exposure to violence.

In a comparison study of census data from five cities, domestic violence was shown to have occurred disproportionately in homes with children under the age of 5. Children in this age group also were more likely than older children to witness multiple acts of domestic violence and substance abuse (Fantuzzo et al., 1997). Research indicates that because of their age and limited ability to understand violent episodes, younger children are more vulnerable to the impact of victimization. Children's exposure to violence and maltreatment is significantly associated with increased depression, anxiety, posttraumatic stress, anger, greater alcohol and drug abuse, and lower academic achievement (Zero to Three, 1994). Exposure to violence shapes how they remember, learn, and feel. Numerous studies cite the connection between abuse or neglect of a child and later development of violent and delinquent behavior (Thornberry, 1994; Wright and Wright, 1994; Widom, 1992). Children who experience violence either as victims or as witnesses are at increased risk of becoming violent themselves. This danger is greatest for the youngest children, who depend almost completely on their parents and other caregivers to protect them from trauma.

Children exposed to violence do not receive adequate intervention or treatment to address harmful aftereffects.

According to the U.S. Advisory Board on Child Abuse and Neglect (U.S. Department of Health and Human Services, 1995), more than 90 percent of children who were abused or neglected did not get the services they needed. Rarely are such children provided treatment or help in dealing with the traumatic effects of maltreatment. Also, too often, referrals to victim services made during investigations of domestic violence and other violent crime are limited to the adult victim rather than focusing on both adult and child victims and witnesses, leaving these children without services.

There is broad consensus that current juvenile justice practice is often inadequate in preventing or intervening in exposure of children to violence. Services are crisis oriented and divide children and families into distinct, often arbitrary categories. Communication among service providers is often poor, resulting in an inability to treat families holistically, meet their needs, and develop comprehensive solutions (Melaville and Blank, 1993).

There is a movement toward a coordinated system response.

As the juvenile justice field continues to recognize prevention as central to its mission and to focus its prevention efforts on those factors that place children at risk for both victimization and delinquent activity, practitioners are increasingly recognizing that the segmentation and fragmentation of community service delivery systems are serious obstacles to effective services for at-risk and victimized children (Gerry and Morrill, 1990). In addition, practitioners and policymakers are beginning to recognize the effectiveness of engaging communities in addressing problems related to delinquency and violence.

The Federal Government has a critical role, not only in reorganizing and restructuring its own activities to promote and facilitate such reorganization on the community level, but also in stimulating community-based systems improvement by providing financial and technical assistance to communities engaged in collaborative processes (Conly and McGillis, 1996). In recent years, Federal agencies have funded a variety of programs to promote collaboration among service providers for children and families. For example:

- ◆ In 1994, the Office of Juvenile Justice and Delinquency Prevention (OJJDP) within the U.S. Department of Justice (DOJ) provided initial support to document the Child Development-Community Policing (CDCP) Program model, which was developed by the Yale University Child Study Center and the New Haven Department of Police Services in 1991. Since then, with continuing support from OJJDP and support from DOJ's Office for Victims of Crime and Violence Against Women Office, CDCP has expanded its scope of work and replicated its model in other cities. The program provides assistance to children and adolescents who have been exposed to or victimized by family or community violence and consequently placed at significant psychological and developmental risk. Through this partnership, police and mental health professionals participate in activities such as cross-disciplinary training, seminars on child and adolescent development, policing strategies, case conferences, and 24-hour consultation services.
- ◆ In 1997, the Substance Abuse and Mental Health Services Administration (SAMHSA) of the U.S. Department of Health and Human Services (HHS), in conjunction with the Casey Family Program, established the Starting Early/Starting Smart initiative. This public/private collaboration integrates mental health and substance abuse prevention and treatment services with primary health care or early childhood care settings for children from birth to 7 years.
- ◆ In 1995, OJJDP began SafeFutures, a 5-year demonstration program in six communities. Under this program, communities are implementing comprehensive community programs designed to reduce youth violence, delinquency, and victimization through a continuum of care system for youth ages 0–18 and their families. This continuum assists communities in responding to the needs of youth at critical stages of their development through a range of prevention, intervention, treatment, and sanctions programs.
- ◆ In 1996, several components of the Office of Justice Programs within the Department of Justice joined to initiate the Safe Kids/Safe Streets program. This 5½-year demonstration program, designed to foster coordinated community responses to child abuse and neglect and break the cycle of early childhood victimization and later criminality, is currently being implemented in five sites in the United States.
- ◆ HHS's Comprehensive Community Mental Health Services for Children and Their Families Program includes intensive community-based services for children with serious emotional disturbances and their families based on a multiagency, multidisciplinary approach involving both the public and private sectors. The key goal of the program is to develop comprehensive interagency systems of care, including collaboration between a

variety of providers, e.g., juvenile justice, child welfare, schools, health, and mental health providers.

Through these programs, and others, communities have established formal collaboration between two or more service providers in order to improve service delivery to children, their families, and caregivers. To help communities expand partnerships to include additional providers, in fiscal year 1999 Congress appropriated \$10 million to establish the Safe Start initiative. These funds will assist communities that are doing the type of work identified in the five examples above. (Eligibility is not limited to the communities mentioned above—see the “Eligibility Requirements” section below.) Safe Start will provide up to 12 communities with funds to develop and coordinate services to prevent and reduce the impact of family and community violence on young children. The program seeks to accomplish this goal by enhancing and expanding existing community partnerships focused on this problem through integrating public and private support.

Goal

The goal of this project is to create a holistic approach to prevent and reduce the harmful effects of exposure to violence on young children by improving access to, delivery of, and quality of services to children and responding to the needs of children and their families at any point of entry into relevant (e.g., legal, social services, medical) systems.

Objectives

In order to achieve its goal, the Safe Start demonstration project seeks to develop a comprehensive and coordinated community system for preventing and responding to the harmful effects of exposure to violence on young children by:

- ◆ Assessing the extent and nature of children’s exposure or risk of exposure to violence, and the circumstances within the community under which this exposure occurs.
- ◆ Increasing awareness within communities and among professionals of the impact of exposure to violence on children and ways to prevent children’s exposure to violence.
- ◆ Increasing children’s access to quality prevention programs.
- ◆ Improving identification, referral, and interventions for children, along with their families.
- ◆ Facilitating collaboration and coordination of services to improve cross-agency prevention and response, increasing professional cross-training, and reducing barriers to accessing services.

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- ◆ Providing specific training and support to direct service providers in preventing and dealing with the psychological and developmental effects of children’s experience with violence.
 - ◆ Addressing the multiethnic, racial, and gender needs of young children who are at high risk of or who have been exposed to violence.
 - ◆ Fostering and facilitating organizational change that promotes improvements in a variety of prevention, protection/intervention, and treatment services provided by relevant agencies and service providers.
 - ◆ Developing and implementing specific protocols, procedures, and research-based programs for responding to the needs of children at high risk of, or exposed to, violence and strengthening violence prevention programs designed to reduce such exposure.

The approach through which grantees under the Safe Start initiative are to achieve these objectives will involve:

- ◆ Expanding a comprehensive planning and implementation effort that must substantially include representatives from relevant public and private agencies and programs who have a thorough understanding of child development, violence, and its impact on children.
- ◆ Assessing and addressing the current levels and seriousness of critical health, mental health, and educational consequences and needs of children at high risk of, or exposed to, violence in their communities.
- ◆ Assessing and addressing the policies, procedures, and services directed at the needs of children who are at high risk of, or exposed to, violence in the community.
- ◆ Identifying and reducing gaps, deficiencies, and barriers in prevention and intervention policies, procedures, and services.
- ◆ Identifying and accessing training and technical assistance that supports the coordinated prevention and intervention services, policies, and procedures.

Program Strategy

OJJDP will competitively select up to 12 communities to receive cooperative agreements for up to 5½ years under the Safe Start initiative.

Project Phases

The strategy for establishing this comprehensive service delivery system involves a multiyear development process (see chart below). The initiative will be conducted in three phases.

During Phase I, which will correspond to the first 12 months of the initiative, selected sites are to conduct assessment, planning, and initial development activities, which are discussed in detail below. Applicants are required to include a strategy for the Phase I assessment and planning as part of the initial application for selection as a Safe Start site. Selected sites will need to successfully complete their Safe Start 5-year strategic plan and an 18-month program implementation plan by month 9 of Phase I to be eligible for funding in Phase II. The 5-year strategic plan and 18-month program implementation plan will serve as major components of the application for continuation funding for Phase II.

Applicants will begin Phase II in month 12 upon OJJDP approval of the 5-year strategic plan and 18-month implementation plan. In Phase II, sites will begin implementation of their Safe Start activities and services. Specifically, Phase II consists of 18 months of initial implementation, training, capacity building, and evaluation of those activities and services planned during Phase I.

Phase III includes the remaining three annual budget periods of the 5½-year initiative. In budget periods 3 and 4, sites will focus on full implementation and maintenance of the program based on the plan developed during Phase I and initial implementation of Phase II. By budget period 4, sites will also actively identify and implement ways to sustain improvements achieved under Safe Start by conducting long-range planning beyond the conclusion of the initiative and developing alternative funding. Finally, in budget period 5, sites will continue full implementation of services and activities, finalize long-range planning, and ensure sustainability.

Project Funding

- ◆ Selected applicants will be awarded up to \$670,000 for the first budget period of 18 months. (Note that the budget periods and phases of this project overlap.) Selected applicants will be able to use up to \$250,000 for Phase I assessment, planning, and initial development activities.²
- ◆ For applicants that successfully complete Phase I, the remaining funding available from the first budget period of up to \$420,000 will be available along with \$670,000 of funding from the second budget period of 12 months to support activities during Phase II (months 13-30) for a total of up to \$1,090,000 of funding support per site. Grantees will receive the highest level of funding for the demonstration program in Phase II. Funding will vary based on a variety of factors including size of the target area and population, site-specific needs identified and supported in the Phase I plan and to be implemented during Phase II, and successful completion of the products and activities identified for Phase I. These funds will cover any infrastructure building, startup costs, and training, evaluation, and program services needed to enhance existing resources.

² Applicants are requested to submit award requests for the amount of \$670,000; however, selected grantees will only have access to \$250,000 for planning through month 12. The remaining \$420,000, plus additional funds under a supplemental award for initial implementation in Phase II, will be made available in month 12 upon successful completion of Phase I and OJJDP approval of plans. See “Award Amount” and “Award Period” sections below.

- ◆ Funding in Phase III (budget periods 3, 4, and 5) will be up to \$670,000 per site in year 3 and will decrease each subsequent budget period. Selected sites will be expected to ensure that local resources are leveraged to sustain the project during years 4 and 5 of Phase III and beyond the 5½-year project period.

Phase	Years	Activities	Funding
Phase I (12 mos.)	Year 1		\$250,000
	months 0–9	Assessment and Planning	
	months 10–12	Initial Development	
	month 12	OJJDP Review of Site Plans Completed	
Phase II (18 mos.)	Year 2		\$420,000
	months 13–30	Initial Implementation	+ \$670,000 \$1,090,000
Phase III (36 mos.)	Year 3		\$670,000
	months 31–42	Full Implementation	
	Year 4		> \$670,000
	months 43–54	Sustainability	
	Year 5		> \$670,000
	months 55–66		

Funding in this demonstration initiative is intended to supplement existing services provided through Federal, State, local, and tribal sources and to be used for the purpose of coordinating and supplementing an existing system of care. In each community’s system of care, the primary objective is to capitalize on and reshape existing staff time and services while also filling service gaps.

Target Population and Area

This demonstration initiative has been developed to target young children (primarily from birth to 6 years of age) who are at high risk of exposure or who have been exposed to violence, along with their families and other caregivers. The target age range is somewhat flexible based on the justified needs of a community. Applicants need to specify what particular age range is targeted, how and why this range was identified and is appropriate to the geographic area to be served, and how “high risk of exposure to violence” and “exposed to violence” are defined in the community.

Sites funded under this initiative must address the multiethnic, racial, and gender-specific needs of young children who are at high risk of or who have been exposed to violence. Sites may direct their efforts to the entire jurisdiction or to specific geographical areas of special need. However, the identified need must be clearly justified as described below. For instance, applicants may choose to direct program efforts toward children in one or more communities within a larger urban, rural, or tribal area.

Applicants must justify the target area and population in terms of both need and appropriateness to the accomplishment of program objectives. Applicants must show that targeted geographic areas represent identifiable communities or neighborhoods where the investment of Safe Start resources will result in appreciable improvements for children who live there. Appropriateness of the target area also must be justified in part by demonstrating particular community strengths or existing resources from which to build Safe Start.

Collaboration/Coordination

Collaboration and coordination are central components of the Safe Start program. At the national level, OJJDP has developed this initiative in coordination with other Federal agencies and offices, including the Department of Health and Human Services and DOJ's Violence Against Women Office and Office for Victims of Crime. At the local level, Safe Start sites are expected to demonstrate and continue coordination and collaboration with other Federal, State, and local agencies; national and community foundations; and private sector programs, including community-based organizations and faith communities. To ensure that a comprehensive service delivery system is provided, key partnerships must be established and expanded. A list of relevant partners and service providers follows to highlight the full range of disciplines and sectors to be involved. Primary partners represent key points of entry for prevention and intervention; secondary partners can provide support resources as needed.

Primary partners include the following:

- ◆ Battered women's shelters and domestic violence advocacy agencies.
- ◆ Child advocacy centers.
- ◆ Courts: judges, attorneys, guardians *ad litem*, court appointed special advocates, administrative staff in the dependency/juvenile courts, family courts, domestic violence courts, and drug courts.
- ◆ Domestic violence, family violence prevention, and hotline services.
- ◆ Early childhood development and child care.
- ◆ Faith leaders and communities.
- ◆ Head Start and Early Head Start.
- ◆ Law enforcement.
- ◆ Mental health services.
- ◆ Primary health care providers, hospitals, and emergency medical services.
- ◆ Schools.

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- ◆ Social services and child protective services.
 - ◆ Substance abuse prevention and treatment services.

Secondary partners include the following:

- ◆ Business and private sector.
- ◆ Housing.
- ◆ Income maintenance personnel (Temporary Assistance for Needy Families; General Assistance; Supplemental Security Income; Women, Infants, and Children Program, etc.).
- ◆ Labor.
- ◆ Media.
- ◆ Transportation.

Under Safe Start, communities will be expected to develop a coordinated prevention and response system composed of core services identified below under the “Activities/Services” section. Additional primary and secondary partners will vary based on the particular needs and existing service delivery systems of individual communities. Grantees will be selected based in large part on their demonstration of active partnerships and their ability to expand and sustain the partnerships to broadly encompass partners needed in the community. Collaboratives should display the following elements:

- ◆ A shared, focused objective that is narrow enough to have an impact yet broad enough to engage the interests of multiple agencies (because children at high risk of, or exposed to, violence have critical health, mental health, education, safety, housing, and transportation needs).
- ◆ Leadership and ongoing support from the highest agency levels.
- ◆ Dedicated administrative budget and staff to support the initiative’s goals and objectives.
- ◆ Systemwide implementation that is sufficiently broad in scope to gain sustained policy-level attention and impact key agency practices.
- ◆ Demonstrated ability to leverage public and private funding to ensure commitment during the project and sustainability of improved services and coordination after Safe Start funding has ended.
- ◆ A focus on outcomes, with measurable, tracked, and evaluated progress toward planned goals and objectives.

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- ◆ Ongoing support and technical assistance to promote community coordination.
 - ◆ Experience in problem solving to enhance individuals' and agencies' abilities to prevent violence and trauma before they occur.

Activities/Services

To accomplish the goal of Safe Start, communities will have to improve their service delivery systems (e.g., by improving identification, assessment, and referral mechanisms; addressing confidentiality issues; implementing organizational change; enhancing information sharing and management information systems; creating protocols and multidisciplinary teams, etc.), and they will have to implement programs that research has proven effective (e.g., Functional Family Therapy, Nurse Home Visitation).

Through the Safe Start planning (Phase I) and implementation (Phases II and III) process, communities should build on existing services to develop a coordinated prevention and response system that contains the following minimum core components: a protocol between police, mental health, medical, and child protective services; child advocacy centers; early childhood development and education; family strengthening services; a home visitation program; domestic violence services for battered mothers whose children are at high risk of exposure, or exposed to, intimate partner violence; substance abuse prevention and treatment services; and model dependency courts. The process of planning and implementation that selected sites will be required to perform is described below.

Phase I—Planning and Initial Development

During Phase I, selected sites will be required to prepare a 5-year strategic plan that outlines how the local community will create an integrated prevention and response system of care for preventing and reducing the impact of exposure to violence on children along with their families or caregivers. This plan should provide a framework for activities, policy changes, and resource adjustments for the remaining years of the award and beyond to continue the community assessment and planning as part of ongoing maintenance of the effort. The 5-year strategic plan should provide the overarching structure/framework for all efforts to improve the prevention of and a community response to children's exposure to violence. It is both a state-of-the-community report on children at high risk of, or exposed to, violence and a step-by-step guide for action.

Phase I planning also should include identifying and assessing existing community services, including gaps in services; identifying and assessing all resources currently used and available for use (human, technological, and fiscal); assessing financial strategies; and assessing existing policies and procedures within and across agencies and providers responding to children who are at high risk of, or exposed to, violence along with their families.

To accomplish these purposes, the strategic plan must provide a data-driven risk and resource assessment about the current community in quantifiable terms—numbers, percentages—that can inform decisionmakers and serve as baseline measures against which to judge progress. It must also delineate a list of action steps—a blueprint—that, among other items, includes

responsibilities (by individual and organization) and timelines for achieving an integrated service delivery system.

The strategic plan must substantially involve key leaders (e.g., policy, administrative, and community) necessary for a comprehensive prevention system and response to exposure to violence in terms of assessment information, outcomes, policies, financing and programming strategies, staffing, training, coordination, and services. Services that are administered at a city, county, tribal, or State level must be identified and involved. The strategic plan should include the basic elements of any planning document such as the vision, mission, goals, objectives, assessment findings (including a description of the current continuum), and a list of prioritized actions for the next 5 years. These prioritized actions should include the target date by which they will be implemented and the agency/persons that have lead responsibility for them. It is expected that prioritized actions will include a range of strategies such as policy and systems changes, service delivery changes (e.g., expanded service hours), service integration, program enhancements, and new programming (including but not limited to those strategies supported under the Safe Start grant funds). These strategies should occur at all of the following levels: policy, legislative, management, and frontline service delivery.

In addition to the 5-year strategic plan, sites will be required to submit an 18-month detailed initial implementation plan (application) for funding for Phase II.

Phase I—Deliverables Required of Selected Grantees To Proceed to Phase II

Assessment and planning activities conducted by sites during Phase I should position selected sites to begin implementation of improved service delivery to children and their families in Phases II and III. By month 9 of Phase I, participants are expected to have developed and submitted a comprehensive 5-year strategic plan that builds on previous activities in the community that includes, at a minimum, the following:

- ◆ Vision Statement (5 years).
- ◆ Description of Planning Process (participants and planning methods).
- ◆ Defined Target Area and Population.
- ◆ Community Assessment (based on data, where appropriate).
 - Map of current services in the delivery system for both prevention and reduction.
 - Identification of resources currently invested in the issue of exposure.
 - Identification of priority risk and protective factors.
 - Identification of gaps in the current service delivery system.
 - Analysis of community strengths, resources, and opportunities available to support the system.
 - Identification of service barriers among key service providers, including availability, accessibility, and appropriateness.

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- Identification of program and policy priorities for putting an integrated system in place.
 - Description of plan for maintaining and updating initial assessment findings.
 - ◆ Goals and Objectives for Prevention and Reduction of the Impact of Exposure.
 - ◆ Action Plan.
 - Policy and system changes to address priorities for prevention and reduction.
 - Services and programming (including Safe Start-funded activities and other services).
 - Task and timeline plan.
 - ◆ Plan for Measuring Progress.
 - Plan for ongoing assessment.
 - Benchmarks for measuring progress.
 - Description of who will participate in measuring progress and how decisions about necessary changes and refinements will be made.
 - ◆ Training and Technical Assistance Plan (see below).
 - ◆ Local Evaluation Plan (see below).
 - ◆ Statement of Collaborative Phase I Plan Development.
 - Because the strategic plan is to be the product of a collaborative, communitywide planning process including all policymakers involved in the prevention and reduction of exposure to violence, selected sites will need to include a signed statement in which each supporting party attests to his or her substantial involvement in the development of the strategic plan. The statement must contain each person's original signature, typed/printed name, address, telephone number, and affiliation (agency head, parent, youth). In addition, signed statements of the staffing group members who participated and a description of the roles of the key leaders in the preparation of the strategic plan are required.

In addition, by month 9 of Phase I, sites will be required to submit a detailed implementation plan (i.e., full application) for Phase II of the Safe Start initiative. The implementation plan/application must detail the activities and strategies to be implemented and provide a timeline and a budget for the 18 months of initial program startup and implementation. The Phase II application must include a training and technical assistance plan and a local evaluation plan. All applicants will be eligible for continuation in Phase II if performance in Phase I, the strategic plan, and the implementation plan/application merit support for implementation funding.

Applicants will also be required to provide memorandums of understanding (MOU's), cosigned by all participating agencies, that describe in detail agency commitments and activities each agency will perform to improve service coordination and delivery.

These deliverables will be due to OJJDP by month 9 of the program to ensure adequate time for review and approval by OJJDP for continuation of and funding for Phase II. The remaining

3 months of the first year should be used in preparation for Phase II in such activities as training, policy development, and other developmental activities.

Selected sites also will be required to provide interim planning reports and draft products throughout Phase I to allow for a formative feedback process intended to facilitate successful completion of Phase I.

Phase II—Initial Implementation (Months 13–30)

Once each selected site has successfully completed Phase I, OJJDP will provide additional funds for Phase II. During this phase, OJJDP expects communities to build upon existing services to begin developing a coordinated prevention and response system including the core components listed above under “Collaboration/Coordination” and “Activities/Services.” If an applicant demonstrates that a particular component is not needed or has been adequately developed in its community, funding is flexible enough to allow for greater emphasis in another service or systems change area. Although the Safe Start initiative does not require selected sites to implement prescribed models for particular program components, sites must use programs and services that have been demonstrated through research to prevent and minimize the impact of exposure to violence. Applicants will be expected to justify and demonstrate the effectiveness of programs or practices proposed for implementation or expansion. (Numerous information resources on research-based practices and programs are available from OJJDP through the Juvenile Justice Clearinghouse. The National Clearinghouse for Child Abuse and Neglect also can provide information. Contact information is listed on page 40.)

Deliverables for Phase II will be developed during Phase I in consultation with OJJDP, and written guidance from OJJDP will be provided annually throughout Phase II.

Activities will include the following:

- ◆ Implementation of professional training, cross-training, and development at the individual and staff/organizational level regarding prevention, identification, and intervention techniques to address the needs of children at risk of/exposed to violence.
- ◆ Implementation of strategies for improving identification, referral, and intervention.
- ◆ Development and implementation of cross-system coordination and protocols.
- ◆ Implementation of any new research-based service models to fill identified gaps.
- ◆ Increasing the quality of, and access to, services.
- ◆ Developing management information systems and improving case management.

Training and Technical Assistance

A comprehensive national training and technical assistance (national TTA) component will be identified by OJJDP and will support the communities selected to participate in Safe Start. These communities will receive a range of OJJDP-funded support including assessment, coordination, brokering, and provision of TTA in both content and systems improvement areas.

In addition, of the up to \$250,000 in funding that can be awarded for planning, sites are expected to set aside \$50,000 for local TTA to support community-specific needs and build on existing local TTA resources. Sites are encouraged in Phase I to use the TTA set-aside to access support for ongoing facilitation of and consultation on the strategic planning process.

In Phase II, local intensive training across disciplines for community teams on children's exposure to violence, treatment options, and interventions in various settings should be provided by a team of experts identified by the agencies, including professionals experienced in working with parents, childcare workers, child protective service providers, battered women's advocates/workers, community policing officers, probation officers, parole officers, prosecutors, judges, pediatricians, emergency room doctors, nurses, school personnel, educators, clergy, public housing officials, and university professors. Again, this training should build on what is available under existing contracts. This training plan should be developed with the assistance of the National TTA Coordinator during planning under Phase I.

Evaluation

Safe Start evaluations will track each selected site's process and the impact of developing a coordinated service delivery system through (1) a cross-site process evaluation, (2) a cross-site impact evaluation, and (3) rigorous local impact evaluations. These evaluations will be conducted at both the national and the local level. The objectives of both the national and local evaluations will adjust to the shifting demands of each Safe Start phase and are intended to document Safe Start activities across the life of the initiative.

During Phase I, the evaluation will focus on process by documenting the process and results of planning meetings, progress of the risk and resource analysis, identification of gaps, problems encountered, etc. As the initiative moves into Phase II and III implementation, the evaluation also will be concerned with outcomes related to the impact of new and/or enhanced services and changes in policy and procedures on the lives of children and families exposed to violence. This process will be guided by the development of a Safe Start logic model for each community (described in more detail below).

The National Evaluator

The Safe Start national evaluator will be selected by OJJDP through a separate, competitive process. Program applicants must agree to comply with the national evaluation requirements. Because it is important that the experiences of all Safe Start communities be measured in a common fashion, allowing for generation of knowledge across all communities, the national evaluator is responsible for designing two cross-site evaluation efforts. The first, the cross-site

process evaluation, is intended to document and analyze the process of effective implementation of the Safe Start initiative to provide information to strengthen and refine the initiative within and across sites. It is important to identify factors that contribute to or impede the successful implementation of the initiative in each community. The second, the cross-site impact evaluation, is intended to assess the extent to which the initiative is meeting its goals and measure the amount of change that is taking place. Finally, the national evaluator is responsible for providing technical assistance to local evaluators in designing local evaluation plans. These plans must focus on conducting more rigorous evaluations that use experimental or quasi-experimental designs. These plans will be reviewed by the national evaluator and OJJDP. OJJDP will approve local evaluation plans.

Local Evaluation Requirements

Each Safe Start grantee must select and set aside ample funds (no less than 10 percent) of the project budget to fund a local evaluator to provide evaluation support throughout the life of the initiative. In subsequent years of the initiative, the percentage of the project budget allocated to the local evaluator may increase. Safe Start applicants must make a strong and demonstrated commitment to incorporating evaluation activities into their planning and implementation activities. The overall evaluation effort is intended to document and assess the initiative as it develops in each community and becomes an integral component of the initiative by measuring progress, suggesting adjustments, and keeping the initiative outcome focused.

The process of selecting a local evaluator will vary across jurisdictions according to each jurisdiction's policies. That is, some jurisdictions may be required to competitively select a local evaluator while others may have different mechanisms. Applicants should describe the requisite process in their jurisdictions and incorporate this selection process into their Phase I (planning and initial development) timeline. Applicants are encouraged to reach out to universities and other local organizations to fulfill this responsibility. The national evaluator will develop a common set of criteria to use in selecting a local evaluator. This guidance is intended to convey the same set of expectations to all potential local evaluators.

Local evaluators have six areas of responsibility: (1) developing a Safe Start logic model for their community, (2) participating in cross-site process evaluation activities, (3) participating in cross-site impact evaluation activities, (4) designing and conducting local Safe Start impact evaluations, (5) providing technical assistance to the local Safe Start initiative, and (6) contributing to report writing. These are described in more detail below.

Develop a Logic Model for the Local Safe Start Initiative. During the planning phase, Safe Start projects and their respective local evaluators will be required to work collaboratively with the national evaluator to develop a local Safe Start logic model. A logic model is a description of how project inputs, activities, and outputs are expected to accomplish the goals and objectives of a project. In other words, a logic model maps out the activities that will occur over the life of the initiative and ties these to the outcomes desired by the project staff.

Participate in Cross-Site Process Evaluation Activities. Local evaluators will work closely with the national evaluator to complete cross-site process evaluation activities. As discussed

above, the national evaluator is responsible for designing this cross-site effort. Local evaluators will have input into this design but will ultimately be required to participate in accordance with the agreed-upon structure and methods. For example, the local evaluator must participate by using any instruments designed by the national evaluator for use by all Safe Start sites, following agreed-upon information-sharing procedures, and maintaining contact with the national evaluator and OJJDP.

Participate in Cross-Site Impact Evaluation Activities. The national evaluator is responsible for guiding the design of the cross-site impact evaluation, which is designed to assess the extent to which the initiative is meeting its goals and the amount of change that is taking place. The national and local evaluator are expected to develop a strong working relationship and a mutual commitment to measure Safe Start outcomes. The local evaluator will work with the national evaluator to identify impacts that can be measured as the initiative develops. For example, if the Safe Start community adopts new policies in police referrals to family counseling services, the national evaluator may require that the local evaluator and other local Safe Start project staff monitor the number of referrals made after the policy takes effect. In this same vein, the national evaluator may require that archival data be collected to provide a baseline. It should be noted that all of these requirements will be central to implementing a rigorous evaluation of Safe Start and will embed the process and impact evaluations in the program's development, implementation, and refinement. Local evaluators must participate in the design and implementation of the cross-site impact evaluation in accordance with procedures developed by the national evaluator.

Design and Conduct Local Impact Evaluations. As Safe Start communities begin to implement specific programs (e.g., Nurse Home Visitation) and the need arises to assess the impact of Safe Start services on individuals (i.e., children and their families), the national evaluator will be able to provide technical assistance to local evaluators in designing evaluation plans that can accomplish this task. The local evaluator and local Safe Start project staff will be expected to make a strong and demonstrated commitment to designing evaluations that can accomplish this level of assessment. Furthermore, these local plans must focus on conducting more rigorous evaluations that use experimental or quasi-experimental designs. The national evaluator will provide guidance in developing these plans and report on the progress of each community to OJJDP. The local evaluator will submit an evaluation plan to the national evaluator, who will then submit the plan to OJJDP. OJJDP will give final approval for all local impact evaluation plans.

To assist in accomplishing this task, the national evaluator will be required to develop a Safe Start Self-Evaluation Tool Kit, modeled after OJJDP's *Title V: Community Prevention Grants Program: Community Self-Evaluation Workbook*, for use by each site.

Provide Technical Assistance to Local Safe Start Initiative. The local evaluator must be able to assist the local Safe Start project staff to develop an implementation plan that is outcome based and data driven. The goal of this relationship is to develop a strong partnership in which program designers and evaluators work together to clarify goals and objectives and make a strong commitment to measuring progress in systematic, scientific ways. To foster this relationship, the local evaluator is expected to actively participate in all stages of the local Safe Start initiative.

Contribute to Report Writing. Local evaluators will be called upon by the national evaluator to help report on activities in their communities. The reports may be used, for example, to produce cross-site Safe Start newsletters that focus on the larger effort or specific areas of interest such as developing strategies to include schools in the effort, sharing information across agencies, and recruiting interest from private organizations in the community.

Eligibility Requirements

OJJDP invites applications from all communities.³ Public agencies, including State agencies, local units of government, and tribal governments, are invited to apply as lead applicants for a collaborative, community-based initiative. Private agencies and organizations may apply as coapplicants and collaborative partners but not as lead applicants and must agree to waive any profit or fee. Joint applications from two or more eligible applicants are welcomed; however, one applicant must be clearly indicated as lead and the others indicated as coapplicants. Applicants must be applying on behalf of a collaborative group of agencies working to prevent and address the impact of exposure to violence or interested in expanding the collaboration to the issue of exposure. Communities that are attempting to integrate more than one collaborative initiative are strongly encouraged to apply.

Up to 12 applicants will be selected from urban, rural, and tribal categories. Applicants will compete for awards in each of these three distinct categories (e.g., all tribal applicants will compete only against applications eligible under the tribal category). Applicants must comply with one of the following definitions based on the most recent Census data,⁴ and must identify the application as urban, rural, or tribal:

- ◆ **Urban:** Any area that lies inside a metropolitan area (MA), as designated by the Office of Management and Budget using the Census of Population and Housing data, and that has a population of not less than 100,000.
- ◆ **Rural:** Any area that lies outside the boundaries of an MA, as designated by the Office of Management and Budget using the Census of Population and Housing data, and that has a population of not less than 10,000 and not more than 100,000.
- ◆ **Tribal government:** Federally recognized tribes or Confederated Tribes on a reservation. Confederated Tribes are two or more tribes grouped under a single government by treaty

³ A community is any set of contiguous neighborhoods within an urban area or one or more adjacent counties, towns, townships, parishes, or villages; tribal lands or reservations; or other general purpose subdivisions of a State that shares a preponderance of interests, needs, services, and governance structures as related to the prevention and reduction of the negative impacts of children's exposure to violence. See also definitions for urban, rural, and tribal categories.

⁴ To determine if a jurisdiction is within a metropolitan area, visit the Census Bureau's Web site at www.census.gov/population/www/estimates/aboutmetro.html.

or Executive Order. Eligible tribes must have a tribal government serving a reservation population of not less than 5,000, and a tribal court.

Applicants must demonstrate an established collaborative group—or the ability and commitment to expand coordination between two or more entities to other parties—and an infrastructure for overseeing the initiative. The selected communities should build upon any existing projects relevant to this initiative, such as the following:

- ◆ Office of National Drug Control Policy and OJJDP’s Community Anti-Drug Coalitions.
- ◆ Department of Justice’s Title V Community Prevention Grants, Safe Kids/Safe Streets, Comprehensive Communities, Weed and Seed, Child Development/Community Policing, or Violence Against Women Office sites.
- ◆ Empowerment Zones/Enterprise Communities.
- ◆ Department of Health and Human Services’ Comprehensive Community Mental Health Services for Children and Their Families; Starting Early/Starting Smart, Head Start, and Early Head Start; and Maternal Child Health Bureau’s Leadership Education Projects.
- ◆ Department of Education’s Safe and Drug-Free Schools.
- ◆ Department of Agriculture’s Children, Youth and Families At Risk training.
- ◆ Department of Housing and Urban Development’s Hope VI.

Selection Criteria

Applicants must submit a project narrative describing the overall approach to the Safe Start program, including a description of the conceptual and organizational framework for the collaborative approach and a detailed strategy for planning in Phase I.

All applicants will be evaluated and rated by a peer review panel according to the selection criteria outlined below. Applicants must use the selection criteria headings that appear below as the headings for their program narrative and present information in that order. The selection criteria will be used to determine the extent of each applicant’s responsiveness to program application requirements, compliance with eligibility requirements, indicators of need (including high rates of children exposed to violence), organizational capability, and thoroughness and innovation in responding to strategic issues related to project implementation. Staff and peer reviewer recommendations are advisory only, and the final award decision will be made by the OJJDP Administrator, taking into consideration geographic diversity and other considerations. As part of this final selection, a select group of finalists may be visited by a team of Federal officials to make final determinations about the awards.

Problem(s) To Be Addressed (10 points)

Applicants must provide a discussion of children's exposure to violence in the target community. This discussion must address the nature and extent of exposure to violence, including the factors in the community that put children at high risk of exposure to violence. Applicants should provide indicators or measures of the extent of the problem based on current local data such as crime, justice, health, and economic statistics. This information, in addition to data obtained during the assessment of Phase I, will be used as a baseline against which the progress and effectiveness of the applicant's efforts to prevent and reduce the effects of children's exposure to violence will be measured. As part of this section, applicants also should identify current community efforts and resources to reduce the effects of exposure to violence on children, including gaps in community response/service delivery. Applicants should indicate their knowledge of how and why coordination among their specific community entities can be effective in addressing children at high risk of exposure to violence and the effects on children of exposure to violence.

Applicants should organize and provide this information in the following manner:

Section One - Description of the Community and Target Population

- a. Describe the geographic area, size of population, age range to be served, general population characteristics, and ethnic composition of the community participating in the Safe Start program. Explain how and why the targeted community was identified and defined.
- b. Describe the governmental structure and major agencies servicing young children, including but not limited to law enforcement, the courts (e.g., domestic relations and dependency courts), social services, and health and mental health services. Provide a brief overview of responsibilities and relationships that currently exist, including availability of services and case management processes.

Section Two - Assessment of Community Strengths and Weaknesses

- a. Provide data on specific risk factors for children's exposure to violence, such as high rates of crime, drug abuse, poverty, child abuse and neglect, prevalence of intimate partner violence/domestic violence, and other factors identified in the community. Describe all local baseline data being collected and analyzed. Indicate any information gaps regarding risk factors or difficulties in assessing them.
- b. Describe the areas of greatest need. What are the gaps in existing services?
- c. Describe what resources are available to the community to address the identified risk factors.
- d. Discuss/describe current operations and response to children at high risk of, or exposed to, violence.

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- e. Discuss community strengths and weaknesses.

Goals and Objectives (10 points)

Outline the collaborative's vision for preventing and ameliorating the impact of exposure to violence, describing how the involved systems and agencies will operate upon conclusion of the planning and implementation phases. Applicants will be judged on a clear, far-reaching yet realistic, vision statement.

Applicants must provide a clear discussion of the proposed project goals and objectives as they logically relate to the needs, resources, and capabilities of their communities (which applicants should list in response to the section above, "Problems To Be Addressed") in relation to the long-range 5-year vision. In addition, applicants should outline specific goals and objectives for Phase I planning that result in the attainment of the Phase I deliverables set forth in the "Project Strategy" section of the solicitation. Objectives must be quantified, measurable, and attainable within the timeframes of the initiative phases. Applicants are reminded that Phase I is 12 months, but deliverables are due to OJJDP at month 9.

Project Design (20 points)

Applicants must describe their strategy for planning. The planning process and the major activities to be undertaken in the development of the implementation plan should be described stating the specific steps to be used during the first 12 months of the project. The steps should illustrate how the process will incorporate activities underway; coordinate and leverage services; identify and review services, existing gaps, policies and procedures, and barriers to services; identify human, fiscal, and technological resources; assess system function through case-level analysis; identify existing data sources and conduct a thorough data-driven assessment; and use this information to develop a strategy that minimizes duplication and inefficiencies and maximizes cooperation, coordination, and collaboration. The plan also should address local evaluation activities such as data collection, assessment, and planning for Phase I; development of a logic model; and local evaluation design. The plan must include a timeline or milestone chart that details not only the major activities and events but also the action steps and tasks associated with implementing the strategy to plan. The timeline should identify specific staff responsible or job functions required for completing each task.

Specifically, for Phase I, applicants should:

- ◆ List the collaborative partners including service providers who will participate in the planning and implementation process. Applicants will be judged on clear evidence of broad, high-level community involvement in the planning and implementation process.
- ◆ Identify the lead agency.
- ◆ Describe the process by which agencies plan to work together to design a coordinated service delivery system. Applicants will be judged on (1) the extent to which they have initiated planning and implementation of a comprehensive service system for children

exposed to violence and/or are in a position to build on current efforts including expansion of collaborative partnerships in other related areas, and (2) the ability and willingness on the part of key leaders to leverage existing resources, create new sources of support, make policy and procedural changes, and sustain activities. Please describe in detail the vision for ensuring linkages and integration at the direct service level by all involved agencies to provide a coordinated system of care for children exposed to violence. Include a description of the coordination mechanisms, both human and technological, such as interagency staffing groups, integrated case management systems, management information systems, joint intake and assessment procedures, referrals, etc.

- ◆ Describe how information is to be collected, used, coordinated, maintained, and managed. Also, please explain how children first will be identified as in need of services and through which contacts children will first receive services.
- ◆ Describe existing services and programs currently operating in the target community.
- ◆ Describe the plan for training and technical assistance in Phase I.
- ◆ Describe the local evaluation plan and incorporate it into the Phase I timeline/workplan (this should include a description of the process for selecting and contracting a local evaluator; data collection, assessment, and planning for Phase I; development of a logic model; and local evaluation design).
- ◆ Describe the developmental activities to be conducted in months 9–12.

Management and Organizational Capability (40 points)

Applicants should use this section to describe a sound governance and operating structure capable of carrying out the proposed initiative and to demonstrate the following: community readiness, an effective team management structure for the initiative involving the lead agency and the collaborative partners, and a strong organizational capability by the lead agency commensurate with the scope of work outlined in this solicitation. These elements and their share of the 40 points available under this criterion are discussed below.

Section One - Community Readiness (10 points)

Describe how the proposed vision and project design will build on and/or fit within current and past communitywide planning processes to achieve the initiative's objectives. Discuss the community's history of collaboration and planning as it addressed or addresses children's exposure to violence (or related issues, such as child abuse and neglect and domestic violence). Include a description of the participants, major milestones, and the nature and process of the collaboration. Clarify what has been done, what is in process, and what remains to be done. Describe the infrastructure upon which Safe Start will be developed. Applicants should demonstrate the existence, viability, and accomplishments to date of multidisciplinary arrangements whereby various agencies in a jurisdiction are working cooperatively or collaboratively to improve the community's response to children and families, especially if in the area of exposure to

violence. Applicants must also document that the collaborative or cooperative groups represent all the relevant stakeholders needed to reduce the impact of exposure in the target community. This involvement should include atypical resources and stakeholders such as grassroots organizations, parents, and community leaders. Applicants will be judged on the presence of structures and agreements (such as a range of local human resources and financial commitments) to ensure collaboration and coordination in planning, implementing, and evaluating an integrated system of care and the participation of all sectors of the community in the initiative.

Applicants also should demonstrate evidence of favorable policies and/or legislation that characterizes the political and administrative environments and gives evidence of political or administrative support for the proposed collaborative effort. Give examples of actual favorable policies or legislation in appendix D (discussed below).

Applicants must include documentation and letters of agreement, such as copies of MOU's and/or letters of collaboration/coordination, from key agencies that specifically describe the commitments made by each participating agency in appendix F (discussed below).

Section Two - Management (15 points)

Outline the proposed project staffing structure and management plan for the collaborative effort including at least one full-time, high-level, experienced lead coordinator for the initiative and support staff for the Phase I planning and initial development process. Applicants are to identify roles and responsibilities of each involved agency, committee, board, or other entity and explain its relationship to the overall effort. In addition, applicants must name and describe the core management team and the capabilities and experience of all staff and consultants who will participate in the management team or play lead roles in the planning effort. Include résumés of key personnel in appendix E (discussed below). Indicate the percentage of time for each named staff or consultant and the supervision or management plan. Describe the management practices that will be used to evaluate staff and program progress and to ensure corrective action.

Section Three - Organizational Capability (15 points)

Applicants should provide a brief overview of the lead agency's knowledge and experience in children, youth, and family issues, particularly as they relate to the prevention and reduction of the impact of exposure to violence. In addition, the applicant should demonstrate specific and detailed experience in leading collaborative, communitywide planning efforts involving systems change. The applicant must demonstrate a history that is consistent with the size and scope of this initiative. The applicant should also provide evidence of experience in strategic planning and management of staff in a collaborative environment. Experience leveraging State, local, tribal, or other resources is required. Applicants should demonstrate the ability and willingness to participate and cooperate in a comprehensive evaluation of this demonstration initiative at both the national and local level for purposes of formative learning and advancement of strategies to assist children and families.

Budget (10 points)

Applicants must provide a proposed budget that is complete, detailed, reasonable, allowable, and cost effective in relation to the activities to be performed and that indicates the extent to which resources have been committed for the first 12 months of the initiative. Although Safe Start is intended to improve service delivery through enhanced coordination of available services, the program allows applicants to determine the ratio of funds for coordination and for services, based on local needs. However, applicants must provide at least one full-time experienced, high-level project coordinator to oversee the planning effort and additional staff resources and support as needed. In addition, of the up to \$250,000 to be awarded for planning, applicants must set aside \$50,000 for local training and technical assistance to support community-specific needs and build on existing local TTA resources (to be defined in the budget). Sites are encouraged in Phase I to use the TTA set-aside to provide support for ongoing outside facilitation and consultation of the strategic planning process. Applicants should also use these funds to budget for travel to two cross-site grantee meetings. Additionally, ample funds should be budgeted for the local evaluation according to the specifications of this solicitation.

Appendixes (10 points)

To help reviewers gauge the likelihood of grantee success, applicants must submit the following appendixes as evidence of their readiness and potential:

- ◆ Appendix A: Resources list. This is a listing of the existing local services to children and families in the areas of prevention and reduction of the impact of exposure to violence. At a minimum, the list should include provider names, addresses, phone numbers, and a brief description of the services offered.
- ◆ Appendix B: Cross-system protocols. These are interagency agreements and protocols outlining a multidisciplinary approach to responding to children exposed to violence and preventing exposure, case management and tracking, and provision of services and treatment to these children and their families. Such agreements should, at a minimum, be among the police department, the child welfare system, the courts, the appropriate health and mental health agencies, and domestic violence service providers or advocates. Where agreements are not developed, please provide policies and protocols that exist between these agencies for services to children and families in general that may be expanded in Phase I. Agreements and protocols that include the school system and victims' services and advocates will further enhance the application. (To meet page limitations, applicants may provide a bibliography of protocols and interagency agreements that includes date(s) of agreement/effective date(s) and selected, relevant pages as evidence of applicability of the documents to this effort.)
- ◆ Appendix C: Statement of collaborative application. It is imperative that the plan be a mutual submission by all stakeholders. As evidence, applicants must submit a statement asserting that each party signing was substantially involved in the development of the plan. The statement must contain each person's original signature, typed/printed name, address, telephone number, and affiliation (title and agency or role—e.g., parent, block leader).

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- ◆ Appendix D: Evidence of favorable policies and/or legislation. Applicants are to document the existence of a favorable climate by listing current agency policies or local, State, or tribal legislation that aids interagency, communitywide collaboration in regard to children exposed to violence or other family support issues. As with appendix B, applicants may choose to do this by providing a bibliography of policies and legislation that includes effective date(s) along with selected, relevant pages.
 - ◆ Appendix E: Key staff and consultant résumés. Include résumés or brief descriptions of the relevant experience of key staff named in the “Management and Organizational Capability” section.
 - ◆ Appendix F: Letters of agreement and MOU’s. Include documentation of letters of agreement and MOU’s that specifically describe commitments made by each partner agency.

Format

The narrative portion of this application must not exceed 35 pages (excluding forms, assurances, and appendixes) and must be submitted on 8½- by 11-inch paper, double spaced on one side of the paper in a standard 12-point font. This is necessary to maintain fair and uniform standards among all applicants. If the narrative and appendixes do not conform to these standards, OJJDP will deem the application ineligible for consideration.

Award Period

The Safe Start demonstration project will be funded in the form of a cooperative agreement for a 5½-year project period.

Applicants are requested to apply for up to \$670,000; however, only \$250,000 will be available for Phase I (the first 12 months of the project). Applicants should provide a detailed budget and supporting narrative *only* for Phase I (12 months).

The remainder of the award funds (\$420,000) should be designated for development and implementation activities. Applicants should provide only a summary budget for the \$420,000 for Phase II initial implementation. A summary budget to be used by all applicants has been provided as attachment A, since in the first 9 months of the planning phase selected jurisdictions will be expected to develop a detailed 18-month implementation budget (based on the 5-year strategic plan). The \$420,000 will be special conditioned under the grant and will not be available for use by the grantee until the detailed 5-year strategic plan and 18-month implementation plan are reviewed and approved by OJJDP.

In the 18-month implementation plan, grantees will be required to provide a detailed budget and supporting narrative for the remaining \$420,000 of funds plus up to \$670,000 made available through a supplemental award in Phase II.

Award Amount

Selected applicants will receive up to \$250,000 for Phase I planning and development. Once the planning phase has been completed and the 5-year strategic plan and 18-month implementation plan are approved, up to \$1,090,000 will be made available, including the balance of the \$420,000 from the initial budget period. In that way, the funding level for the project will increase in Phase II for startup and initial implementation activities.

Funding will then decrease in Phase III, as sites seek and obtain alternative forms of funding to continue this project. Funding in Phase II and the subsequent years of Phase III will depend on grantee performance, availability of funds, and other criteria established at the time of the award.

Catalog of Federal Domestic Assistance (CFDA) Number

For this program, the CFDA number, which is required on Standard Form 424, Application for Federal Assistance, is 16.730. This form is included in this *Application Package*.

Coordination of Federal Efforts

To encourage better coordination among Federal agencies in addressing State and local needs, DOJ is requesting applicants to provide information on the following: (1) active Federal grant award(s) supporting this or related efforts, including awards from DOJ; (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.

“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 of some kind (e.g., technical assistance, research, or evaluation) to the program or project described in the application.

Delivery Instructions

All applications should be mailed or delivered to the Office of Juvenile Justice and Delinquency Prevention, c/o Juvenile Justice Resource Center, 2277 Research Boulevard, Mail Stop 2K, Rockville, MD 20850; 301-519-5535. **Note:** *In the lower left-hand corner of the envelope, you must clearly write “Safe Start Demonstration Project” and indicate the type of jurisdiction for which you are applying (urban, rural, or tribal).*

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 14, 1999.

Contacts

For further information, call Michelle Avery, Program Manager, Special Emphasis Division, at 202-307-5914, or send an e-mail inquiry to averym@ojp.usdoj.gov.

Juvenile Justice Clearinghouse: 800-638-8736 (phone) or www.ojjdp.ncjrs.org (Web site).

National Clearinghouse on Child Abuse and Neglect: 800-394-3366 (phone) or www.calib.com/nccanch (Web site).

References

Carlson, B.E. 1984. Children's observations of interparental violence. In *Battered Women and Their Families*, edited by A.R. Roberts. New York: Springer, pp. 147-167.

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Steinmetz, S.K. 1977. *The Cycle of Violence: Assertive, Aggressive, and Abusive Family Interaction*. New York: Praeger.

Straus, M.A. 1991 (September). Children as witnesses to marital violence: A risk factor for life-long problems among nationally representative sample of American men and women. Paper presented at the Ross Roundtable on Children and Violence, Washington, DC.

Straus, M., Gelles, R., and Steinmetz, S. 1980. *Behind Closed Doors: Violence in the American Family*. Garden City, NY: Anchor.

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Widom, C.S. 1992. *Cycle of Violence*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, National Institute of Justice.

Wright, K.N., and Wright, K.E. 1994. *Family Life, Delinquency, and Crime: A Policymaker's Guide*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention.

Zero to Three/National Center for Clinical Infant Programs. 1994. *Caring for Infants and Toddlers in Violent Environments: Hurt, Healing, and Hope*. Washington, DC: Zero to Three.

Attachment A

Summary Budget

Personnel	\$130,000
Fringe Benefits	\$70,000
Travel	\$15,000
Equipment	\$15,000
Supplies	\$10,000
Contractual	\$50,000
Other	\$30,000
Indirect	<u>\$100,000</u>
Total	\$420,000

Evaluation of the Safe Start Initiative

Purpose

The purpose of this evaluation is to document and evaluate communities' efforts to prevent and reduce the impact of family and community violence on young children (primarily from birth to 6 years of age). Toward that end, the Safe Start initiative seeks to create a comprehensive service delivery system by helping communities to expand existing partnerships among service providers in the fields of early childhood education/development, health, mental health, family support and strengthening, domestic violence, substance abuse prevention and treatment, crisis intervention, child welfare, law enforcement, courts, and legal services.

Background

The goal of the Safe Start initiative is to create a holistic approach to reduce and prevent the harmful effects of exposure to violence on young children by improving access to, delivery of, and quality of services to children and responding to the needs of children and their families at any point of entry into relevant systems (e.g., legal, social services, medical). Safe Start communities will undertake the following activities to achieve this goal:

- ◆ Expand a comprehensive planning effort that includes representatives from a variety of public and private agencies and programs with expertise in child development, violence, and the impact of violence on children.
- ◆ Assess the extent and nature of children's exposure or risk of exposure to violence and the circumstances within the community under which this exposure occurs.
- ◆ Assess and address the current levels and seriousness of critical health, mental health, and educational consequences and needs of children exposed to violence.
- ◆ Increase awareness within communities and among professionals of the impact of exposure to violence on children.
- ◆ Identify and reduce gaps, deficiencies, and barriers in community policies, procedures, and services designed to prevent exposure to violence or lessen its impact on children who have been exposed.
- ◆ Improve identification, referral, and interventions for children who are at risk of being exposed to violence or have been exposed to violence.

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- ◆ Identify and access training and technical assistance that supports coordinated services, policies, and procedures designed to prevent exposure to violence or lessen its impact on children who have been exposed.
 - ◆ Facilitate collaboration and coordination of services to improve cross-agency response, increase professional cross-training, and reduce barriers to accessing services.
 - ◆ Foster and facilitate organizational and systems change that promotes improvements in the availability, delivery, and quality of prevention, protection/intervention, and treatment services provided by law enforcement, mental health, health, domestic violence advocacy, courts and legal services, and educational services.
 - ◆ Develop and implement specific protocols, procedures, and research-based programs for responding to the needs of children exposed to violence and strengthening violence prevention programs designed to reduce such exposure.
 - ◆ Provide specific training and support to service providers in dealing with the psychological and developmental effects of children's experience with violence.
 - ◆ Address the multiethnic, racial, and gender needs of young children who are at high risk of or who have been exposed to violence.

This community-based initiative will progress in a series of stages across 5½ years of Federal funding. Applicants should become familiar with the program announcement for OJJDP's Safe Start demonstration project and research literature on the prevention and effects of exposure to violence. Applicants should pay special attention to the core elements of the Safe Start initiative as identified in the program solicitation. These highlight the programmatic areas, such as courts, police, child protective services, and mental health services, that must be addressed by each community. Also, in the program solicitation, the "Program Strategy" section delineates the activities and goals of the initiative's phases.

Evaluation Strategy

OJJDP will competitively award one cooperative agreement under this solicitation. Given the purpose of the evaluation, the overall evaluation design is intended to carefully document the formative aspects of the initiative and measure its effects in terms of level of implementation of the strategic planning process, extent of systems reform and service integration and improvement, and impact of the initiative on the lives of children and families.

Indicators of the level of implementation of the strategic planning process include, but are not limited to, determining:

- ◆ The comprehensiveness and rigor in assessing the incidence and prevalence of children's exposure to violence and the nature and severity of harm caused to children in the community who have been exposed to violence.

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- ◆ The closeness of the connection between the implementation plan and the risks, needs, and resources of the community.
 - ◆ The extent to which proposed solutions reflect both theoretical and strategic relevance to the problems identified in the assessment.

Systems reform and service integration and improvement might include measures of the following:

- ◆ Greater use of existing data sources or the creation of new data systems to identify trends in the incidence of child victimization and exposure to violence.
- ◆ Number of referrals made to mental health services by law enforcement, social services, early childhood workers, domestic violence shelters, and other relevant agencies.
- ◆ Number of court cases that result in referrals of children for screening, assessment, or intervention and treatment because of a recognition of exposure to violence issues.
- ◆ Changes in resource allocation (e.g., funding streams).
- ◆ Improved or new methods for sharing information across agencies.

Impacts on the lives of children and families can include a variety of outcomes that will vary according to the strategies implemented by each community. Some examples include:

- ◆ As a result of providing more timely and appropriate mental health services to children exposed to violence via police referral mechanisms and partnerships, these children may exhibit lower levels of Post Traumatic Stress Disorder (PTSD) and/or depression.
- ◆ A Prenatal Nurse Home Visitation Program may result in healthier mothers and babies, increased attachment and bonding, and reduced incidence of child abuse and neglect.

The evaluation of Safe Start will be conducted using a national evaluator and local evaluators funded by and located in each Safe Start community. The relationship between the national evaluator and the local evaluators should be collaborative and supportive with guidance and leadership coming from the national evaluator. In key areas of the evaluation effort, the national evaluator and OJJDP have authority over local evaluators. Specifically, local evaluators must participate in the cross-site process and impact evaluations in accordance with the procedures established by the national evaluator (e.g., the collection and transmittal of data) and design a local evaluation plan that is approved by the national evaluator and OJJDP. Applicants should pay special attention to the portion of the program solicitation that outlines the community's responsibility for selecting and funding a local evaluator and the role of local evaluators in the overall evaluation effort.

The national evaluator will be expected to (1) carefully document all stages of the planning and implementation processes and collect relevant process data; (2) design a cross-site impact evaluation and collect and analyze relevant data; (3) assist local evaluators to develop local logic models and impact evaluation plans; (4) compile and provide timely comparative cross-site results, as appropriate, back to the local sites and their evaluators from the impact evaluation; (5) assist local evaluators in determining which programmatic components are amenable to producing reliable measures of program impact on children; and (6) prepare reports suitable for publication by OJJDP. The evaluation effort will be guided by a logic model of the Safe Start initiative that can be tailored to the activities of each individual site and follow the theory of change proposed by each community. The evaluation must be planned to include up to 12 Safe Start communities.

Cross-Site Process Evaluation

The national evaluator is responsible for designing a cross-site process evaluation, which will be adopted by all Safe Start local evaluators. Local evaluators will have input into this design but ultimately will be required to participate in the cross-site process evaluation in accordance with the agreed-upon structure and methods. Local evaluators will be required to submit process data to the national evaluator on an agreed-upon schedule to be developed by the national evaluator.

The process evaluation should be designed to document and analyze the process of effective implementation of the Safe Start initiative to provide information to strengthen and refine the initiative within and across sites throughout the 5½ years of planning and implementation. It is important to identify factors that contribute to or impede the successful implementation of the initiative in each community. It is essential to know not only whether the initiative is successful or unsuccessful and the degree to which it succeeds or fails, but also why or how it was successful or unsuccessful. The process evaluation also should document the breadth of the community assessment process, analyze the connectedness between the results of the community assessment and implementation plan, and analyze the extent to which each community's implementation plan draws from programs and practices that are theory driven and research based.

Cross-Site Impact Evaluation

The national evaluator is responsible for designing the cross-site impact evaluation. Local evaluators must participate in the design and implementation of the cross-site impact evaluation in accordance with procedures developed by the national evaluator. This component of the evaluation will assess the extent to which the initiative is meeting its quantitative goals and the amount of change that is taking place at the community and individual levels. For example, if the Safe Start community adopts new policies for police referrals to family counseling services, the national evaluator may require that the local evaluator and other local Safe Start project staff monitor the number of referrals made after the policy takes effect. In this same vein, the national evaluator may require that archival data be collected to provide a baseline. Also, the national evaluator will report on the effects specific programs and strategies are having on children and families. This level of data collection and analysis will be possible primarily through the design and implementation of the local impact evaluation, described in more detail below.

The national and local evaluator must develop a strong working relationship and a mutual commitment to measure Safe Start outcomes. The local evaluator will work with the national evaluator to identify outcomes that can be measured as the initiative develops. It should be noted that all of these requirements will be central to implementing a rigorous evaluation of Safe Start and embed the process and impact evaluation process in the program development, implementation, and refinement process.

Local Impact Evaluations

As Safe Start communities begin to implement specific programs (e.g., Nurse Home Visitation) and the need arises to assess the impact of Safe Start services on individuals (i.e., children and their families/caregivers), the national evaluator will provide technical assistance to local evaluators in designing evaluation plans that can accomplish this task. The local evaluator and local Safe Start project staff will be expected to make a strong and demonstrated commitment to designing evaluations that can accomplish this level of assessment. Furthermore, these local plans must focus on conducting rigorous evaluations that use experimental or quasi-experimental designs. The national evaluator will provide guidance in developing these plans and report on the progress of each community to OJJDP. The local evaluator will submit an evaluation plan to the national evaluator, who will then submit the plan to OJJDP, which will give final approval for all local impact evaluation plans.

Local impact evaluation plans will be developed in a cooperative effort between the Safe Start project staff, its local evaluator, and the national evaluator. This collaboration is important to the evaluation effort for a number of reasons. For example, when local impact evaluations are designed, the Safe Start project staff must have input into how to identify or create comparison groups, how to design referral procedures for a specific program, and how to develop agreements regarding random assignment to experimental and control groups. In sum, the local Safe Start project staff are crucial to the implementation of any rigorous evaluation design. The national evaluator is responsible for guiding the development of these plans through training and technical assistance on evaluation methods. (The level of expertise and technical assistance needed at the local level is expected to vary across communities.) Finally, the national evaluator will be required to develop a Safe Start Self-Evaluation Tool Kit for use by each site. The Tool Kit should be modeled after OJJDP's *Title V: Community Prevention Grants Program: Community Self-Evaluation Workbook* (available from the Juvenile Justice Clearinghouse, 800-638-8736).

The national evaluation of Safe Start will be conducted in two phases over 6 years. Phase I (12 months) will entail designing and implementing a cross-site process evaluation; building capacity at the local level to conduct more intensive impact evaluations of specific programs and strategies (e.g., developing tools for communities to use in selecting a local evaluator and providing technical assistance around evaluation issues); assisting in the development of Safe Start logic models and local evaluation plans; developing the Safe Start Evaluation Tool Kit; developing a preliminary workplan for measuring the impact of Safe Start across sites; and producing reports and publications.

During Phase II (60 months), the national evaluator will continue and complete the cross-site process evaluation, conduct the cross-site impact evaluation, produce and provide ongoing

assistance to local evaluators in designing and conducting more rigorous impact evaluations of specific programs and strategies, and produce reports and publications.

Goals and Objectives

Phase I

Goal: Document and analyze the process of effective implementation of the Safe Start initiative to provide information to strengthen and refine the initiative within and across sites. The analysis will identify factors that contribute to or impede the successful implementation of the initiative in each community.

Objectives:

- ◆ Develop a conceptual framework for conducting the cross-site process evaluation to include all Safe Start sites. This framework should be formed around a general logic model of the Safe Start initiative that can be tailored to the activities of each site. The national evaluator must develop materials communicating the evaluation strategy, including instruments, mechanisms, and procedures to collect process data, to the local evaluators and Safe Start project staff.
- ◆ Compile and analyze results and provide routine feedback to the sites on the planning, program development, and implementation process.
- ◆ Produce reports and publications that document the progress of the initiative in each community and across sites.

Goal: Develop the capacity of local evaluators to evaluate the impact of specific programs and strategies implemented in their communities.

Objectives:

- ◆ Formulate a set of critical elements related to the tasks and requirements of the local evaluator to be used by Safe Start communities in selecting/recruiting a local evaluator 3 months after the grant award. This product should explain the role and responsibilities of the national evaluator as they relate to (1) the goals of the national evaluation effort (e.g., data collection requirements) and (2) the goals of the local evaluation effort (e.g., experimental or quasi-experimental evaluations of specific programs). Also at this time, the grantee will submit a preliminary plan for assisting Safe Start communities in the selection process.
- ◆ Provide training and technical assistance (the degree of which should be flexible to address the needs of different communities) to local evaluators in refining logic models; identifying long-, intermediate-, and short-range outcomes; identifying necessary data sources and variables; and designing local impact evaluation plans for evaluating the impact of specific

programs and strategies implemented by the community. The national evaluator will produce a Safe Start Self-Evaluation Tool Kit modeled after OJJDP's *Title V: Community Prevention Grants Program: Community Self-Evaluation Workbook*.

Goal: Design an impact evaluation that can measure the effect of the initiative within and across sites. It is expected that communities will differ significantly in their approaches to the initiative as they will be guided by their specific risk and resource assessments. However, the national evaluator should draw from its experience with evaluating similar efforts and associated literature on evaluating community initiatives to propose an approach to designing a cross-site impact evaluation.

Phase II

Goal: Continue the cross-site process evaluation and finalize and implement the cross-site impact evaluation design. During Phase II, particular attention will be paid to identifying, collecting, and reporting on community-, system-, and individual-level outcomes.

Objectives:

- ◆ Compile and analyze results and provide routine feedback to the sites on the planning, program development, and implementation process.
- ◆ Produce annual, interim reports that document the progress of the initiative in each community and across sites.

Goal: Further assist local evaluators in designing and implementing local evaluation plans and monitor the progress and results of these evaluations.

Objectives:

- ◆ Provide technical assistance to local evaluators as necessary.
- ◆ Collect and analyze Safe Start local impact evaluation plans and results and produce a report for OJJDP.

Products

For Delivery During Phase I

The grantee will submit a draft cross-site process evaluation design including a common set of data collection instruments, mechanisms, and procedures to be pilot tested at Safe Start sites. This product will be submitted 3 months after the grant award.

The grantee will submit the set of critical elements related to the tasks and requirements of the local evaluator to be used by Safe Start communities in selecting/recruiting a local evaluator 3 months after the grant award. Also at this time, the grantee will submit a preliminary plan for assisting Safe Start communities in the selection process.

Six months after the grant award, the grantee will deliver a draft Safe Start Self-Evaluation Tool Kit modeled after OJJDP's *Title V: Community Prevention Grants Program: Community Self-Evaluation Workbook*. Also at this time, the grantee will deliver a technical assistance workplan for assisting Safe Start communities in the development of local evaluation plans.

An interim report describing the results of the process evaluation through the end of Phase I will be submitted 30 days prior to the end of Phase I. This report should include analysis and results of the planning process, a summary of logic model development in each Safe Start community, and a summary of each local evaluator's progress toward designing a local evaluation plan. This report should lend itself to publication as one or more OJJDP Bulletins.

A preliminary workplan for developing and conducting the cross-site impact evaluation will be submitted 30 days prior to the end of Phase I (a separate document from the cross-site interim report). This should include potential data sources and data collection strategies and an estimated timetable.

For Delivery During Phase II

A finalized cross-site impact evaluation design and strategy will be submitted 3 months after Phase II begins. The grantee must address issues relating to pilot testing instruments and Office of Management and Budget approval.

During Phase II, interim reports that describe the ongoing efforts of the Safe Start communities (e.g., local development and evaluation of the initiative) and present findings from the cross-site process and impact evaluations will be submitted every 6 months (the first being due 6 months after Phase II begins). These reports should lend themselves to being published as one or more OJJDP publications.

A draft final report will be due 30 days prior to the end of Year 6. This report should incorporate results of both the process and cross-site impact evaluations and update and summarize local evaluators' progress toward completing local impact evaluations. The final report will be due at the end of Year 6 and should lend itself to being published as one or more OJJDP publications.

Eligibility Requirements

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

Selection Criteria

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

Problem(s) To Be Addressed (20 points)

The applicant must include a clear and concise discussion of its understanding of the effects, treatment, and prevention of young children's exposure to violence. Applicants should discuss how to apply state-of-the-art evaluation methods, including qualitative methods, to achieve evaluation objectives. Also, applicants should discuss any anticipated methodological issues and problems associated with this type of evaluation and describe proposed solutions for these potential problems. A thorough understanding of theory-driven evaluation, interagency collaboration to effectuate systems change and service delivery improvement, community-based prevention and intervention programs, and multisite research on a national level is vital.

Goals and Objectives (10 points)

Applicants must define specific and measurable goals and objectives for coordinating and implementing this project. These should be guided by the requirements in this solicitation, but the applicant should expand and augment them to fit with its approach to the project while describing how the approach will accomplish the larger goals and objectives.

Project Design (35 points)

In response to this solicitation, applicants must present a detailed and clear design for accomplishing the goals and objectives of Phase I. Applicants must discuss how their proposed approach to Phase I would lay the foundation for meeting the goals and objectives of Phase II. The applicant must include a timetable for accomplishing Phase I goals and objectives and delivering the required products. It is important to discuss how the cross-site process evaluation will be carried out and how the applicant will lay the foundation for the cross-site impact evaluation to include, but not be limited to, instrument development, methods, information dissemination, and cross-site communication and monitoring. Applicants must ensure the confidentiality of all subjects. It is important to discuss how the applicant will effectively deliver technical assistance at the local level aimed at evaluation capacity building. Furthermore, the applicant must propose a design that will foster a collaborative and supportive relationship between local evaluators and the national evaluator.

Management and Organizational Capability (25 points)

The application must include a discussion of how the applicant will coordinate and manage this evaluation to achieve evaluation goals and objectives. The applicant's management structure and staffing must be adequate and appropriate for the successful implementation of the project. The applicant must identify responsible individuals and key consultants, their time commitment, and major tasks. Key staff and consultants should have significant experience with evaluation research on multisite community initiatives. They must demonstrate the ability to work effectively with a

range of agencies and service providers including, but not limited to, courts, police departments, child protective services, and mental health service providers to collect data and manage other requirements of the project. Staff and key consultant résumés must be attached as part of the appendixes.

Budget (10 points)

The applicant must provide a proposed budget that is complete, detailed, reasonable, allowable, and cost effective in relation to the activities to be undertaken during Phase I. (Annual Phase II budgets will vary depending on certain factors; see below.) Applicants must budget for travel to two cross-site grantee meetings in Phase I in addition to any other travel.

Format

The narrative portion of this application must be submitted on 8½- by 11-inch paper, double spaced on one side of the paper in a standard 12-point font. This is necessary to maintain fair and uniform standards among all applicants. If the narrative does not conform to these standards, OJJDP will deem the application ineligible for consideration. The narrative must not exceed 35 pages, exclusive of appendixes, forms, assurances, and budget.

Award Period

This evaluation will be funded in the form of a cooperative agreement for an initial 12-month budget period for Phase I of a 6-year project period. Funding in the second and subsequent budget periods will depend upon grantee performance, availability of funds, and other criteria established at the time of award.

Award Amount

Up to \$1 million is available for the initial 12-month budget period. Funding in subsequent years will be available at levels that are at least comparable.

Catalog of Federal Domestic Assistance (CFDA) Number

For this program, the CFDA number, which is required on Standard Form 424, Application for Federal Assistance, is 16.730. This form is included in this *Application Package*.

Coordination of Federal Efforts

To encourage better coordination among Federal agencies in addressing State and local needs, the U.S. Department of Justice (DOJ) is requesting applicants to provide information on the following: (1) active Federal grant award(s) supporting this or related efforts, including awards from DOJ; (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.

“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 of some kind (e.g., technical assistance, research, or evaluation) to the program or project described in the application.

Delivery Instructions

All application packages should be mailed or delivered to the Office of Juvenile Justice and Delinquency Prevention, c/o Juvenile Justice Resource Center, 2277 Research Boulevard, Mail Stop 2K, Rockville, MD 20850; 301-519-5535. **Note:** *In the lower left-hand corner of the envelope, you must clearly write “Evaluation of the Safe Start 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 14, 1999.

Contact

For further information, call Dean Hoffman, Program Manager, Research and Program Development Division, 202-353-9256, or send an e-mail inquiry to hoffmand@ojp.usdoj.gov.

Suggested References

The Annie E. Casey Foundation. 1997. *Evaluating Comprehensive Community Change*. Report of The Annie E. Casey Foundation's March 1997 Research and Evaluation Conference.

Connell, J.P., Kubisch, A.C., Schorr, L.B., and Weiss, C.H., eds. 1995. *New Approaches to Evaluating Community Initiatives: Concepts, Methods, and Contexts*. Washington, DC: The Aspen Institute.

Fulbright-Anderson, K., Kubisch, A.C., and Connell, J.P., eds. 1998. *New Approaches to Evaluating Community Initiatives (Volume 2): Theory, Measurement, and Analysis*. Washington, DC: The Aspen Institute.

Harrell, Adele. 1996. *Evaluation Strategies for Human Services Programs: A Guide for Policymakers and Providers*. Washington, DC: The Urban Institute Press.

Office of Juvenile Justice and Delinquency Prevention. 1995. *Title V Delinquency Prevention Program: Community Self-Evaluation Workbook*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention.

Appendix A: Checklist and Application Forms

Checklist for OJJDP Applications

This checklist is provided to assist you in preparing and compiling your application package for OJJDP 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.
- OJP Form 4000/3 (Assurances).
- OJP Form 4061/6 (Certifications).
- Standard Form LLL (Disclosure of Lobbying Activities), if applicable.

Project Specifications

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

Appendix

- Timeline of major milestones.
- Résumés of all personnel.
- Five additional copies of the application package.

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
------	-------------	------

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
------	----------	-------------	------

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>

INSTRUCTIONS

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center, provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function, or activity provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function, or activity quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list item in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

Public reporting burden for this collection of information is estimated to average 26 hours 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 aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 810 Seventh Street NW., Washington, DC 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

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



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

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 B: Peer Review Information

**UNITED STATES
DEPARTMENT OF JUSTICE**

OFFICE OF JUSTICE PROGRAMS



Guideline

OJP G 4062.8A

Office of Juvenile Justice And Delinquency Prevention (OJJDP) Peer Review Guideline

Purpose

This guideline establishes the procedures the Office of Juvenile Justice and Delinquency Prevention (OJJDP) will use in organizing and conducting peer reviews of applications submitted for discretionary funding to the Office of Juvenile Justice and Delinquency Prevention. This guideline replaces OJP G 4062.8 (October 15, 1990).

Scope

The provisions of this guideline apply to all discretionary grant applications submitted to OJJDP that require selection through a peer review process. This document is designed as a guide for applicants, peer reviewers, and OJJDP employees.

Background

- The Juvenile Justice and Delinquency Prevention (JJDP) Act of 1974, 42 U.S.C. 5601, *et seq.* (hereinafter referred to as the “Act”), as amended, requires that applications submitted to OJJDP for Part C discretionary funds be approved through a competitive process established by rule by the OJJDP Administrator. Programs carried out in declared disaster areas or programs that are uniquely qualified are exempt from this competitive application requirement.
- The Act further requires that programs be selected for OJJDP assistance through a formal peer review process using outside experts in fields related to the subject matter of the program, with the exception of assistance provided pursuant to Section 241(f) of the Act to an eligible organization comprised of member representatives of the State Advisory Groups.
- Accomplishing OJJDP’s mission to provide a comprehensive and coordinated approach to the problems of juvenile delinquency is dependent, to a large extent, on the success of the programs and projects OJJDP funds. To foster this success, OJJDP makes careful and

informed selections of projects for funding. A very important element of the project selection process is peer review. Peer review is the technical and programmatic evaluation of projects and applications by experts from outside the Department of Justice who are qualified by training and/or experience to evaluate and make recommendations with regard to proposed programs.

Peer Review Policy

- ❑ It is OJJDP's policy 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. The following types of awards are specifically excluded from competition and peer review requirements under the terms of the OJJDP Competition and Peer Review Regulation:
 - Funds transferred to OJJDP from another Federal agency to augment authorized juvenile justice programs, projects, or purposes.
 - Funds transferred to other Federal agencies from OJJDP for program purposes as authorized by law.
 - Procurement contract awards which are subject to applicable Federal laws and regulations governing the procurement of goods and services for the benefit and use of the Federal Government.
 - Assistance awards from the 5 percent set aside of Special Emphasis funds under Section 261(e) of the Act.
 - Assistance awards under Section 241(f) of the Act.
- ❑ Peer review recommendations are advisory and do not bind the OJJDP Administrator to make the recommended decision. However, the Administrator 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 cognizant Division Director will determine whether the second review panel will be composed of 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 OJJDP Competition and Peer Review Regulation.

Definitions

- ❑ A **Peer Review Coordinator** is an OJJDP employee designated to oversee all aspects of the peer review process.
- ❑ **Competitive Awards** are made under OJJDP program announcements (published in the *Federal Register*) informing the public of the availability of funds for specific purposes and inviting formal applications (or, in some instances, Concept Papers). The selection criteria to be applied by the Peer Reviewers to a specific application are listed in each *Federal Register* announcement.
- ❑ The **Division Director** is the director of any one of the following OJJDP components: Research and Program Development Division; Special Emphasis Division; State Relations and Assistance Division; Training and Technical Assistance Division; Information Dissemination Unit; Concentration of Federal Efforts Program; or Missing and Exploited Children's Program.
- ❑ **Financial Review** refers to review by the Office of Justice Programs, Office of the Comptroller, to determine whether the budgeted costs presented in an application are reasonable, allowable, and cost effective for the proposed activities. All applicants must meet OJP standards for fiscal integrity (as described in the current editions of the handbook on policies and procedures for OJP grants and the *Financial Guide*). A Financial Review is performed after the Administrator has decided to fund an applicant's project. Financial Review does not obviate the need for the Peer Reviewers to rate the application's response to the selection criteria for budget and cost effectiveness.
- ❑ An **Internal Reviewer** is an officer or employee of the Department of Justice or other Federal agency qualified by experience and expertise to conduct appropriate application and program reviews.
- ❑ An **Internal Review Group** consists of Internal Reviewers selected to review Concept Papers or applications submitted to OJJDP in response to a competitive program announcement, review noncompetitive applications, or review and evaluate the recommendations of a Peer Review Panel as part of the internal review process.
- ❑ **Noncompetitive Awards** are made in the absence of program announcements inviting applications. These may include awards to continue a project's funding beyond the original project period or awards for uniquely qualified projects not subject to peer review.
- ❑ A **Peer Reviewer** advises OJJDP on the merits of applications submitted for funding. A Peer Reviewer is an expert in a field related to the subject of a proposed program or in the implementation of that type of project and may not be an officer or employee of the Department of Justice.

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- ❑ **Peer Reviewer Recommendations** consist of ratings or summary rankings of Concept Papers or applications for the purpose of making recommendations regarding the selection of applications for OJJDP funding.
 - ❑ A **Peer Review Panel** consists of three or more experts selected to review, evaluate, and make recommendations on Concept Papers or applications submitted to OJJDP in response to a competitive program announcement.
 - ❑ A **Concept Paper** is an abbreviated application. Concept Papers may be requested by OJJDP for competitive programs for which a large number of applications are expected. Concept Papers will be reviewed by OJJDP staff or others who have expertise in the program area in order to eliminate applications that fail to meet minimum program or eligibility requirements, as specified in a program announcement, or clearly lack sufficient merit to qualify as potential candidates for funding consideration. Concept Papers may be subject to peer review.
 - ❑ A **Program Announcement** is a notice published in the *Federal Register* that invites applications for a specific program and set of requirements.
 - ❑ The **Program Manager** is a member of the OJJDP staff who is directly responsible for the specific applications under peer review.
 - ❑ A **Ranking** is an application's relative position, based on summary ratings, to other applications submitted for a specific program announcement.
 - ❑ **Ratings** are scores assigned by individual Peer Reviewers based on an application's response to the selection criteria specified in the program announcement.
 - ❑ **Summary Ratings** are the averages of the total scores assigned to each application by each Peer Reviewer.

Peer Review Procedures

- ❑ **Number of Peer Reviewers on Each Panel.** The number of reviewers on a Peer Review Panel will vary by program depending on the volume of applications anticipated or received and the range of expertise required. A minimum of three Peer Reviewers will review each application.
- ❑ **Peer Reviewer Approval.** The OJJDP Administrator approves qualified consultants to serve as Peer Reviewers for each application or group of applications based on recommendations provided by the Division Director.
- ❑ **Consultant Pool.**
 - An OJJDP technical support contractor maintains a pool of qualified consultants from which Peer Reviewers shall be selected. Any individual with requisite

expertise may be selected from the pool with approval of the OJJDP Administrator or the Administrator's designee. This pool is maintained for peer reviews and other technical assistance purposes, and includes a sufficient number of experts to meet OJJDP's peer review needs.

- The Consultant Pool is managed by an OJJDP support contractor. Consultants are subcontractors employed by the OJJDP support contractor. Consultant experts are continually added to the pool to maintain a wide range of expertise, experience, background, ethnicity, gender, and geographic representation. Consultants performing peer review are reimbursed by the support contractor at a flat rate established by OJJDP.
- Individuals who wish to be considered for the Consultant Pool may submit their credentials to the Peer Review Coordinator or to the OJJDP support contractor, who will evaluate the consultants' qualifications. Reviewers who fail to satisfactorily complete their assignments may not be reimbursed for their work.

□ **Selection of Peer Review Panels.**

- The Program Manager may recommend qualified reviewers to the support contractor and will ask the support contractor to provide a listing of qualified reviewers in specific topical areas. A consultant expert must be enrolled in the Peer Review Pool to be eligible to serve as a reviewer.
- Based on the list received from the support contractor, the Program Manager and the Division Director will recommend potential reviewers from the Consultant Pool. The Administrator will approve reviewers from this list or ask for additional qualified consultant experts enrolled in the Consultant Pool.
- The Program Manager and the Division Director will submit their recommendations via a memorandum to the OJJDP Administrator. The proposed reviewers should be listed in order of preference with a brief biography attached to the recommendation memorandum. A copy of the memorandum shall be provided to the Peer Review Coordinator, who will notify the support contractor and the Division Director following approval of the Peer Reviewers.
- When considering candidates for a Peer Review Panel, the Program Manager and Division Director should recommend a highly qualified group that represents expertise related to the individual applications under review. Each panel should be structured to provide broad representation and many views on matters under the Peer Review Panel's consideration. Some considerations that should help achieve reasonable balance on the Peer Review Panel are:
 - Each member of the panel should have expertise in or complementary to the subject area under review. This does not preclude using youth representatives.

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- When possible, the Peer Review Panel should comprise researchers, practitioners, and academicians.
 - Panel members should be drawn from as wide a geographic area as is practical and should represent both urban and rural perspectives.
 - Special attention should be paid to recommending qualified women and minorities.
 - When appropriate, the Peer Review Panel should be composed of a diverse group of experts from the public and private sectors, including community-based youth-serving organizations.

Internal Review

- An internal review of applications or Concept Papers will be conducted by the Program Manager and/or by designated Department of Justice staff.
- The first stage of the internal 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.
- A second internal review will be conducted by the Program Manager after the completion of the external peer review. This may be supported by other Internal Reviewers and/or an Internal Review Group. Following the second internal review, the Program Manager will prepare a memorandum through the Division Director to the Administrator describing the review process, the conclusions and recommendations of the reviewers, the scores received by the application, any significant problems encountered during the review, suitability of the applicant, and significant recommendations for modifying or enhancing the application recommended for funding. The memorandum will provide a formal recommendation concerning applications recommended for grant awards.

Peer Review

- Peer reviews may be conducted by mail, conference call, in meetings, through a combination of the three, or through electronic means; a peer review meeting is preferred when practical. These peer review meetings facilitate useful dialog among the experts, provide an opportunity for the reviewers to seek clarification from the Program Manager concerning program and technical requirements, and, through careful monitoring, ensure that each application receives equal consideration.

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- ❑ Infrequently, Peer Reviewers and/or Program Managers need to make site visits. In all instances, OJJDP determines the necessity of site visits. Should a Peer Review Panel believe that a recommendation cannot be finalized without a site visit, the Peer Review Panel should make a request to the Peer Review Coordinator, who will present the request to the Division Director for approval.
 - ❑ For peer reviews that involve meetings, Peer Review Panel members will be assembled for instruction, including a review of the program announcement, selection criteria, and peer review procedures. The Peer Review Coordinator will provide general oversight for the peer review meeting. The Program Manager will be available to interpret the program announcement and provide objective information concerning program requirements. The OJJDP support contractor will provide staff to facilitate and record the meeting and prepare a summary of the proceedings.
 - ❑ If OJJDP determines a need for reviewer communication, a conference call may be arranged among OJJDP staff, the support contractor, and the reviewers to discuss the applications.

Selection Criteria

- ❑ All OJJDP applications are, at a minimum, rated 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 can also be enhanced to more clearly define the program requirements. Each competitive program announcement will indicate any additional program-specific review criteria to be considered in the peer review for that program. The assigned points for each criterion will be specified in the program announcement.

Scoring Applications

- ❑ The maximum score for each criterion shall be indicated in the program announcement, and the total possible score for all criteria shall equal 100 points.

For example:

- Statement of the problem—15 points.
 - Definition of objectives—15 points.
 - Project design—30 points.
 - Project management and organizational capability—30 points.
 - Reasonableness of costs—10 points.
- Competitive applications will be rated by each Peer Reviewer according to the selection criteria. Summary ratings will be calculated from the numerical scores assigned to each application by the individual reviewers. The ranking of each application will be based on its summary rating. The rating categories are as follows:
- 90–100 points Responsive with no revisions required.
 - 80–89 points Responsive with minor revisions required.
 - 70–79 points Responsive with significant revisions required.
 - 60–69 points Minimally responsive with major deficiencies that would require extensive correction.
 - 0–59 points Not responsive and not sufficient to receive funding.

Results of Peer Review

- Peer review recommendations, in conjunction with the results of the internal review, assist the Administrator in the final selection of applications for funding.
- Peer Reviewers are encouraged to make suggestions for enhancing proposals.
- Occasionally, supplementary reviews are necessary. Supplementary reviews are performed by a Peer Reviewer for particular programs or project applications for the following reasons:
 - The applicant included highly technical aspects that initial Peer Review Panel members were not qualified to address.
 - Conflicts of interest or other disqualifying circumstance within the Peer Review Panel resulted in an insufficient number of valid peer reviews.

Standards of Conduct

All Peer Review Panelists will be treated as “special Government employees” (18 USC 202(a)) and, as such, are held to Department of Justice Standards of Conduct (28 C.F.R., Part 45).

Conflicts of Interest

In addition to the general Department of Justice conflict of interest rules set forth in its Standards of Conduct, OJJDP Peer Reviewers are subject to the OJJDP Peer Review Policy with respect to conflicts of interest.

- It is OJJDP’s policy to prohibit a Peer Review Panel member from participating in the review of any application when he or she has a real or potential conflict of interest, such as:
 - The Peer Reviewer has been, or would be, directly involved in the project (e.g., as a current or past advisory board member, consultant, collaborator, or conference speaker whose expenses would be paid from the grant).
 - The Peer Reviewer is employed by the same institution or organization as the applicant or was employed there within the past year.
 - The Peer Reviewer and the applicant collaborated within the past year on work related to the proposal.
 - The Peer Reviewer is or has been under consideration for a position at the applicant’s organization or institution.
 - The Peer Reviewer served in an official capacity with the applicant’s organization within the past year.
 - The Peer Reviewer’s organization has members or closely affiliated officials (e.g., board of trustees members) who serve in an official capacity with the applicant’s organization or institution.
 - The Peer Reviewer and the applicant have a familial relationship.
 - The Peer Reviewer had relations with the project director, or other key personnel identified in the application, as a student, thesis advisor, or postdoctoral advisor.
 - The Peer Reviewer and applicant are known to be either close friends or open antagonists.
 - The Peer Reviewer has a proposal planned for submission to OJJDP or currently under review by OJJDP within the same subject area as the proposed project.

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- The Peer Reviewer was declined for an OJJDP project, had a substantial budget reduction in an OJJDP-funded project, or incurred other unfavorable action from OJJDP.
 - The Peer Reviewer is currently involved in a project closely associated with the proposed project.
- The aforementioned situations should be considered by the Program Manager before a Peer Reviewer is recommended for a Peer Review Panel, and by the OJJDP support contractor and panelist before the proposed panelist accepts an invitation to serve on a specific review. Should a conflict of interest, or the appearance of a conflict of interest, develop after the individual has been selected, it should be brought to the attention of the Peer Review Coordinator by the Program Manager, Division Director, OJJDP support contractor, or Peer Reviewer.
 - During the course of a review, should a Peer Reviewer question that he/she may have a conflict of interest or the appearance of a conflict, the reviewer should immediately notify the Peer Review Coordinator or the support contractor's representative assigned to facilitate the review.

Confidentiality

Peer Review Panel members, OJJDP staff, and the support contractor must treat as absolutely confidential all application materials, reviewer identities, comments, deliberations, and recommendations of the Peer Review Panel. Panelists are prohibited from providing any information before, during, and after the review regarding their deliberations or recommendations to anyone outside the peer review process. Application materials and information about the Peer Review Panelists' discussion or recommendations on particular applications must not be divulged to, or discussed with, any persons not involved in the review process. Should a Peer Review Panel member receive a request for application materials or information about panel discussions or recommendations, the reviewer must notify the Peer Review Coordinator. Any persons requesting information about the review process, or about a specific application, should be referred to the Peer Review Coordinator.

Informing Applicants of Peer Reviewer Comments

An unsuccessful applicant may submit a written request for information about the peer review of its proposal, including a summary that specifies the strengths and weaknesses of the application, copies of the panelists' ratings and comment sheets, and a matrix of panelists' scores. Panelist identification is removed from these materials before they are provided to applicants who request them. Requests for information about the peer review of an applicant's proposal should be submitted in writing to the Program Manager. A copy of the request should be forwarded by the Program Manager to the Peer Review Coordinator.

Compensation

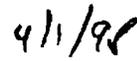
All Peer Reviewers will be eligible to be paid a consultant fee in accordance with Par. 6c. (2) of this guideline. In addition, Peer Review Panelists are eligible for reimbursement for travel expenses, including a per diem for lodging and meals, as authorized by Section 5703 of Title 5, United States Code. Vouchers and any necessary reimbursement forms will be provided to reviewers by the support contractor.

Managing the Peer Review Process

A technical support contractor assists the Peer Review Coordinator with managing the peer review process. The contractor identifies and secures the meeting site, records and summarizes the meeting, and reimburses the panelists for travel, lodging, and consulting fees.



SHAY BILCHIK
Administrator



Date

Appendix C: Contact Lists

State Advisory Groups, State Planning Agencies, and Juvenile Justice Specialists

As defined in the Juvenile Justice and Delinquency Prevention (JJDP) Act of 1974, as amended, funding is provided to States for the prevention, intervention, and treatment of juvenile delinquency. The Chief Executive Officer is responsible for designating the State agency with the responsibilities for carrying out the requirements of the JJDP Act. In addition, a Juvenile Justice Specialist is appointed and has responsibilities for developing a 3-year plan and administering the formula grants program, which provides grants to units of local government and private nonprofit organizations to prevent and control delinquency.

The JJDP Act provides for a State advisory group (SAG), which is appointed by the Chief Executive Officer, consisting of not less than 15 and not more than 33 members who have training, experience, or special knowledge concerning the prevention and treatment of juvenile delinquency or the administration of juvenile justice. The Chair of the SAG is designated by the Chief Executive Officer and is responsible for insuring the SAG's participation in the development and implementation of the State's JJDP 3-year plan. The following directory lists them by State.

State Advisory Groups

Alabama

Joseph Thomas, Chair
1566 Valley Trail
Warrior, AL 35180
205-647-4472
205-879-4495 (Fax)

Alaska

Vicky Blankenship, Chair
574 Grandview Court
Fairbanks, AK 99709
Juvenile Justice Committee

American Samoa

Rev. Fuaifale Faolui, Chair
Criminal Justice Planning Agency
Government of American Samoa
P.O. Box 3760
Pago Pago, AS 96799
011-684-633-5221
011-684-633-7552 (Fax)

Arizona

Dennis Pickering, Chair
1825 East Northern, Suite 100
Phoenix, AZ 85020
602-861-0625
602-331-0990 (Fax)

Arkansas

Luke Flesher, Chair
Arkansas State Advisory Group
1600 Kent Road
North Little Rock, AR 72116
501-682-8934
501-771-6718 (Fax)

California

Richard J. Neely, Chair
State Advisory Group on Juvenile
Justice and Delinquency
Prevention
525 B Street, Suite 1500
San Diego, CA 92101-4401
619-239-1901
619-696-0555 (Fax)

Colorado

Robert Pence, Chair
7903 West Friend Street
Littleton, CO 80125
303-971-0188
303-971-0188 (Fax)

Connecticut

Curtis H. Roggi, Esq., Chair
Juvenile Justice Advisory
Committee
Roggi and Morelli PC
2080 Silas Deane Highway
Rocky Hill, CT 06067
860-529-1340
860-520-0312 (Fax)

Delaware

Brian Shirey, Chair
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302-856-9100

District of Columbia

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Board of Parole
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Florida

Vacant

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Guam

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011-671-565-4896 (Fax)

Hawaii

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Hilo, HI 96720
808-961-0694
808-935-7268 (Fax)

Idaho

Stan Tate, Chair
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Moscow, ID 83843

Illinois

Dallas C. Ingemunson, Chair
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708-553-7958 (Fax)

Indiana

Gaye Shula, Chair
Indiana Juvenile State Advisory
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Indianapolis, IN 46208
317-283-5392
317-232-4979 (Fax)

Iowa

Allison Fleming, Chair
Juvenile Justice Advisory Council
25 52d Street
Des Moines, IA 50312
515-279-5781
515-274-2640 (Fax)

Kansas

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Leawood, KS 66206
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913-642-0520 (Fax)

Kentucky

Marc Murphy, Chair
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JJDP Advisory Board
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617-284-2853

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12457 Woodgate Drive
Plymouth, MI 48170
313-455-6903
313-455-6921 (Fax)

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612-464-3685
612-464-3687 (Fax)

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Jackson, MS 39206
601-922-1919
601-922-1979 (Fax)

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603-742-2517 (Fax)

New Jersey

Judge B. Thomas Leahy, Chair
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Basking Ridge, NJ 07920
908-356-0001
908-356-0001 (Fax)

New Mexico

Dora Harp, Chair
Juvenile Justice Advisory
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1672 Alta Vista Place
Las Cruces, NM 88001
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505-552-4941 (Fax)

New York

Ralph Fedullo, Chair
Juvenile Justice Advisory Group
c/o St. Anne Institute
160 North Main Avenue
Albany, NY 12206
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North Carolina

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919-834-0049 (Fax)

North Dakota

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Oregon

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503-986-1616 (Fax)

Palau

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Pennsylvania

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802-229-4205 (Fax)

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South Carolina

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State Planning Agencies and Juvenile Justice Specialists

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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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