

OJP Office of Justice Programs

Safe Kids - Safe Streets

Office of Juvenile Justice &
Delinquency Prevention

Bureau of Justice Assistance

Bureau of Justice Statistics

National Institute of Justice

Office for Victims of Crime

Violence Against Women
Grants Office

Executive Office for
Weed and Seed

Joint Solicitation



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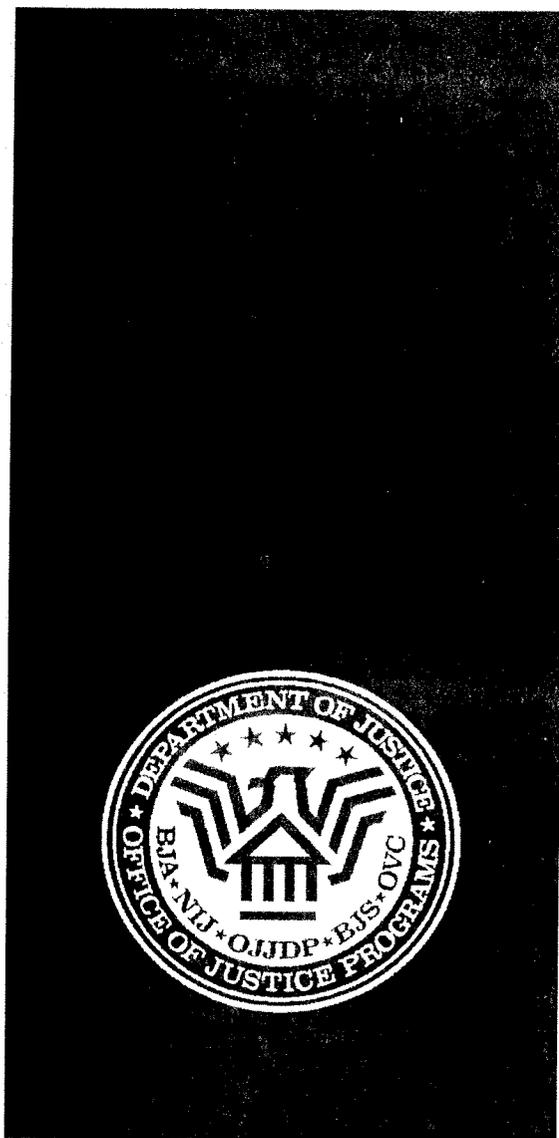
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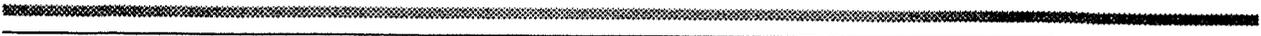
Executive Office for
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¹ Applicants please note that these solicitations also appear in the FY1996 Discretionary Competitive Program Announcements and Application Kit published by the Office of Juvenile Justice and Delinquency Prevention.



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Competitive Discretionary Program Announcements

Safe Kids—Safe Streets—Community Approaches To Reducing Abuse and Neglect and Preventing Delinquency



This solicitation is the result of a collaborative effort among the offices and bureaus of the Office of Justice Programs (OJP). Acknowledging the correlation between child abuse and neglect and later violent delinquency and the need to improve system response, OJP set out to create a single program aimed at helping to break the cycle of early childhood victimization and later juvenile or adult criminality. Each of the OJP bureaus has in the past separately initiated programs in the area of childhood victimization. We of OJP are therefore particularly proud to be part of this unique partnership which, for the first time, pools the resources, experience, and expertise of all the OJP agencies.

The funding partners are: the Office of Juvenile Justice and Delinquency Prevention, the Executive Office for Weed and Seed, and the Violence Against Women's Grants Office. Additional support is being provided by the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, and the Office for Victims of Crime. See Appendix A (p. 25) for a history of this partnership; Appendix C (p. 31) describes OJP's bureau contributions.

Safe Kids—Safe Streets—Community Approaches To Reducing Abuse and Neglect and Preventing Delinquency

Purpose: To reduce juvenile delinquency by helping break the cycle of child and adolescent abuse¹ and neglect, thereby substantially reducing child maltreatment and fatalities and improving outcomes for children and families.

Background: Reports of child victimization, abuse, and neglect in the United States are daunting. In 1992 there were an estimated 2.2 million violent victimizations (murder, rape, robbery, assault) of children under age 18 (Snyder and Sickmund, 1995). Abuse statistics are similarly shocking. In 1994 alone an estimated 3.1 million children were reported to public welfare agencies for abuse or neglect. More than 1 million of those children were substantiated as victims (Wiese and Daro, 1995). Most often the abuse is inflicted by someone the child knows (Greenfeld, 1996), and the abuser is frequently a family member (Snyder, 1994).

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). Research also suggests the efficacy of preventing abuse and neglect. David Olds of the University of Colorado Health Science Center has shown that prenatal and infancy home visits by nurses resulted in an 80-percent reduction in the rates of child maltreatment among at-risk families (Olds, 1986). This supports two assumptions that form the basis for many of the family strengthening strategies in use today. The first is that—given means to do so—most adults will provide safe homes for their children. The second is that one of the best ways of preventing delinquency and crime is to foster strong, nurturing families.

Understanding what can and should be done—and even enacting legislative mandates—does not mean that suitable and effective programs automatically become available. Indeed, although mental health services have been brought to victimized youth in juvenile court and programs such as parenting education and self-help groups for abusive parents have become more wide-spread, many single-strategy programs are of limited effect. To effect meaningful change, sustained multicomponent interventions are needed.

Complicating the problem of abuse by individuals is the manner in which children and adolescents are handled by the foster care and juvenile justice systems. In particular, minority

1. Abuse refers to physical, sexual, or emotional abuse of children and adolescents, including their witnessing of domestic violence or abuse.

children and adolescents are overrepresented in the foster care system in comparison with white child and adolescent victims of abuse and neglect (Folaron and Hess, 1993; Saunders et al., 1993; Walker et al., 1991; and Williams, 1989). Likewise, abused minority children disproportionately end up under the purview of the juvenile justice system, whereas troubled white children are provided support and services through the child welfare system. (One study, for example, found that older black children—12 and up—who were physically abused were less likely than other children their age to have their situations investigated by child protective services [Sedlack, 1993].)

Goals: To encourage localities to restructure and strengthen the criminal and juvenile justice systems to be more comprehensive and proactive in helping children and adolescents and their families who have been or are at risk of being abused and neglected; to implement or strengthen coordinated management of abuse and neglect cases by improving policy and practice of the criminal and juvenile justice systems and the child welfare, family services, and related systems; and to develop comprehensive communitywide, cross-agency strategies to reduce child and adolescent abuse and neglect and resulting child fatalities.

Program Strategy: This solicitation is directed toward urban, rural,² and tribal communities that are engaged in integrated, communitywide plans to ameliorate child abuse and resulting fatalities. The solicitation outlines a comprehensive program with four major components: (1) system reform and accountability, (2) continuum of services to protect children and support families, (3) data collection and evaluation, and (4) prevention education. Because of the challenging nature of the program, applications are invited only from jurisdictions that can demonstrate (1) a readiness and commitment to undertake system reform, (2) progress in assessing and addressing abuse and neglect, (3) the existing capacity to effect this major enterprise through a communitywide collaborative,³ and (4) the existence of policies and/or legislation that promote unified or family court approaches, encourage innovative reform of

2. Rural is defined here as a State that has a population density of 52 or fewer persons per square mile or a State in which the largest county has fewer than 150,000 people, based on the decennial census of 1990 through fiscal year 1997. Rural States are Alaska, Arizona, Arkansas, Colorado, Idaho, Iowa, Kansas, Maine, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Utah, Vermont, and Wyoming. The following are eligible: all States on behalf of rural jurisdictions, Indian tribal governments, local governments of rural States, and public and private entities of rural States. (The definition of a rural jurisdiction within a nonrural State is determined by the State.)

3. The communitywide collaborative must have representation, commitment, and participation from all relevant stakeholders. This includes policymakers, decisionmakers, and frontline workers from law enforcement, education, prosecution, the courts, child welfare, health, and family services. Other key stakeholders are families and able victims, resource experts, community and neighborhood organizations, and religious institutions.

the justice and child welfare systems, and strengthen coordination between and integration of the two systems. It is important to understand that applications should not describe a completely new effort proposed solely for this solicitation. Instead, proposed programs are to be firmly centered within larger community-based initiatives⁴ or plans underway in the applicant jurisdiction. Finally, applicants are encouraged to leverage this grant with other new or reallocated public/private funding.

Target Population: The target population for this program includes (1) children and adolescents at risk of abuse and neglect, (2) children and adolescents identified as abused and neglected, (3) abused and neglected children among the troubled and delinquent youth populations who had not previously been so identified, and (4) supportive family members for the first three groups.

Program Elements:

I. System Reform and Accountability. Jurisdictions are to engage in significant reforms to improve policies, practices, and services of the justice, child welfare, family services, and other related systems in preventing, identifying, and intervening in abuse and neglect cases; improving outcomes for abused children and adolescents and their families; and improving the accountability of offenders. Critical to that effort is comprehensive, ongoing, cross-discipline training. Practitioners especially, but also administrators and policymakers, need to be sensitized to the barriers to successful outcomes and knowledgeable about child development and abuse and neglect issues.

The objectives of this program element are:

- A. To increase the ability of the multiple systems⁵ that interact with children, adolescents, and their families to prevent, identify, investigate, manage, and treat abuse and neglect and to ensure the accountability of offenders.
- B. To improve the ability of courts to effectively and productively adjudicate all cases relating to the abuse and neglect of children and adolescents.

4. Programs are to be firmly centered within larger community-based initiatives. Examples would include the Weed and Seed program, the Comprehensive Communities Program, Family Support and Preservation Plans, State Court Improvement Program, SafeFutures, Project PACT (Pulling America's Communities Together), HopeVI, OJJDP's Title V and Challenge Grant demonstrations, New Futures, Cities In Schools, and the projects of the National Funding Collaborative on Violence Prevention.

5. At a minimum, these systems are the justice, child welfare, family services, medical, mental health, and education systems.

-
- C. To improve the communication and relationships among citizens, the police, child protective workers, other professionals who deal with abuse, and the courts through the development of innovative partnering approaches, especially community policing.
 - D. To ensure the existence and effectiveness of nonstigmatizing community mechanisms for identifying and delivering services to victims and to those at risk of either abusing or being abused.
 - E. To promptly identify and assess needs of victimized and at-risk children and adolescents and their families.
 - F. To strengthen the capabilities of professionals at all levels of the agencies responding to abuse and neglect and to ensure that the community's policymakers, agency and program administrators, and especially its practitioners are representative of the whole community and reflect the ethnic and cultural backgrounds of the children and families they serve.

II. Continuum of Services To Protect Children and Support Families. Jurisdictions are to develop and/or strengthen a continuum of family strengthening and support services targeting adjudicated and at-risk children and their families to ensure the safety of children and adolescents and to provide support to their families in meeting the developmental needs of their children.

The objectives of this program element are:

- A. To identify gaps in providing a full range of identification, assessment, mental health, victim assistance, and family support services.
- B. To develop, initiate, or expand needed services, especially prevention and early intervention programs such as home visitation.
- C. To improve the delivery and expansion of services to underserved and rural areas through the use of new technologies, trained practitioners, and satellite offices.
- D. To identify ways that current services and resources can be redeployed, public and private funding reallocated, and other resources leveraged to support at-risk children, adolescents, and families.
- E. To identify and make use of grassroots organizations, religious institutions, and informal networks such as extended families in the assessment and delivery of family services.

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- F. To amend policies and practices that prevent the community from implementing the prior objectives.

III. Data Collection and Evaluation. Jurisdictions are to ensure that quality data are collected and used, that a local evaluation is conducted, and that collaboration with both other sites and a national evaluation grantee is undertaken. Jurisdictions are also to ensure the compatibility of the data collected on the various components of the justice, child welfare, and other involved systems as well as on the family. The exchange of such data among system components should be fostered to achieve expedient yet complete adjudication of abuse and neglect cases. Collaboration for the evaluation should include adjustments in data collection and evaluation protocols that will permit measurement of processes and outcomes across sites, where this is possible.

The objectives of this program element are:

- A. To improve information sharing across systems and agencies relative to the management of abuse and neglect cases and to put into effect uniform data collection standards and shared measures for reporting and intake.
- B. To conduct a local evaluation of practices and outcomes to determine whether a communitywide, interdisciplinary response is making a positive difference for victims and their families and to evaluate the effectiveness of providing prevention and early intervention services tailored to families' particular needs.
- C. To implement assessment protocols for determining system strengths and weaknesses.
- D. To participate fully in a national evaluation of this program.

IV. Prevention Education and Public Information. Jurisdictions are to conduct broad-based, multimedia information and prevention education campaigns to increase general awareness of how to report abuse and prevent harm to children, acquaint community residents with services and initiatives resulting from the program, and educate current and prospective parenting adults about behaviors that can indicate or trigger abuse, and about nonviolent, nurturing ways to manage child behavior.

The objectives of this program element are:

- A. To educate community residents, particularly current and prospective parenting adults; enlarge their understanding of abuse and neglect; equip them with strategies and tools to positively manage their responses to internal and external triggers of abuse; and assist them in reporting suspected abuse.

-
- B. To decrease community tolerance of abuse and neglect and increase the capacity of the community to support child and adolescent victims and their families.

Products: During the planning phase, applicants are to develop the following products:

- Training and technical assistance plan. Based on assessment of training needs among personnel in the justice, child protection, education, and youth services systems, funded sites are to develop multiagency training plans that (1) identify the people and professions to be trained; (2) outline a curriculum covering cultural considerations in policy and practice, recognition of abuse and neglect, the importance of comprehensive diagnosis and treatment of children and adolescents involved with the justice system, cross-discipline instruction, and sensitive interaction with child and adolescent victims and their families; and (3) list follow-up resources and technical support.
- Management information system (MIS) plan. In conjunction with the national evaluator, selected sites are to (1) develop and agree upon specifications for a single, cross-agency MIS and variables to measure across selected sites and (2) develop an MIS implementation plan.
- Interim evaluation report. Selected sites are to prepare interim evaluation reports every 6 months describing progress on process, outcome, and impact measures.

Eligibility Requirements: This solicitation is open to all communities.⁶ Local units of government, States agencies, and nonprofit agencies may apply on behalf of a community that does not qualify as a unit of local government or combination thereof, to serve as the applicant agency of a community collaboration. Preference will be give to communities with an operating children's advocacy center or other child-centered multidisciplinary program designed to improve the community's response to abuse or neglect, to communities with a Court Appointed Special Advocates (CASA) program or similar child advocacy program, and to communities that contain a Weed and Seed neighborhood.

At least one award each will be made to a qualifying community with a Weed and Seed site and to a qualifying rural or tribal community.

Selection Criteria: All applicants will be evaluated and rated based on the extent to which the applications meet the criteria outlined below.

6. A community is any set of contiguous neighborhoods within an urban area or one or more adjacent counties, towns, townships, parishes, villages, or other general purpose subdivision of a State that share a preponderance of interests, needs, services, and governance structures as related to the investigation, prosecution, and treatment of child abuse and neglect. See footnote #2 for definitions of eligible rural and tribal applicants.

Problem(s) To Be Addressed (15 points)

Outline the scope and nature of child and adolescent abuse and neglect in the applicant jurisdiction and describe the applicant community and the target population. Provide justification for the proposed effort based on a community assessment process. Delineate and prioritize the major issues related to ameliorating abuse and neglect within the applicant community. These might include, for example, ethnic and cultural considerations, identification and assessment, availability of services, and case management processes. Discuss the problems of communitywide/cross-agency collaboration and demonstrate that the applicant has both engaged the appropriate stakeholders in its planning process and possesses a clear understanding of the processes, supports, and impediments to community collaboration.

Goals and Objectives (15 points)

Outline the applicant's vision for ameliorating abuse and neglect, describing how the involved systems and agencies will operate upon conclusion of the planning and implementation phases. Provide goals and specific measurable objectives for the planning process. At a minimum, these objectives will address the priority issues delineated in the *Problem(s) To Be Addressed* section, the solicitation's goals, program elements and objectives, and the planning process as it supports achievement of the solicitation's goals and objectives.

Project Design (15 points)

1. Describe the intended planning process and detail the major activities that will be undertaken in the development of the implementation plan. Include a timeline of major planning period events in Appendix F (discussed below). Describe how proposed plans will build on and/or fit within current and past communitywide planning processes to achieve the solicitation's objectives. (Sites containing Weed and Seed neighborhoods, for example, are to show how their plans make use of Weed and Seed strategies to address child/adolescent abuse and neglect communitywide.⁷) For all applicants this can be shown in a number of ways:
 - Expanding existing interagency agreements to include the additional stakeholders needed to address child and adolescent abuse and neglect.
 - Developing community policing efforts aimed at preventing, identifying, and intervening in child and adolescent abuse and neglect cases.
 - Creating or expanding targeted programs to protect children and adolescents.

7. Although Weed and Seed efforts are directed at discrete neighborhoods within a larger community, efforts to reduce abuse and neglect need the cooperation of systems and personnel located outside those neighborhoods.

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2. Describe in detail (activities, responsibilities, due dates) plans to develop the required products described above or current progress in developing the products.
 3. Indicate how proposed plans address or will address the multiethnic, multicultural, and gender-specific considerations for meeting the needs of abused and at-risk children, adolescents, and their families. The description should convey a clear understanding of those considerations and issues.
 4. With respect to data collection and evaluation, selected sites will work with the national evaluator to identify specific variables or indicators by which to measure process, performance, and outcomes of the whole initiative and of selected component programs. The set of measures will include some variables that can be compared across sites. In this section each site is to describe how it proposes to work with the national evaluator to develop the variables.

Applicants are also to describe how they intend to evaluate their efforts. The purpose of the local evaluation is to document through qualitative and quantitative measures the implementation processes and key factors affecting success and the efficacy of specific program components and to determine the impact of the program.

Management and Organizational Capability (30 points)

Applicants should use this section to describe a sound governance structure capable of carrying out the proposed initiative and to demonstrate the following:

1. *Readiness to reform.* Discuss the community's history of collaboration and planning as it addressed or addresses abuse and neglect. Include a description of the participants, major milestones, and the process of assessment. Clarify what has been done, what is in process, and what remains to be done. Note any training or technical assistance that has been received.
2. *Capacity to sustain and build a community collaborative.*⁸ Demonstrate the existence, viability, and accomplishments to date of multidisciplinary arrangements whereby

8. Applicants should note that collaboratives differ from coordinated or cooperating groups in that members of a collaborative share responsibility, accountability, and resources. In this instance a communitywide collaborative will extend and institutionalize multidisciplinary practices across all the systems that prevent, intervene in, or treat child abuse and neglect (or have the potential to do so). Core systems in such a collaborative are justice, child welfare, and family services. Additionally, communitywide responses to child abuse and neglect should also involve school systems, religious and private charitable organizations, community-based agencies, abuse victims and their families, the media, and informal family support mechanisms.

various agencies in a jurisdiction are working cooperatively or collaboratively to improve the community's response to child abuse and neglect. Descriptions should answer the following questions:

- How does the group make decisions?
- How often has it met?
- How are responsibilities divided among members?
- How does the group carry out its activities?
- What resources does the group manage?
- What are the sources of those resources?
- To what individual in what agency is the group responsible?
- What authority does the group have?

Applicants also must document that the collaborative or cooperative groups represent all the relevant stakeholders⁹ needed to reduce the incidence of abuse and neglect in the community. The documentation should provide answers to the following questions:

- Who are members of the group?
- How are members selected?
- What constituency does each member represent?
- What are the roles and responsibilities of each group member?

Finally, jurisdictions are to identify and include, in the planning and implementation phases, atypical resources and stakeholders including grassroots organizations, local bar associations, religious institutions, and local chapters of national organizations such as, but not limited to, the National Parent-Teachers Association, the Congress of National Black Churches, the Junior League, the Boys & Girls Clubs, the National Urban League, 4-H Clubs, and the National Coalition of Hispanic Health and Human Services.

3. *Evidence of favorable policies and/or legislation.* Characterize the political and administrative environments and give evidence of political or administrative support for the proposed community-based planning effort to combat child abuse and neglect. Give examples of actual favorable policies or legislation in Appendix D (discussed below).
4. *Evidence of economic well-being.* Establish either the existence of a sound local economy or the current infusion of substantial public and/or private resources to

9. Stakeholders for this purpose are those parties who (a) are decisionmakers or influence makers, (b) are likely to be affected by decisions (especially able victims and their families and frontline workers), or (c) have specific, needed expertise.

improve the community's economy. The latter could be shown through designation as an Enterprise Community/Empowerment Zone.

In demonstrating that the collaborative and governance structures form an infrastructure capable of carrying out the project outlined in this solicitation, applicants are also to:

- Identify the roles and responsibilities of each involved agency, committee, board, or other entity and explain its relationship to the overall effort.
- Name and describe the capabilities and experience of all staff and consultants who will play lead roles in managing the planning effort. Include résumés of key personnel in Appendix E (discussed below).
- Indicate the percentage of time for each named staff or consultant.
- Describe the management practices that will be used to evaluate program progress and to ensure corrective action.

Budget (10 points)

Applicants are to provide a budget that is reasonable, allowable, and cost effective in relation to the activities proposed; identify all costs and justify them in the budget narrative; and explain specifically how costs are determined. Applicants are also to identify all assistance that will be used to leverage this award, indicating the source and amount of funds.

Applicants from rural or tribal communities (refer to footnote #2) are to budget for up to \$425,000 for planning and implementation activities for the initial 18-month budget period, while urban applicants are to budget for up to \$925,000. For each budget, up to \$75,000 is to be designated for planning. However, with appropriate justification and demonstrated need, additional funds may be requested for planning activities. Once the planning phase has been completed and the plan approved, the balance of implementation funds for the initial budget period will be released.

Applicants are to provide specific and detailed planning budget figures and supporting budget narrative. The remainder of the award funds (\$350,000 for rural/tribal communities and \$850,000 for urban communities) should be designated for implementation activities. OJP recognizes that the implementation portion of the budget will need to be preliminary because the selected jurisdictions will develop detailed implementation budgets during the planning phase. The budget narrative must clearly and comprehensively describe the activities and strategies proposed and the persons or agencies responsible for its implementation.

For both the planning and implementation portions of the budget, applicants are to (1) include component project budgets from each of the participating agencies or groups, (2) show how award funds will be distributed to members of the applicant group in concert with the overall proposal, and (3) account for travel funds to enable two to three people to attend up to three meetings with the funding agencies and other funded sites during the planning period and up to two each year during the implementation phase. Given the complexity of the solicited program, it is suggested that applicants assign one experienced, high-level person full time to manage the planning collaborative. Applicants should also allocate funds to enable one or more persons within the core systems to devote substantial time to coordinating efforts within their respective agencies. Similar initiatives have found the use of an outside facilitator essential to keeping the planning process moving.

As further evidence of commitment and capability, applicants are encouraged to leverage this award with other funds. Preference will be given to communities that leverage this award and that describe how they would similarly leverage the implementation award. The applicant must show the amount and source of any leveraged money commitments and note whether the funds are reallocated or new. Reallocated funds can be local, State, or other Federal funds directed to this initiative. Sources of leveraged funds might include local taxes, public funds, alcohol and other drug prevention monies, Family Preservation and Support grants, family violence grants, youth development funds, and others.

Appendixes (15 points)

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

Appendix A. Resource directory. This is a listing of local services to children and adolescents and their families in the area of child abuse and neglect. At a minimum, it has 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 the investigation and prosecution of child abuse and neglect cases, case management and tracking, and provision of services and treatment to child and adolescent victims and their families. At a minimum, such agreements will be among the police department, the child welfare system, the prosecutor's office, and the appropriate medical and mental health agencies. Agreements and protocols that include the criminal and juvenile courts, the offices of the

corporation counsel,¹⁰ the prosecutor, the school system, and victim's 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 the 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, 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).

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 or State legislation that aids interagency, communitywide collaboration in regard to abuse and neglect or related 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 résumés. Include résumés or brief descriptions of the relevant experience of key staff named in the "Management and Organizational Capability" section.

Appendix F. Timeline of major project activities.

Format: The narrative must not exceed 25 pages in length (excluding forms, assurances, and appendixes) and must be submitted on 8 1/2- by 11-inch paper, double-spaced on one side of the paper in a standard 10- or 12-point font. Appendixes B-F in total cannot exceed 20 pages.

Award Period: This project will be funded initially for an 18-month budget period for Phase I of a 66-month project period. Funding in the second and subsequent budget periods will depend on grantee performance, availability of funds, and other criteria established at the time of the award.

Award Amount: Up to \$2.7 million is available for three to six cooperative agreements. The initial awards will range from approximately \$425,000 (rural/tribal sites) to \$925,000 (urban sites) each for an initial 18-month budget period of a 66-month project period. Once the

¹⁰This office is referred to under various names. In some jurisdictions it is known as the civil prosecutor's office. What is meant is the office that typically handles family court and domestic relations matters.

planning phase has been completed and the plan approved, the balance of implementation funds for the initial budget period will be released.

The amount of implementation funds to be awarded under future budget periods is contingent upon the quality and viability of implementation plans, compliance with the terms and conditions of the grant award, the amount of leveraged funds available for implementation, and the availability of funds for award under this program.

Delivery Instructions: All application packages must be mailed or delivered to the Office of Juvenile Justice and Delinquency Prevention, c/o Juvenile Justice Resource Center, 1600 Research Boulevard, Mail Stop 2K, Rockville, MD 20850; 301-251-5535. **Note:** *In the lower left-hand corner of the envelope, you must clearly write "Safe Kids—Safe Streets—Community Approaches To Reducing Abuse and Neglect and Preventing Delinquency."*

Due Date: Applicants are responsible for ensuring that the original and five copies of the application package are received by 5 p.m. EDT on September 9, 1996.

Contact: For further information call Robin V. Delany-Shabazz, 202-307-9963, or send an e-mail inquiry to delany@ojp.usdoj.gov.

Appendix A—Genesis of the Solicitation

Development of this solicitation was begun during the summer of 1995. Acknowledging the correlation between child abuse and neglect and later violent delinquency and the need to redress systemic deficiencies, several offices and bureaus of the OJP set out to create a single program aimed at helping to break the cycle between early childhood victimization and later juvenile or adult criminality. The agencies involved are the Office of Juvenile Justice and Delinquency Prevention, the Executive Office for Weed and Seed, the Violence Against Women's Grants Office, the Office for Victims of Crime, the Bureau of Justice Assistance, the Bureau of Justice Statistics, and the National Institute of Justice.

The first step was to convene a focus group from a range of disciplines including policing, prosecution, children's advocacy, medicine, and psychology to marshal the latest thinking drawn from research, practice, and policy to help outline a solicitation for an effective response to child victimization. OJJDP staff augmented the information obtained through the focus group by conducting additional interviews and administering questionnaires to more than 50 other professionals, parents, and victims.

The respondents concurred in recommending a comprehensive, community-based, and interdisciplinary approach to diminishing the incidence of child and adolescent abuse. Solutions, they said, must be developed from the ground up, albeit with Federal and State assistance, with multi/interdisciplinary teaming making a critical difference in effectiveness and impact. Partnerships among law enforcement, prosecution, the courts, victim advocates and service providers, schools, corrections, hospitals, and especially families were cited as essential to reducing and preventing child and adolescent abuse.

The group identified four core components to any multi/interdisciplinary child and adolescent abuse program, which led to the development of the four major program elements: (1) directing resources to reform and improve community systems to meet the needs of children and families; (2) building a web of strong and responsive community supports; (3) developing seamless systems of data collection, analysis, and evaluation to improve system operation and make systems and programs accountable for results; and (4) advancing public education as an important aspect of prevention. Participants told OJP the following:

It is broken: fix it. Practitioners said, "The systems are broken: they don't need tinkering, they need reform." They urged streamlining and expediting the processing of cases and improving the exchange of information among the dependency, juvenile, and criminal justice systems. Better linkages between the criminal and juvenile justice system and the child welfare system are important to ensure that efforts are not duplicative and that they do not undermine proper disposition of a case or further victimize the abused or neglected child. Similarly, improved coordination and communication among judicial, correctional, child protection,

victim assistance, health, and mental health agencies are key to ensuring that needed health and mental health services are available to victims. Equally critical is ensuring that family members and offenders participate in prescribed, court-ordered rehabilitation and treatment services.

Reform also means orienting children and families to the justice system and keeping them informed of case events, establishing specialized prosecutors and prosecution units dedicated to child abuse and child fatality review teams, promoting police training in community policing techniques relating to child abuse, and initiating retraining and cross-discipline training for all frontline workers. It is also important that all training acknowledge the need for and develop culturally sensitive practices.

Importantly, system reform efforts need to be predicated on official recognition by policymakers and decisionmakers that child abuse and partner abuse can occur simultaneously within a family and that both are often anchored in a complex constellation of problems—alcohol and substance abuse, teen parenting, joblessness and lack of job skills, homelessness, and other problems. To be effective the response of community systems must be comprehensive. This is another element driving the need to have the multiple service providers collaborate and the need to center the system response on families. Success is also predicated on the meaningful involvement of parenting adults and able victims in the planning, implementation, and evaluation of programs.

Families first. OJP was told that, although system reform was critical, it was only half the solution. Reform, the group insisted, has to be paired with availability of quality services for children, adolescents, and families. They pointed out that, above all, emphasis needs to be put on preventive, family-focused, community-based initiatives. They stressed that succeeding with at-risk and abused children and adolescents requires early identification and comprehensive, individual needs assessments. It also requires quick availability of therapeutic, educational, and family support services. Not only does intervention need to occur early, it needs to continue long after the child's and/or family's formal relationship typically ends with the juvenile, child welfare, or family services agencies. Interventions also need to be culturally relevant, sensitive, and provided in nonstigmatizing ways.

Success also requires better outreach and service provision to rural communities; programs focusing on assisting young men—who may themselves have been victims of child and adolescent abuse—to become better fathers and role models; reemphasis on abused adolescents; and victim assistance services for children and families that inform, prepare, and assist children and their families to participate in the case proceedings. Practitioners underscored the value of the often-overlooked informal networks and support systems that exist in communities (extended families, storefront churches, and grassroots and ad hoc programs). They said these were effective and trusted mechanisms to assist families and abuse

victims and advised OJP to insist that formal community institutions learn more about and partner with these nonadversarial supports to extend and supplement their outreach.

Plug the information gap. The group told OJP that communities need to do a better job of gathering and analyzing information on abuse. Simply knowing how many child and adolescent abuse victims there are and what happens to them as they are handed from one system to the next is beyond the capability of many jurisdictions. Thus, a critical strategy is to improve, mechanize, and standardize data collection. This is pivotal for the courts, child welfare systems, probation and intake systems, and abuse reporting agencies (schools, for example) to share information across systems. Such management information systems need to be designed so that jurisdictions, too, can share case information (to improve tracking people who move) and share outcomes and strategies.

The respondents also said, “We need to know what works” and so urged an emphasis on program evaluation. Program evaluation would not be complete, they noted, unless it embraced the consumers’ perspective—that is, unless the viewpoints of victims and their families are taken into account.

Make media a prevention partner. Respondents stressed the importance of public education. Raising community awareness and educating current and prospective parenting adults through mass media are strategies that unify and reinforce the other program elements. An important component of prevention education, they noted, is to institute child rearing education in schools starting at the elementary level. Communities should be innovative in getting information out. They should disseminate materials through police agencies, community organizations, hospital emergency rooms, doctors’ offices, social service offices, clinics, shopping malls, and grocery stores.

Appendix B—Training and Technical Assistance to Sites

During the planning period, current Office of Justice Programs (OJP) and Department of Health and Human Services (HHS) providers of training and technical assistance will be made available to assist the selected sites and to provide them with resources to develop their implementation plan. Among these are the National Council of Juvenile and Family Court Judges (system reform and practitioner training); National CASA Association (victim advocacy, system improvement); the National Network of Children's Advocacy Centers and the Regional Children's Advocacy Centers (training in multidisciplinary approaches, team-building, and interagency collaboration); the Strengthening America's Families project and the training and technical assistance resource centers of the Children's Bureau at HHS (family strengthening services assessment and implementation); the National Center for the Prosecution of Child Abuse (practitioner training); Parents Anonymous (parent leadership and involvement); and the OJJDP National Training and Technical Assistance Center (cultural awareness/competence training).

Appendix C—Office of Justice Programs Bureau Contributions

OJJDP, the Office of Justice Programs' Executive Office for Weed and Seed, and the Violence Against Women Grants Office have provided funding for the planning and implementation phases of this program. In addition, the following OJP bureaus will assist selected sites in the design, implementation, and evaluation of their efforts:

- **The Office for Victims of Crime will provide assistance to develop and strengthen children's advocacy center programs and, in particular, medical services provided to child and adolescent abuse and neglect victims.**
- **The Bureau of Justice Statistics will provide technical assistance and guidance in the areas of data collection and evaluation through the States' Statistical Analysis Centers.**
- **The Bureau of Justice Assistance is expanding its current program with the National Center for State Courts, Models of Effective Court Based Services Delivery to Children and Their Families, to include up to three of the selected sites through this solicitation. The purpose of the program is to improve cross-system collaboration among State trial, juvenile, and family courts and mental health, public health, and social welfare systems.**
- **The National Institute of Justice may undertake an intensive evaluation of one of the selected sites. The site selected for this evaluation is to work with the National Institute of Justice in the design of its program and the implementation of the project.**

Appendix D—References

- Greenfeld, L. A. *Child Victimiziers: Violent Offenders and Their Victims*. Washington, DC: Bureau of Justice Statistics and Office of Juvenile Justice and Delinquency Prevention, 1996. [NCJ-153258]
- Folaron, Gail, and P.M. Hess. *Placement Considerations for Children of Mixed African and Caucasian Parentage*. Washington, DC: Child Welfare League of America, 1993.
- Olds, David, C.R. Henderson, R. Tatelbaum and R. Chamberlain. "Improving the Delivery of Prenatal Care and Outcomes of Pregnancy: A Randomized Trial of Nurse Home Visitation." *77 Pediatrics* (1986): 16-28.
- Saunders, Edward J., K. Nelson, and M. J. Landsman. *Racial Inequality and Child Neglect: Findings in a Metropolitan Area*. Washington, DC: Child Welfare League of America, 1993.
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- Snyder, Howard. *The Criminal Victimization of Young Children*. Pittsburgh, PA: National Center for Juvenile Justice, 1994.
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- Thornberry, T. P.. *Violent Families and Youth Violence*. Fact Sheet #21. Washington, DC: Office of Juvenile Justice and Delinquency Prevention, 1994.
- Walker, Clarice, Patricia Zangillo, and Jacqueline Marie Smith. *Parental Drug Abuse and African American Children in Foster Care: Issues and Study Findings*. Washington, DC: The National Black Child Development Institute, 1991.
- Widom, Cathy S. *Cycle of Violence*. Washington, DC: National Institute of Justice, 1992.
- Wiese, David, and Deborah Daro. *Current Trends in Child Abuse Reporting and Fatalities: The Results of the 1994 Annual Fifty State Survey*. Chicago, IL: National Committee to Prevent Child Abuse, 1995.

Williams, Carol. *Decision Making for Black Children in Placement in North Carolina*. Chapel Hill, NC: National Child Welfare Leadership Center, School of Social Work, University of North Carolina at Chapel Hill, 1989. [OJJDP #85-JS-CX-K027]

Wright, Kevin N., and Karen E. Wright. *Family Life, Delinquency, and Crime: A Policymaker's Guide*. Washington, DC: Office of Juvenile Justice and Delinquency Prevention, 1994.

Evaluation of the Safe Kids—Safe Streets Program

Purpose: The purpose of this evaluation is to document and explicate the process of community mobilization, planning, and collaboration that has taken place before and during the Safe Kids—Safe Streets awards; to inform program staff of performance levels on an ongoing basis; and to determine the effectiveness of the implemented programs in achieving the goals of the Safe Kids—Safe Streets program.

Background: This program will evaluate the Safe Kids—Safe Streets program described in this *Application Kit*. The Safe Kids—Safe Streets program has three goals: (1) to encourage localities to restructure and strengthen the criminal and juvenile justice systems to be more comprehensive and proactive in helping children and adolescents and their families who have been or are at risk of abuse and neglect; (2) to implement or strengthen coordinated management of abuse and neglect cases by improving policy and practice of the criminal and juvenile justice systems and the child welfare, family services, and related systems; and (3) to develop comprehensive communitywide, cross-agency strategies to reduce child and adolescent abuse, neglect, and resulting child fatalities.

The program strategy through which grantees under the Safe Kids—Safe Streets program are to achieve these goals consists of four major components. The first component is reform of the justice, child welfare, family services, and related systems' handling of child maltreatment and establishment of a system of accountability. The second is to implement a continuum of services to protect children and support families. Third, sites will collect data, provide for sharing of data to support proper adjudication of abuse and neglect cases, and evaluate their progress. Finally, sites will conduct prevention education and public information campaigns.

The evaluation of the Safe Kids—Safe Streets program will be conducted in two phases. The first phase will encompass the design and implementation of a process and formative evaluation and the design of an outcome evaluation. The second phase, implementation of the impact evaluation, may be funded through supplemental awards upon successful completion of the first phase. Both the process and the impact evaluation designs will be developed in collaboration with the local evaluation team and local project staff. The process evaluation should start early, after approval of the process design, and continue as long as there are program activities to evaluate.

Applicants for the Evaluation of the Safe Kids—Safe Streets program should review the Safe Kids—Safe Streets program announcement, paying special attention to the evaluation requirements. The evaluator chosen will be expected to provide leadership regarding the evaluation efforts taking place at the funded sites and bring together data and evaluation results into a national evaluation of the basic concepts of the Safe Kids—Safe Streets program.

Goals: The goals for Phase I of the Evaluation of the Safe Kids—Safe Streets program are:

- To understand the process of effective implementation of the Safe Kids—Safe Streets program in order to strengthen and refine the program for future replication.
- To identify factors that contribute to or impede the successful implementation of the program. It is essential to know not only whether the program is successful or unsuccessful and the degree to which it is successful or not, but also why or how it was successful or unsuccessful.
- To help develop or improve the capability and utility of local data systems that track at-risk youth, including victims of child neglect or abuse.
- To build an understanding of the general effectiveness of the Safe Kids—Safe Streets program and of selected program components and to determine its impact in the participating communities.
- To help develop the capacity of Safe Kids—Safe Streets sites to evaluate what works in their communities.

Objectives: The objectives of this evaluation are:

1. To develop a detailed design, including data collection instruments, for a process evaluation of the Safe Kids—Safe Streets program for implementation in collaboration with all sites.
2. To develop templates for capturing the data necessary for the national process evaluation and to make those templates available for implementation at the sites.
3. To provide evaluation training and technical assistance for—and to collaborate with—grantees at each of the sites to implement a process evaluation of the development and implementation of each Safe Kids—Safe Streets program.
4. To compile and analyze results and provide routine feedback to the sites on the planning, program development, and implementation process. The methods of the formative evaluation should be used to provide feedback to project staff on the adequacy of data sharing among the components of the system in the effort to prevent and prosecute child abuse and neglect.
5. To develop a research design to determine outcomes and the impact of the overall strategy and individual program interventions on delinquency, violence, and related

behaviors and risk factors. The design must meet scientifically rigorous standards for evaluation and acknowledge the differences in local circumstances and strategies.

Program Strategy: Applicants should become familiar with the OJP Safe Kids—Safe Streets program and associated literature. Applicants' program strategies should demonstrate an understanding of the collaborative efforts that will be necessary to bring together project implementation staff, project evaluation staff, and the evaluation grantee.

The applicants' strategies must provide a process evaluation that includes all participating sites. Project designs must also include provision for simultaneously assessing appropriate strategies for a future impact evaluation.

Applicants should provide a discussion of research questions for the process evaluation, which will serve as a basis for the data collection plans and instruments. Depending on the funded sites' experiences, the process evaluation design may focus on the following levels of activities:

- Community-level efforts in planning, policymaking, resource allocation, and guidance.
- Program-level responses, experiences, and achievements in program implementation.

Because it is important to know the mechanism through which the changes achieved by the program were accomplished, it is expected that a detailed logic model will be developed at each site in collaboration with program site and evaluation staff and also in a more general form at the national level.

Applicants should include, but are not limited to, the following issues in the evaluation:

- What factors contribute to (or inhibit) changes in the communities in the planning for and delivery of the Safe Kids—Safe Streets program?
- What lessons can be drawn from local communities for Federal and/or State policies, program planning efforts, and local service delivery of intensive services for youth?
- What factors contribute to effective implementation and what changes occur as a result of implementation?
- What planning and implementation strategies (for example, coordination, consultation, use of OJP-provided technical assistance) are used at local levels, and what is the effect of their use?

Applicants must propose a process evaluation that includes the stages of the implementation process, beginning with the selection of targeted sites in the community. Applicants must discuss how they will join with the sites in a collaborative effort and describe the planning and the implementation process to be used at local levels. In addition, applicants should explain how these plans will be implemented and how technical assistance will contribute to the implementation process. Applicants should also discuss the applicability of qualitative methods in this evaluation.

Applicants must include a discussion of their process to develop a preliminary outcome evaluation research design and a description of their methods, including qualitative methods such as ethnography, to conduct an impact evaluation. This description must include an assessment of program goals, measurable impact objectives, data elements and sources for measuring impact, the need for sampling designs and strategies, and a clear statement of the ability of the demonstration sites to support a rigorous impact evaluation. The use of the logic model to relate program activities to program outcomes should be part of this process. In addition to developing one overarching logic model, the grantee should assist each site in developing its own logic model to guide program development and measurement.

Products:

1. Final design of the process evaluation. This design will incorporate modifications recommended by OJP after the award process.
2. Draft comprehensive final report. This report will contain two parts: (1) recommendations regarding the feasibility of conducting an impact evaluation and, if appropriate, a research design, and (2) a detailed account of the process evaluation including overall findings and an analysis of the factors that contributed to or impeded successful implementation.
3. Final report on the process evaluation. This final report will incorporate modifications recommended by OJP and the project advisors, as appropriate.

Eligibility Requirements: OJP invites applications from public and private agencies, organizations, institutions, or individuals. Applicants must demonstrate that they have experience in the design and implementation of this type program. 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 primary applicant and any others co-applicants.

Selection Criteria: Applications will be evaluated and rated by a peer review panel according to the selection criteria outlined below.

Problem(s) To Be Addressed (15 points)

Applicants must include a clear and concise statement of the problem and demonstrate an understanding of the Safe Kids—Safe Streets program. Applicants also should discuss how to apply state-of-the-art evaluation methods, including qualitative methods, to achieve OJP evaluation objectives and overcome potential problems associated with evaluating these types of programs.

Goals and Objectives (10 points)

Applicants must define goals and objectives for this evaluation program that are clearly defined, measurable, and attainable.

Project Design (35 points)

Applicants must present a clear research design for the conduct of a process evaluation and the formulation of a strategy to carry out a multisite impact evaluation. The design must be sound, feasible, and capable of achieving the objectives set forth in this solicitation.

Management and Organizational Capability (35 points)

Applicants' management structure and staffing must be adequate and appropriate for the successful implementation of the project. Applicants must present a workplan that identifies responsible individuals, their time commitment, major tasks, and milestones.

Applicants must document evidence of the organization's ability to conduct the project successfully. Organizational experience with multisite research and evaluation of youth in the juvenile justice and child welfare or criminal justice system is recommended. Key staff should have significant experience with multisite evaluation/research of juvenile or related criminal justice programs. Applicants must demonstrate the ability to conduct evaluations of comprehensive, community-based multistrategy initiatives. They must also demonstrate the ability to work effectively with practitioners in resolving design, definition, and data collection and analysis issues and other requirements of the project. Staff résumés should be included.

Budget (5 points)

Applicants must provide a proposed budget that is complete, detailed, reasonable, allowable, and cost effective in relation to the activities to be undertaken.

Award Period: This project will be funded initially for an 18-month budget period for Phase I of a 66-month project period. Funding in the second and subsequent budget periods will

depend on grantee performance, availability of funds, and other criteria established at the time of award.

Award Amount: Up to \$300,000 is available for the initial 18-month budget period.

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, 1600 Research Boulevard, Mail Stop 2K, Rockville, MD 20850; 301-251-5535. **Note:** *In the lower left-hand corner of the envelope, you must clearly write "Evaluation of the Safe Kids—Safe Streets Program."*

Due Date: Applicants are responsible for ensuring that the original and five copies of the application package are received by 5 p.m. EDT on September 9, 1996.

Contact: For further information call Eric Peterson, Program Manager, Research and Program Development Division, 202-616-3644, or send an e-mail inquiry to eric@ojp.usdoj.gov.

Application and Administrative Requirements

Application and Administrative Requirements

General Application Requirements

All applicants must submit a Standard Form 424, Project Abstract, Budget Detail Worksheet, Budget Narrative, Assurances and Certifications, timeline of major milestones and publications, and résumés of all personnel. Application forms and supplementary information are provided in Appendix A of this Office of Justice Programs (OJP) *Joint Solicitation*. Applicants are required to submit the original signed application and five copies to the address specified below.

Applicants also are encouraged to submit a Letter of Intent (see Appendix A). Potential applicants should also review the Office of Juvenile Justice and Delinquency Prevention (OJJDP) Peer Review Guideline in Appendix B.

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: (1) information on all sources of these funds (including funding from other Federal agencies); (2) the anticipated total amount to be received; and (3) a brief description of any other program(s) receiving such funds.

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

Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention
c/o Juvenile Justice Resource Center
1600 Research Boulevard, Mail Stop 2K
Rockville, MD 20850
Telephone: 301-251-5535

Note: In the lower left-hand corner of the envelope, you must clearly write the name of the program to which you are applying.

Applicants are responsible for ensuring that the original and five copies of the application package are received by 5 p.m. EDT on the due date. Due dates are specified in each program announcement in this *Joint Solicitation*.

OJP/OJJDP will notify applicants in writing that their applications have been received. Subsequently, applicants will be notified by letter as to whether or not their project will be recommended for funding. Applicants should provide both a return address and a fax number, if possible.

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. The State Single Points of Contact are listed in Appendix C of this *Joint Solicitation*. 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 send the original application to OJJDP.

Application Review Process

Selection Criteria

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.

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 the Office of Justice Programs. This guideline 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, be denied the benefits of, or be 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, Office of Justice Programs.

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

Applicants should read and sign the certifications form included in this *Joint Solicitation*. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-Wide Debarment and Suspension (Nonprocurement)" and "Government-Wide Requirements for Drug-Free Workplace (Grants)." The certifications will be treated as material representations of the facts upon which reliance will be placed by the U.S. Department of Justice in making awards.

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

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

Suspension or Termination of Funding

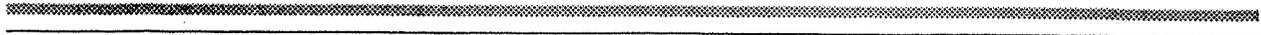
OJP/OJJDP may suspend, in whole or in part, terminate funding for, or impose another sanction on a recipient for the following reasons:

- ◆ Failure to comply substantially with the requirements or statutory objectives of the JJDP Act, program guidelines issued thereunder, or other provisions of Federal law.
- ◆ Failure to make satisfactory progress toward the goals or strategies set forth in this *Joint Solicitation*.
- ◆ Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.
- ◆ Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.

◆ Failure to submit reports.

◆ Filing a false certification in this application or other report or document.

Before imposing sanctions, OJP/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 18.0.



Appendix A

Instructions and Application Forms

Instructions for Completing Office of Justice Programs (OJP) Applications for Assistance

Office of Justice Programs—Fiscal Year 1996

Applying for funds from a Federal agency can be confusing for the first-time applicant. OJP prepared these instructions and examples to help alleviate this confusion.

Please note that all of the application forms contain instructions that should be read prior to completing the forms. We recommend that you photocopy the forms for a dry run before completing the final copy.

OJP is trying to streamline its funding application process to accommodate the volume of proposals anticipated in response to this *Joint Solicitation*. Applicants can assist us by filling out and returning the nonbinding letter of intent included in Appendix A by July 31, 1996. The letter either can be returned via mail using the self-mailer or faxed to 202-307-2093. OJP will use these “letters” to forecast the number of Peer Review Panels needed to review competitive applications, and to identify potential conflicts of interest.

Application Requirements

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

The major parts of the application are:

1. Standard Form 424
2. Project Abstract
3. Budget Detail Worksheet
4. Budget Narrative
5. Program Narrative
6. Assurances and Certifications

Instructions for completing each of the major parts of the application package follow.

1. Standard Form 424

The SF-424 is basically a cover sheet for the OJP funding application. **No application will be accepted without a complete, signed, original SF-424.** A sample copy of this form is included to help you complete your application. Instructions for completing the Standard Form 424 are provided following that form and the sample.

2. 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.

3. Budget Detail Worksheet

To understand how the grant award will be used by the applicant, OJP 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 Detail Worksheet includes:

- ◆ The position and salary of each person involved in the project and the portion of that salary to be paid from the grant award.
- ◆ The fringe benefits paid to each staff person.
- ◆ The itemized travel costs to be incurred due to the project.
- ◆ Equipment to be purchased with funds from the project.
- ◆ Consultant and contractor costs.
- ◆ Other costs, such as office rental, document reproduction, or telephone services.
- ◆ Any indirect costs established by the Federal government.
- ◆ A budget summary.

A sample Budget Detail Worksheet is included to assist you with your calculations.

4. Budget Narrative

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.

5. Program Narrative

The Program Narrative should fully describe the expected design and implementation of the proposed program, address the solicitation's specific criteria and/or application requirements, and illustrate how the proposed project identifies and will resolve problems in the community.

6. Assurances and Certifications

OJP Form 4000/3 (Assurances), an attachment to the SF-424, must be included with the application. This form includes a list of assurances that govern the use of Federal funds for federally assisted projects, which the applicant should read carefully and sign before submitting an application.

Applicants should also read and sign OJP Form 4061/6, the certifications form regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-Wide Debarment and Suspension (Nonprocurement)" and "Government-Wide 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. The signed original of this form must be included with the signed original SF-424.

Letter of Intent

Dear OJP:

I intend to apply for funds under the following solicitations:

- Safe Kids—Safe Streets—Community Approaches To Reducing Abuse and Neglect and Preventing Delinquency
- Evaluation of the Safe Kids—Safe Streets Program

Name: _____

Date: _____

Position: _____

Organization: _____

Address: _____

City/State/ZIP: _____

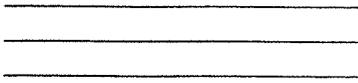
Phone Number: _____

FAX Number: _____

E-mail: _____

Fax to 202-307-2093 or use self-mailer on reverse side.

Fold and Tape



Affix
First Class
Stamp

Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention
Suite 742
633 Indiana Avenue NW.
Washington, DC 20531

Fold and Tape

Checklist for OJP Applications

This checklist is provided to assist you in preparing and compiling your application for OJP funding. Although it is not required, we strongly recommend that you send a copy of this completed checklist to OJP with your application.

- Standard Form 424 (signed)
- Project Abstract
- Budget Detail Worksheet
- Budget Narrative
- Program Narrative
- Assurances and Certifications (signed)
- Timeline of major milestones and publications
- 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 type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier																					
		3. DATE RECEIVED BY STATE	State Application Identifier																					
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier																					
5. APPLICANT INFORMATION																								
Legal Name:		Organizational Unit:																						
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)																						
6. EMPLOYER IDENTIFICATION NUMBER (EIN): [][] - [][][][][][][][][][]		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): _____																						
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY:																						
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: [][][] - [][][][][][][][][][] TITLE: _____		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:																						
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):																								
13. PROPOSED PROJECT: Start Date Ending Date		14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project																						
15. ESTIMATED FUNDING: <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td>a. Federal</td> <td>\$</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>\$</td> <td>.00</td> </tr> </table>		a. Federal	\$.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	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	\$.00																						
b. Applicant	\$.00																						
c. State	\$.00																						
d. Local	\$.00																						
e. Other	\$.00																						
f. Program Income	\$.00																						
g. TOTAL	\$.00																						
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																						
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED																								
a. Typed Name of Authorized Representative		b. Title	c. Telephone number																					
d. Signature of Authorized Representative		e. Date Signed																						

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED 9/01/96	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:

Application
 Construction
 Non-Construction

Preapplication
 Construction
 Non-Construction

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):
 00 - 9876543

7. TYPE OF APPLICANT: (enter appropriate letter in box)

A. State	H. Independent School Dist.
B. County	I. State Controlled Institution of Higher Learning
C. Municipal	J. Private University
D. Township	K. Indian Tribe
E. Interstate	L. Individual
F. Intermunicipal	M. Profit Organization
G. Special District	N. Other (Specify): _____

8. TYPE OF APPLICATION:

New Continuation Revision

If Revision, enter appropriate letter(s) in box(es):

A. Increase Award B. Decrease Award C. Increase Duration
 D. Decrease Duration Other (specify): _____

9. NAME OF FEDERAL AGENCY:
 Office of Juvenile Justice and Delinquency Prevention

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:
 1 6 5 4 2

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
 Project to Expand and Improve Juvenile Restitution Program

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):
 Arlington, VA

13. PROPOSED PROJECT:

Start Date	Ending Date
10/01/96	09/30/97

14. CONGRESSIONAL DISTRICTS OF:

a. Applicant	b. Project
19	19

15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
a. Federal \$ 100,000.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____
b. Applicant \$.00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372
c. State \$.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
d. Local \$.00	
e. Other \$.00	
f. Program Income \$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No
g. TOTAL \$ 100,000.00	

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative Morgan Tyler	b. Title Executive Director	c. Telephone number (703) 555-3478
d. Signature of Authorized Representative	e. Date Signed 09/01/96	

Instructions for Completing the Application for Federal Assistance (SF-424)

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

- Item 1** **Type of Submission:** If this proposal is not for construction or building purposes, check the "Non-Construction" box in the application section.
- Item 2** **Date Submitted:** Indicate the date you sent the application to OJP. The "Application Identifier" is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
- Item 3** **Date Received by State:** Leave blank. This block is completed by the State Single Point of Contact (SPOC), if applicable.
- Item 4** **Date Received by Federal Agency:** This item will be completed by OJP.
- Item 5** **Applicant Information:** The "Legal Name" is the unit of government or the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. One person should be designated as the Contact for the proposed project, and that person's telephone number should also be included. It is not unusual for the name of the contact person to differ from the authorized representative of your agency in Item 18 below.
- Item 6** **Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or comptroller.
- Item 7** **Type of Applicant:** Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering "consortium."
- Item 8** **Type of Application:** Check either "new" or "continuation." Check new if this will be your first award for this purpose described in the application, even if the applicant has received prior awards for other purposes. Check "continuation," if the project will continue activities, including minor modifications, or implement the next phase of a project that was begun under a prior award number.

- Item 9** **Name of Federal Agency:** Type in the name of the awarding agency. An example would be "Bureau of Justice Assistance."
- Item 10** **Catalog of Federal Domestic Assistance Number:** Use the number and title of the program under which assistance is requested. See Appendix D for relevant excerpts from the Catalog of Federal Domestic Assistance.
- Item 11** **Descriptive Title of Applicant's Project:** Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, e.g., U. S. Department of Education; and (3) applicant's fiscal year, i.e., 12-month audit period, e.g., 10/1/96 – 9/30/97.
- Item 12** **Areas Affected by Project:** Identify the geographic area(s) encompassed by the project. Indicate "Statewide" or "National," if applicable.
- Item 13** **Proposed Project Dates:** Fill in the start and end dates of the project. These dates may be adjusted by the awarding agency when the award is made.
- Item 14** **Congressional Districts:** Fill in the number of the Congressional District(s) in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "Statewide" or "National", if applicable.
- Item 15** **Estimated Funding:** In line "a," type in the amount of Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.
- Item 16** **State Executive Order 12372:** Some states (although, not all), require you to submit your application to a State "Single Point of Contact" (SPOC) to coordinate applications for Federal funds within the State. If your State requires a copy of your application, indicate the date this was submitted. If a copy is not required, indicate the reason. (Refer to the "Administrative Requirements" section of the program announcement, for more information on this issue.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
- Item 17** **Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.
- Item 18** **Authorized Representative:** Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in **blue ink** and/or stamped as "original" to help us distinguish the original from the photocopies.

Budget Detail Worksheet

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

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

TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

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

TOTAL _____

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.

Purpose of Travel	Location	Item	Computation	Cost
				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. 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. 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

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 \$150 per day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
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Subtotal _____

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

Item	Location	Computation	Cost
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Subtotal _____

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

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

Subtotal _____

TOTAL _____

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

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

TOTAL _____

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

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

TOTAL _____

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

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

Budget Detail Worksheet

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

Name/Position	Computation	Cost
John Smith, Investigator		\$50,000
2 Investigators	(\$50,000 x 2)	100,000
.5 Secretary	(\$30,000 x .5)	15,000
Cost-of-living increase	(\$2,000 x 3 x .5 yr)	3,000
Overtime per investigator	(\$37.50/hr x 100 hrs x 3)	11,250

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

TOTAL \$179,250

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
Employers' FICA, Retirement, and Taxes	(\$179,250 x 11.5%)	\$20,614
Uniform Allowance	(\$50/mo x 12 mo x 3 investigators)	1,800

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

TOTAL \$22,414

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X 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.

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

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 on investigative leads.

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. 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
3 - 486 Computers w/CD ROM	(\$2,000 x 3)	\$6,000
Video Camera		1,000

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

TOTAL \$7,000

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

Supply Items	Computation	Cost
Office supplies	(\$50/mo x 12 mo)	\$600
Postage	(\$20/mo x 12 mo)	240
Training materials		1,000

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

TOTAL \$1,840

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

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

The renovations are needed to upgrade the forensic lab used to analyze evidence for homicide cases.

TOTAL \$10,000

G. Consultants/Contracts

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$150 per day require additional justification.

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

Joe 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
Airfare	Miami	(\$400 x 6 trips)	\$2,400
Hotel and Meals		(\$100/day x 30 days)	3,000

Joe 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
Intelligence System Development	\$102,000

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

Subtotal \$102,000

TOTAL \$111,900

(H) Other Costs - List items (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
Rent OR Rent	(700 sq. ft. x \$15/sq. ft.) (\$875/mo x 12 mo)	\$10,500

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

TOTAL \$10,500

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

Description	Computation	Cost
10% of Personnel and Fringe Benefits	(\$201,644 x 10%)	\$20,166

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

TOTAL \$20,166

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

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

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, 633 Indiana Avenue, N.W., 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



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

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

1. LOBBYING

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

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

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

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

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

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date



Appendix B

Peer Review Information



Guideline

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION (OJJDP) PEER REVIEW GUIDELINE

1. PURPOSE. This guideline provides instructions for Peer Reviewers who review applications submitted for discretionary funding to the Office of Juvenile Justice and Delinquency Prevention (OJJDP), and establishes the procedures OJJDP will use in organizing and conducting peer reviews of those applications. This guideline replaces OJP G 4062.8 (October 15, 1990).
2. SCOPE. The provisions of this guideline apply to all grant applications submitted to OJJDP that require peer review. This document is designed as a guide for applicants, Peer Reviewers, and OJJDP employees.
3. BACKGROUND.
 - a. 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.
 - b. 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.
 - c. 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.

4. PEER REVIEW POLICY.

- a. 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:
 - (1) Funds transferred to OJJDP from another Federal agency to augment authorized juvenile justice programs, projects, or purposes.
 - (2) Funds transferred to other Federal agencies from OJJDP for program purposes as authorized by law.
 - (3) 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.
 - (4) Assistance awards from the 5 percent set aside of Special Emphasis funds under Section 261(e) of the Act.
 - (5) Assistance awards under Section 241(f) of the Act.
- b. 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.
- c. 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:
 - (1) During the course of a review, prejudiced, misleading, or false information was presented to or used by the Peer Reviewers.
 - (2) 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.

5. DEFINITIONS.

- a. A **Peer Review Coordinator** is an OJJDP employee designated to oversee all aspects of the peer review process.
- b. **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.
- c. 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.
- d. **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 Office of Justice Programs (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.
- e. An **Internal Reviewer** is an officer or employee of the Department of Justice qualified by experience and expertise to conduct appropriate application and program reviews.
- f. 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.
- g. **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.
- h. 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.

- I. **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.
- j. 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.
- k. 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.
- l. A **Program Announcement** is a notice published in the Federal Register that invites applications for a specific program and set of requirements.
- m. The **Program Manager** is a member of the OJJDP staff who is directly responsible for the specific applications under peer review.
- n. A **Ranking** is an application's relative position, based on summary ratings, to other applications submitted for a specific program announcement.
- o. **Ratings** are scores assigned by individual Peer Reviewers based on an application's response to the selection criteria specified in the program announcement.
- p. **Summary Ratings** are the averages of the total scores assigned to each application by each Peer Reviewer.

6. PEER REVIEW PROCEDURES.

- a. **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.
- b. **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.

c. Consultant Pool.

- (1) An OJJDP 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.
- (2) 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.
- (3) 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. If a consultant subsequently performs a peer review and fails to fulfill his/her obligation without substantial justification, the OJJDP Administrator may request that the support contractor remove the consultant from the Peer Review Pool. Reviewers who fail to satisfactorily complete their assignments will not be reimbursed for their work.

d. Selection of Peer Review Panels.

- (1) 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.
- (2) 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.
- (3) 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.

- (4) 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:
- (a) Each member of the panel should have expertise in or complementary to the subject area under review. This does not preclude using youth representatives.
 - (b) When possible, the Peer Review Panel should be comprised of researchers, practitioners, and academics.
 - (c) Panel members should be drawn from as wide a geographic area as is practical and should represent both urban and rural perspectives.
 - (d) Special attention should be paid to recommending women and minorities who are qualified reviewers.
 - (e) When appropriate, the Peer Review Panel should be comprised of a diverse group of experts from the public and private sectors, including community-based youth serving organizations.

7. INTERNAL REVIEW.

- a. An internal review of applications or Concept Papers will be conducted by the Program Manager and/or by designated Department of Justice staff.
- b. The first stage of the internal review will determine if the application is in compliance 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 than that specified in the program announcement, and applications from agencies or organizations that do not possess the qualifications specified in the program announcement.
- c. 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.

8. PEER REVIEW.

- a. Peer reviews may be conducted by mail, in meetings, or through a combination of both; 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, assure that each application receives equal consideration.
- b. Infrequently, it may be necessary for Peer Reviewers and/or Program Managers to make site visits. In all instances OJJDP will determine 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.
- c. 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 provide interpretation of the program announcement, and will 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.
- d. Where time or other relevant factors, such as cost, preclude convening a Peer Review Panel meeting, reviewers will communicate with one another via mail, telephone, or electronic means.

9. SELECTION CRITERIA.

- a. All applications received by OJJDP are, at a minimum, rated on the extent to which they meet general selection criteria. The following selection criteria can also be enhanced to more clearly define the program requirements:
 - (1) The problem to be addressed by the project is clearly stated.
 - (2) The objectives of the proposed project are clearly defined and the outcomes are measurable.

- (3) The project design is sound and contains program elements directly linked to the achievement of project objectives.
 - (4) The project management and overall organizational capability demonstrate the applicant's capacity to successfully operate and support the project.
 - (5) Budgeted costs are reasonable, allowable, and cost effective for the proposed activities.
- b. 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.

10. SCORING APPLICATIONS.

- a. 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:
- (1) Statement of the problem --- 20 points.
 - (2) Definition of objectives --- 10 points.
 - (3) Project design --- 30 points.
 - (4) Project management and organizational capability --- 25 points.
 - (5) Reasonableness of costs --- 15 points.
- b. 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:
- | | |
|-------------------|---|
| (1) 90-100 points | Responsive with no revisions required. |
| (2) 80-89 points | Responsive with minor revisions required. |
| (3) 70-79 points | Responsive with significant revisions required. |
| (4) 60-69 points | Minimally responsive with major deficiencies that would require extensive correction. |
| (5) 0-59 points | Not responsive and not sufficient to receive funding. |

11. RESULTS OF PEER REVIEW.

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

12. 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) (see Appendix 2).

13. CONFLICTS OF INTEREST.

- a. 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.
- b. 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:
 - (1) 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).
 - (2) The Peer Reviewer is employed by the same institution or organization as the applicant or was employed there within the past year.
 - (3) The Peer Reviewer and the applicant collaborated within the past year on work related to the proposal.
 - (4) The Peer Reviewer is or has been under consideration for a position at the applicant’s organization or institution.

- (5) The Peer Reviewer served in an official capacity with the applicant's organization within the past year.
 - (6) 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.
 - (7) The Peer Reviewer and the applicant have a familial relationship.
 - (8) The Peer Reviewer had relations with the project director, or other key personnel identified in the application, as a student, thesis advisor, or post-doctoral advisor.
 - (9) The Peer Reviewer and applicant are known to be either close friends or open antagonists.
 - (10) 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.
 - (11) 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.
 - (12) The Peer Reviewer is currently involved in a project closely associated with the proposed project.
- c. 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.
- d. 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.

14. 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 the panelists' 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

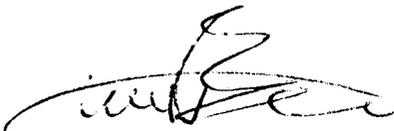
the review process. Should a Peer Review Panel member receive a request for application materials or information about panel discussions or recommendations, the reviewer must notify the Peer Review Coordinator. Any persons requesting information about the review process, or about a specific application, should be referred to the Peer Review Coordinator.

15. PEER REVIEWER INQUIRIES. Peer Reviewer inquiries during the review process should be addressed in writing to the OJJDP support contractor. An information copy of the response or action taken will be forwarded by the Program Manager to the Peer Review Coordinator. Once the application process is finished, the Peer Review Coordinator will inform the OJJDP support contractor and each Peer Reviewer of the final action taken on specific proposals.

16. INFORMING APPLICANTS OF PEER REVIEWER COMMENTS. Applicants denied funding will receive a summary that specifies the strengths and weaknesses of their individual proposal and a matrix of panelist scores (with panelist identification removed). If an applicant requests additional information, copies of individual panelist ratings and comment sheets will be provided. All applicants may request and receive both summaries of panelist comments and verbatim copies of peer reviews regarding their application (excluding panelist identification). Requests for Peer Reviewer's comments 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.

17. 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 will be 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 the reviewers by the support contractor.

18. MANAGING THE PEER REVIEW PROCESS. A technical support contractor will assist the Peer Review Coordinator with managing the peer review process. In addition to providing assistance during the peer review meeting, the support contractor will procure the meeting site, record and summarize the meeting, and reimburse the panelists for travel, lodging, and consulting fees.



SHAY BILCHIK
Administrator

7/3/96

DATE

Appendix C

Contact List

OMB State Single Points of Contact

In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," Section 4, "the Office of Management and Budget (OMB) shall maintain a list of official State entities designated by the States to review and coordinate proposed Federal financial assistance and direct Federal development." This attached listing is the OFFICIAL OMB LISTING. This listing is also published in the Catalogue of Federal Domestic Assistance biannually.

Alabama

Jon C. Strickland
Alabama Department of Economic and
Community Affairs
401 Adams Avenue
Montgomery, AL 36103-5690
Phone: 205-242-5483
Fax: 205-242-5515

Arizona

Joni Saad
Arizona State Clearinghouse
3800 N. Central Avenue, Floor 14
Phoenix, AZ 85012
Phone: 602-280-1315
Fax: 602-280-1305

Arkansas

Mr. Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Dept. of Finance & Administration
1515 W. 7th Street, Room 412
Little Rock, AR 72203
Phone: 501-682-1074
Fax: 501-682-5206

California

Grants Coordinator
Office of Planning & Research
1400 10th Street, Room 121
Sacramento, CA 95814
Phone: 916-323-7480
Fax: 916-323-3018

Delaware

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
P.O. Box 1401
Dover, DE 19903
Phone: 302-739-3326
Fax: 302-739-5661

District of Columbia

Charles Nichols
State Single Point of Contact
Office of Grants Mgmt. & Development
717 14th Street NW., Suite 500
Washington, DC 20005
Phone: 202-727-6554
Fax: 202-727-1617

Florida

Florida State Clearinghouse
Department of Community Affairs
2740 Centerview Drive
Tallahassee, FL 32399-2100
Phone: 904-922-5438
Fax: 904-487-2899

Georgia

Tom L Reid III
Administrator
Georgia State Clearinghouse
254 Washington Street SW., Room 401J
Atlanta, GA 30334
Phone: 404-656-3855 or 404-656-3829
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Guam

Mr. Giovanni T. Sgambelluri
Director
Bureau of Budget & Mgmt. Research
Office of the Governor
P.O. Box 2950
Agana Guam 96910
Phone: 011-671-472-2285
Fax: 011-671-472-2825

Illinois

Barbara Beard
State Single Point of Contact
Department of Commerce & Community
Affairs
620 E. Adams
Springfield, IL 62701
Phone: 217-782-1671
Fax: 217-534-1627

Indiana

Amy Brewer
State Budget Agency
212 State House
Indianapolis, IN 46204
Phone: 317-232-5619
Fax: 317-233-3323

Iowa

Steven R. McCann
Division for Community Assistance
Iowa Dept. of Economic Development
200 E. Grand Avenue
Des Moines, IA 50309
Phone: 515-242-4719
Fax: 515-242-4859

Kentucky

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive
Frankfort, KY 40601-8204
Phone: 502-573-2382
Fax: 502-573-2512

Maine

Joyce Benson
State Planning Office
State House Station 38
Augusta ME 04333
Phone: 207-287-3261
Fax: 207-287-6489

Maryland

William G. Carroll
Manager, State Clearinghouse for
Intergovernmental Assistance
Maryland Office of Planning
301 W. Preston Street, Room 1104
Baltimore MD 21201-2365
Phone: 410-225-4490
Fax: 410-225-4480

Michigan

Richard Pfaff
SE Michigan Council of Governments
1900 Edison Plaza
660 Plaza Drive
Detroit MI 48226
Phone: 313-961-4266
Fax: 313-961-4869

Mississippi

Cathy Mallette
Clearinghouse Officer
Department of Finance & Administration
455 N. Lamar Street
Jackson, MS 39202-3087
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Fax: 601-359-6764

Missouri

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

Nevada

Department of Administration
State Clearinghouse
Capitol Complex
Carson City, NV 89710
Phone: 702-687-4065
Fax: 702-687-3983

New Hampshire

Jeffrey H. Taylor
Director, NH Office of State Planning
Attn: Intergovernmental Review Process

Mike Blake

2½ Beacon Street
Concord, NH 03301
Phone: 603-271-2155
Fax: 603-271-1728

New Jersey

Gregory W. Adkins
Assistant Commissioner
NJ Department of Community Affairs

Please direct all correspondence & questions
about intergovernmental review to:

Andrew J. Jaskolka
State Review Process
Intergovernmental Review Unit
CN 800, Room 813A
Trenton NJ 08625-0800
Phone: 609-292-9025
Fax: 609-633-2132

New Mexico

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

New York

New York State Clearinghouse
Division of the Budget
State Capitol
Albany NY 12224
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North Carolina

Chrys Baggett
Director
NC State Clearinghouse
Office of the Secretary of Administration
116 W. Jones Street
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North Dakota

ND Single Point of Contact
Office of Intergovernmental Assistance
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Bismarck ND 58505-0170
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Northern Mariana Islands

Ms. Jacoba T. Seman
Federal Programs Coordinator
Office of Mgmt. & Budget
Office of the Governor
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Phone: 670-664-2289
Fax: 670-664-2272

Ohio

Larry Weaver
State Single Point of Contact
State Clearinghouse
Office of Budget & Mgmt.
30 E. Broad Street, Floor 34
Columbus OH 43266-0411
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Fax: 614-466-5400

Puerto Rico

Norma Burgos/Jose E. Caro
Chairwoman/Director
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 41119
San Juan PR 00940-1119
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Fax: 809-724-3270 or 809-724-3103

Rhode Island

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South Carolina

Omeagia Burgess
State Single Point of Contact
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Texas

Tom Adams
Director, Intergovernmental Coordination
Governor's Office
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Austin TX 78711
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Utah

Carolyn Wright
Utah State Clearinghouse
Office of Planning & Budget
State Capitol, Room 116
Salt Lake City UT 84114
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Fax: 801-538-1547

Vermont

Nancy McAvoy
State Single Point of Contact
Pavilion Office Building
109 State Street
Montpelier VT 05609
Phone: 802-828-3326
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Virgin Islands

Jose George
Director, Office of Mgmt. & Budget
41 Norregade Emancipation Garden Station
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Saint Thomas, VI 00802
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Fax: 809-774-0069

West Virginia

Fred Cutlip
Director, Comm. Development Division
WV Development Office
Building 6, Room 553
Charleston WV 25305
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Fax: 304-558-3248

Wisconsin

Martha Kerner
Section Chief, State/Federal Relations
Wisconsin Department of Administration
101 E. Wilson Street, Floor 6
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Madison WI 53707
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Fax: 608-267-6931

Wyoming

Sheryl Jeffries
State Single Point of Contact
Office of the Governor
State Capitol, Room 124
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