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Executive Summary

The National Council on Crime and Delinquency (NCCD) proposes to assist three jurisdictions (i.e., state or local units of government or nonprofit organizations) to determine the feasibility of using Pay for Success (PFS) to promote interventions addressing positive youth development, with a focus on 1) juvenile justice or child welfare system-involved youth or youth at risk of entering or crossing over into these systems, and 2) addressing high rates of racial disparity in these systems. NCCD is a 100-year-old nonprofit organization with a mission to promote just and equitable social systems for individuals, families, and communities through research, public policy, and practice. NCCD has long been at the forefront of translating research to practice by working with federal, state, and local agencies throughout the United States to conduct research that has practical and direct implications for practice improvement and achieving better social outcomes for at-risk youth and families, including those involved with multiple social systems. NCCD has been engaged over the last year in PFS feasibility studies in foster care, restorative justice, and young adult corrections with two California counties and the State of California. In commonality with the federal government's goals and strategic priorities as represented by this Corporation for National and Community Service (CNCS) funding notice and by the major White House initiative known as My Brother's Keeper, NCCD's PFS work seeks, in particular, to promote strategies, such as positive youth development, that address the underlying disparities that bring youth of color in contact with the public social systems. As defined by CNCS, positive youth development interventions prepare the nation's youth for success in school, active citizenship, productive work, and healthy and safe lives.

This proposal describes NCCD's technical assistance (TA) approach to feasibility assessment for PFS to scale positive youth development interventions at three Sub-Recipient sites selected through a competitive, open solicitation program. Eligibility to compete for these TA services will be targeted to government entities and nonprofit organizations in the states with the highest rates of racial and ethnic disparities in juvenile justice and child welfare system involvement. Selected sites will have a high-quality intervention identified for PFS consideration, but they will have limited institutional knowledge and capacity to make PFS part of their funding strategy. NCCD TA provision will therefore help the sites design and implement a PFS feasibility assessment and PFS project plan. TA elements will include stakeholder engagement; defining success metrics through the articulation of anticipated program impact on the identified target population and associated cost savings; addressing potential unintentional consequences, such as incentivized decision making and net widening; developing an evaluation design to guide data collection and success determination; and formalizing reporting

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practices. NCCD will also assist in supporting programmatic intervention components and the institutional support necessary to sustain the interventions and PFS activities and to meet the CNCS grant reporting and dissemination goals. All sites will complete the project period with a thoroughly documented understanding of the PFS development process; the strengths and challenges of using PFS for their particular intervention and setting; lessons learned; and the materials, knowledge, and strategic relationships in place that will allow them to pursue other PFS projects. For those sites deemed PFS viable, the sites will be prepared to quickly go to the next phase: deal development. NCCD will disseminate this knowledge locally and nationally through cross-site learning sessions, webinars, a white paper, and project briefs.

The ultimate goal of the proposed project is effecting positive life outcomes for system-involved youth and young adults and supporting the capacity of systems to implement evidence-based practices that set up these young people for the best possible chance of success in their lives and in their communities.

Program Design

A. GOALS AND OBJECTIVES

Through this funding opportunity, the National Council on Crime and Delinquency (NCCD), a nonprofit organization, will provide PFS feasibility TA (i.e., activities that increase, strengthen, and diversify the number of government entities and nonprofit organizations that are prepared to engage in PFS transactions and prepare for PFS implementation). TA will be provided to three Sub-Recipients, i.e., state or local units of government or nonprofit organizations, which will focus on positive youth development. This is defined by FindYouthInfo.gov, an online resource created by the Interagency Working Group on Youth Programs of which CNCS is a partner with 17 other federal agencies, as "an intentional, pro-social approach that engages youth within their communities, schools, organizations, peer groups, and families in a manner that is productive and constructive; recognizes, utilizes, and enhances youths' strengths; and promotes positive outcomes for young people by providing opportunities, fostering positive relationships, and furnishing the support needed to build on their leadership strengths" (<http://www.findyouthinfo.gov/youth-topics/positive-youth-development>). Eligibility to compete for TA services will be targeted to entities and organizations in the 11 US states and Washington, DC, with the highest rates of racial and ethnic disparities in juvenile justice and/or child welfare systems. The intention is to increase capacity for the greatest impact of potential PFS opportunities to advance youth development initiatives in ways that align both with recommendations of the My Brother's Keeper initiative and with NCCD's mission to promote just and equitable social

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systems for individuals, families, and communities.

NCCD understands and believes that the overall success of our communities rests on the success of our nation's youth. For more than 100 years, we have worked to shine a light on the negative impacts of social system involvement on youth. NCCD has a core value of equity, reflected in our efforts to address negative outcomes for youth who are disproportionately overrepresented in the systems we work with (e.g., racial minorities and youth who identify as lesbian, gay, bisexual, or transgender) and to push the justice and child welfare fields to think and act differently about solutions. NCCD has been engaged over the last year in the exploration of PFS with two counties and the State of California and is also working with a number of California counties to implement the Sierra Health Foundation's Positive Youth Development Initiative; this work all exemplifies just such ways of thinking and doing things differently. NCCD has become an emerging leader in the field of PFS feasibility assessment, with the ultimate goal of effecting positive life outcomes for youth and young adults and supporting the capacity of systems to implement evidence-based practices that set up youth for the best possible chance of success in their lives and in their communities. NCCD possesses a unique perspective about what it takes to effect sustainable, scalable, and effective interventions.

Given the combination of our mission, effective efforts to eliminate racial disparities through our work, and experience with PFS feasibility assessment, NCCD's goals and strategic priorities are fully aligned with the convergence of the federal government's goals and strategic priorities represented in this funding notice, along with the White House initiative known as My Brother's Keeper, which seeks to address the persistent opportunity gaps faced by boys and young men of color and ensure that all young people can reach their full potential. Both the My Brother's Keeper initiative and the federal priority area of youth development interconnect through a racial disparity lens in several ways: 1) My Brother's Keeper seeks to employ methods that address racial and ethnic bias within the juvenile justice system; 2) strategies to address the underlying disparities that bring youth of color in contact with the system can employ the tenants of positive youth development to reduce disparities; and 3) the infusion of innovative and culturally and linguistically competent practices can help further reduce disparities and better prepare disproportionately system-impacted youth to succeed and thrive. One specific recommendation from the "My Brother's Keeper Task Force Report to the President" that significantly aligns with NCCD's proposed focus on the intersection of youth development and racial disparities in systems is to:

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Reform the Juvenile and Criminal Justice Systems to Keep Youth on Track: When young people come into contact with the criminal or juvenile justice systems, we must ensure that these interactions do not occur unnecessarily, and do not get them off track for life. We should promote successful alternatives to incarceration, continue to address inappropriate referrals and enforce the rights of incarcerated youth to a quality education (p. 10; http://www.whitehouse.gov/sites/default/files/docs/053014_mbk_report.pdf).

Given that significant disparities exist across a host of life outcomes for African Americans overall, NCCD's PFS feasibility assessment TA will be inclusive of interventions that contribute in innovative ways to positive youth development for all youth, including boys/young men and girls/young women.

Consistent with its core values, NCCD's work has helped social service and government agencies increase individual and community safety; prevent unnecessary system entry; develop models of engagement and service delivery that reflect values of equity, cultural responsiveness, reliability, validity, and efficacy; ensure that individuals exit the system as expeditiously as possible, with the best chance for success; and reduce disparities (e.g., race, gender, sexual orientation, disability, age). Despite the development and implementation of promising and evidence-based practices, NCCD has witnessed and experienced the myriad challenges inherent to successful practice infusion into the institutional cultures of government systems and, therefore, the limits to scalability. Competing political interests, lack of efficient and transparent policies and practices, complex and often inflexible funding streams, and few to no resources allocated for outcome evaluation are sometimes simply an accepted hindrance to creating a lasting positive impact on our most entrenched social problems. State and local governments continue to fund services rather than outcomes, providers work around the barriers as best they can, and philanthropic funders aim to support successful interventions while balancing risk and reward. All parties hunger to have a greater impact.

Importantly, PFS holds the promise of scaling practices with known social benefit in ways that the government is traditionally restricted from doing. Most notably, PFS projects can be developed outside the policy and requirement boundaries that can limit innovation, turning challenges and barriers into opportunities by allowing for investment and infusion of money in innovative programs that the government might deem too risky.

1. THEORY OF CHANGE

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Over the last several years, PFS has emerged as a powerful tool for increasing the scope of interventions to address critical social issues. This model has the potential to bring together stakeholders who have not traditionally collaborated and to leverage their unique skills and areas of expertise to innovate and produce measurable results. NCCD has chosen to become involved in PFS as a way to scale the development and implementation of data-supported and evidence-based intervention models for our nation's youth and to promote communities' capacity to sustain these service practices to better social, emotional, physical, and economic outcomes.

NCCD recognizes the opportunities that PFS creates between community providers and government. It allows for a different kind of project: longer in duration, completely funded up front through private investment, with evaluation of outcomes built in from the ground up. It also changes the traditional philanthropic model of one- to two-year-funded projects that are often relatively siloed. NCCD's theory of change in its approach to feasibility assessment provision is as follows.

- * Long-Term Goal (What ultimate impact do we seek to achieve?)
 - » Diversification and increase in the number of PFS deal-ready projects in the social sector that are aligned with CNCS priority-issue areas.
 - » Increased knowledge base at a national level on what works and what does not in PFS feasibility assessment and exploration.
 - » Increased interest and engagement of potential funders looking to invest in PFS projects.
- * Pre-Conditions/Assumptions (What resources and inputs are needed to achieve the long-term goal?)
 - » CNCS Social Innovation Fund.
 - » Matching funds.
 - » Existence of innovative and promising practices that promote positive youth development.
 - » Availability of data (both programmatic and financial) to conduct feasibility analysis.
 - » Interest from units of state and local governments to explore PFS as a tool to scale social interventions.
- * Activities (What specific activities will be undertaken to achieve the long-term goal?)
 - » Establish a communication plan with CNCS related to grant activities.
 - » Establish and implement a competitive Sub-Recipient program and process.
 - » Select three PFS feasibility sites/Sub-Recipients.

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- » Create onsite stakeholder working groups to develop project plans around the agreed-upon scope of TA services.
- » Conduct feasibility assessment (programmatic landscape analysis and government feasibility).
- » Reporting and dissemination.
- * Outputs (What specific and observable deliverables and work product will be produced?)
 - » Selection of three Sub-Recipients to receive PFS feasibility assessment TA.
 - » Two to three onsite stakeholder working group sessions per site.
 - » Development and execution of a project plan for each Sub-Recipient detailing the specific activities involved in feasibility assessment delivery.
 - » Logic models for each TA site, documenting the feasibility assessment process.
 - » Process flow analyses for each TA site, mapping the programmatic intervention components, identifying potential ways to improve and strengthen intervention implementation, and defining success metrics.
 - » Regular progress reports to CNCS on the status of TA provided to each Sub-Recipient.
 - » Development and execution of a dissemination and communications plan to include webinars, briefs, a white paper, and a dedicated landing page on NCCD's organizational website devoted to PFS feasibility tips and tools.
 - » Summary of initial deal briefs for each Sub-Recipient.
 - » Final report documenting strengths, challenges, lessons learned, and the results of all feasibility analyses, with an overall recommendation about the readiness for PFS deal construction for each site.
- * Outcomes (What impacts will be observable as a result of delivered activities?)
 - » Up to three state or local jurisdictions will be successfully positioned to initiate PFS deal construction to scale an identified evidence-based and innovative solution or set of solutions addressing youth development, with a clearly defined target population and projected social impact and cost-savings analysis.
 - » Increased capacity for Sub-Recipients and their immediate or regional neighbors and state to more quickly assess the feasibility of PFS for where there may be similar needs and similar governmental and funding factors. The contribution to PFS capacity building resulting from this initiative will be directly relevant to the efforts of others and therefore could provide the basis of a quick-turnaround PFS project for different interventions.»

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» Contribution to the knowledge base at a national level on PFS feasibility assessment through dissemination of materials produced and delivered by NCCD and Sub-Recipients, including reports from cross-site learning sessions, recorded webinars, a white paper, and project briefs.

2. SPECIFIC ACTIVITIES TO BE DELIVERED AS PART OF FEASIBILITY ASSESSMENT

TA to Sub-Recipients will include the following.

* Stakeholder Engagement, Facilitation, and Project Planning--A successful PFS project requires participation and buy-in from a range of government entities and community stakeholders. This includes having a government champion at the city/county/state government level who will help shepherd the project and bring together other stakeholders from various county departments, such as finance, data analysis, and procurement. Collaboration with local and national funders is also crucial in order to cover program costs that are not feasible for PFS. NCCD will provide facilitated onsite and remote-based TA to bring stakeholders together with the purpose of refining and focusing the proposed intervention, developing consensus on feasibility assessment project goals and objectives and project work plan, facilitating stakeholder commitment and buy-in, and developing data-sharing agreements.

* Identifying the Target Population and Conducting Process Flow Analysis.

» Target Population--In order to determine whether PFS will be an effective approach, the target population that the intervention will serve must be identified and described with specificity. As part of this process, access to a large amount of data and other information about the population and the appropriate analytic capabilities (or access to these capabilities) is needed, as is a high degree of domain expertise in order to fully understand how to use and access the data. If the target population is not accurately identified, the intervention design, service delivery, and ability to evaluate and interpret outcomes resulting from the intervention will be negatively impacted. NCCD will apply its vast subject matter expertise and experience in applied analytics and working with complex data systems to help Sub-Recipients 1) test assumptions about the target population(s), and 2) estimate potential program impact.

» Process Flow Analysis--In order to support the best chance of successful PFS project readiness, NCCD will apply its content expertise to conduct process flow analyses of programmatic components in order to thoroughly understand how individuals will move through and experience the intervention, identify ways the intervention can be refined, establish a quality assurance process to increase likelihood of program fidelity over the course of the PFS timeline, and improve reporting

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processes for data collection purposes.

* **Articulating Anticipated Program Impact and Cost Savings**--Identifying the target population helps to describe the anticipated program impact. By better understanding among which group of youth the biggest impact can be made, we are able to articulate the anticipated savings for government agencies. Determining the costs associated with the target population both with and without the intervention allows us to calculate the average cost per high-risk individual. This process involves working closely with county partners to identify, obtain, and interpret the data needed for this calculation. For example, in a child welfare delinquency prevention intervention, foster care/social services, police, probation, the courts, public health, and education all represent sources of data regarding potential cost savings once this intervention is implemented. Further, in order for this type of intervention to be feasible for a PFS approach, the target population must have a relatively high outcome rate independent of the intervention; the intervention must have a relatively high anticipated impact on this population in the form of less delinquency and other cashable positive outcomes (e.g., reduced incarceration, court costs, and probation officer time); and the intervention's cost must be less than the costs the government would incur in the absence of the intervention.

* **Defining Success**--Well-executed construction of outcome measures (as well as monitoring and evaluation of those measures) is the central component of a successful PFS application. Therefore, feasibility assessment must include a process to articulate, define, and measure what "success" looks like; for example, X percent of the chronically homeless have attained and sustained a level of stable housing, recidivism has been reduced by Y percent over some period of time following release from prison, teen pregnancy rates have decreased by Z percent, etc. However, some social service fields do not share a consensus on what success looks like, whether because of disagreement among experts or because of the degree of nuance required to analyze success. Unlike some other PFS applications, a specific challenge inherent in using PFS to scale child welfare interventions that would promote positive youth development is the complexity involved in agreeing on what constitutes success in this field. As one example, any proposed child welfare intervention aimed at preventing foster care placement must consider and account for the likelihood that, depending on a child's specific case, foster care placement may be in the best interest of a particular child. The level of nuance involved in defining success in many social service contexts requires a strong level of program expertise. Furthermore, success from a PFS perspective is likely to include outcomes aside from delinquency avoidance or less use of government services, such as employment or family stability. These secondary outcomes also need to be agreed upon.

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* Mitigating the Risk of Perverse Incentives--The financial incentives tied to PFS-funded interventions should not influence service providers to engage in any behaviors that might inadvertently harm their clients. In a child welfare PFS intervention, for example, providers must avoid leaving a child in an unhealthy placement for the sake of earning success payments rather than moving the child to a safer placement. In a juvenile justice PFS intervention, jurisdictions should not be incentivized to release extremely high-risk individuals into the community simply to save money on jail space. Not every social service intervention is appropriate for PFS, and careful exploration during the feasibility assessment of potential unintended intervention or funding approach consequences is critical. The risk of net widening (i.e., increasing rather than reducing system involvement due to the availability of a high-quality intervention) will also be addressed.

* Developing High-Level Evaluation Design--NCCD will assess the specific circumstances that surround each potential intervention to determine a cost-effective and accurate means of measuring levels of impact on intervention performance metrics. The data from this evaluation will provide the basis for assessing the intervention's success; any associated cost savings achieved; and, in turn, whether success payments to investors are warranted.

* Developing TA Materials to Support Knowledge Sharing and Promote Learning -- NCCD will assist Sub-Recipients with coordination of webinars, communication briefs, and other materials to support both cross-site learning and overall information sharing about PFS feasibility assessment at a national level.

* Developing Summary-Level Initial PFS Deal Briefs--To conclude the feasibility assessment phase for Sub-Recipients and position them successfully to initiate deal construction, it is critical to clearly articulate and document all feasibility assessment findings and the rationale for PFS viability. NCCD will produce a summary-level initial deal brief for each Sub-Recipient that lays out the main features of the emerging PFS program, examines the project lifecycle cash flows, and makes the case for its likely success. Should feasibility assessment yield low viability of a proposed intervention within a PFS model, NCCD will document findings and lessons learned in a prospectus/case study that can enhance the knowledge base on a national level.

3. GEOGRAPHIC FOCUS

As noted previously, NCCD will direct provision of PFS feasibility assessment TA to three sites that are focused on addressing issues related to positive youth development. Selection of Sub-Recipients will be conducted through a competitive, open solicitation program. Eligibility to compete

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for TA services will be targeted to entities and organizations in the 11 US states and Washington, DC, with the highest rates of racial and ethnic disparities in juvenile justice and/or child welfare systems. The intention is to increase capacity for the greatest impact of potential PFS opportunities to advance youth development initiatives in ways that align both with the My Brother's Keeper initiative and with NCCD's mission. Based on calculations of relative rate index (RRI ; i.e., the rate for Black or Hispanic divided by the rate for Whites, using placement of juveniles in residential facilities and placement in foster care as proxy measures), the states ranking highest in racial disproportionality for African American youth in their juvenile justice and/or child welfare systems are as follows. (Note: Two states show RRIs that exceed the overall RRI for African Americans in their juvenile justice systems, and two states show RRIs that exceed the overall RRI for African Americans in their child welfare systems. The overall RRI for African American youth is 4.7 in the US juvenile justice system and 2.2 in the US child welfare system.)

- * Washington, DC: RRI of 61.9 in child welfare.
- * Wisconsin: RRI of 14.0 in juvenile justice, 5.5 in child welfare.
- * New Jersey: RRI of 12.5 in juvenile justice, 5.3 in child welfare.
- * Massachusetts: RRI of 8.2 in juvenile justice.*
- * Connecticut: RRI of 12.5 in juvenile justice, 4.2 in child welfare.
- * Illinois: RRI of 4.1 in child welfare.
- * Pennsylvania: RRI of 9.2 in juvenile justice, 5.2 in child welfare.
- * California: RRI of 7.5 in juvenile justice, 4.2 in child welfare.
- * New York: RRI of 7.4 in juvenile justice, 5.9 in child welfare.
- * Minnesota: RRI of 9.8 in juvenile justice, 3.6 in child welfare.
- * Rhode Island: RRI of 9.4 in juvenile justice.
- * Nebraska: RRI of 7.5 in juvenile justice, 3.6 in child welfare.

(Sources for juvenile justice data: <http://www.ojjdp.gov/ojstatbb/ezacjrp/>;
<http://www.ojjdp.gov/ojstatbb/ezapop/>. Source for child welfare data:
<http://datacenter.kidscount.org/data/>.)

As stated in the "My Brother's Keeper Task Force Report to the President":

Persons of color disproportionately have contact with law enforcement or are victims of violent crime. One half of all Black males have at least one arrest by age 23, compared to about 38 percent of White males in the same age range. Another study reported that, in 2012, Black males were six times, and

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Hispanic males two and a half times, more likely to be imprisoned than White males. It has been shown that Black youth face disparate treatment, i.e., harsher punishment, in the juvenile justice system (p. 49; http://www.whitehouse.gov/sites/default/files/docs/053014_mbk_report.pdf).

Estimates of the number of youth who have had contact with both the child welfare and juvenile justice systems vary by methodology, demographics, and the level or depth of system involvement, but it is clear that the counts are high. Studies have found that the rates at which child welfare-involved youth eventually find themselves arrested are from just under 14% to as high as 22%. Other studies found as many as two thirds of juvenile justice-involved youth also had been in contact with child welfare at some point. One of these studies found that 10% of youth leaving the juvenile justice system end up in foster care within a year. Importantly, just as the case is made regarding juvenile justice, experts argue youth who come into contact with child welfare are treated differently, with youth of color more likely to move deeper into the system than White youth even when the situation that leads to their system contact is similar. And deeper system involvement often means worse outcomes as these youth grow older (<https://www.ncjrs.gov/App/Publications/abstract.aspx?ID=260498>).

B. DESCRIPTION OF ACTIVITIES: PROVISION OF TA TO ASSESS FEASIBILITY AND DEVELOP PFS CAPACITY

Sub-Recipients of TA services will be chosen through an open, transparent competition. In order to fully maximize the CNCS grant and match funds, NCCD will identify three successful Sub-Recipients through the competition to ensure depth and breadth of feasibility assessment support and services. NCCD will leverage its prior experience in developing and executing an open and competitive sub-grantee program for the federal government to create a similar process for Sub-Recipient selection. NCCD's development of an open competition will include the following.

* Development of a detailed request for proposals (RFP) describing PFS capacity building's youth development goals (specifically, targeting innovative interventions that prepare system-involved youth for success in school, active citizenship, productive work, and healthy and safe lives), particularly youth from communities that are disproportionately represented in the juvenile justice and child welfare systems. The RFP will also specify a goal to identify innovative interventions that prevent youth from unnecessarily entering the child welfare and juvenile justice systems. The RFP will specify the range of TA services available to Sub-Recipients, leveraging NCCD's existing PFS feasibility

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assessment experience. Time frame: Months 1 and 2 from notice of authorization to begin activities.

* The menu of TA services to be outlined in the RFP will build on lessons learned from our feasibility work to date and will include the following.

» Stakeholder Engagement, Facilitation, and Project Planning--NCCD will provide facilitated onsite and remote-based TA to bring stakeholders together with the purpose of refining and focusing the proposed intervention; developing consensus on feasibility assessment project goals, objectives, and work plan; facilitating stakeholder commitment and buy-in; and developing data-sharing agreements.

» Identifying the Target Population--NCCD will apply its extensive subject matter expertise and experience in applied analytics and complex data systems to help Sub-Recipients 1) test assumptions about the target population(s), and 2) estimate potential program impact on this population.

» Process Flow Analysis--In order to support the best chance of successful PFS project readiness, NCCD will apply its content expertise to conduct process flow analyses of programmatic components in order to thoroughly understand how individuals will move through and experience the intervention; identify ways the intervention can be improved; establish a quality assurance process to increase likelihood of program fidelity over the course of the PFS timeline and/or to improve reporting processes for data collection purposes, or to fine tune these processes for the identified target population; and document hiring and training policies and procedures.

» Articulating Anticipated Program Impact and Cost Savings--NCCD and our partners Potrero Impact Advisors and the City University of New York (CUNY) Institute for State and Local Governance will assist Sub-Recipients in calculating the anticipated cost-benefit of the proposed intervention by building on target population analysis and factoring in: 1) the financial cost of the intervention compared with the financial costs of current practice, and 2) other potential sources of cashable savings that will be realized through implementation of the intervention over time. NCCD will work with specific county or state department staff to develop operational implementation logic models for each intervention and identify necessary resources, potential limitations and constraints, and proposed strategies to address identified constraints related to programmatic implementation. If necessary, NCCD will provide support to Sub-Recipients to engage in a request-for-information process to identify an appropriate service provider(s).

» Defining Success--NCCD will work with the stakeholder group to clearly define success metrics in order to set the foundation for future structuring of success payments for

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demonstrated outcomes.

» Mitigating the Risk of Perverse Incentives--NCCD will help Sub-Recipients assess potential risks associated with defined success metrics and develop mitigation strategies. The goal is to engage Sub-Recipients, service providers, and stakeholders in a process that aims to prevent, to the extent possible, unintended harm to the target population resulting from financial incentives for specific outcomes.

» Developing High-Level Evaluation Design--NCCD will assess the specific circumstances that surround each potential intervention to determine a low-cost and accurate means of measuring levels of impact on intervention performance metrics.

» Developing TA Materials to Support Knowledge Sharing and Promote Learning--NCCD will help Sub-Recipients coordinate webinars, communication briefs, and other materials to support cross-site learning and overall information sharing about PFS feasibility assessment at a national level.

» Developing Summary-Level Initial PFS Deal Briefs--For each Sub-Recipient, NCCD will produce a summary-level initial deal brief that lays out the main features of the emerging PFS program, examines the project lifecycle cash flows, and makes the case for its likely success. Should feasibility assessment yield low viability of a proposed intervention within a PFS model, NCCD will document findings and lessons learned in a prospectus that can enhance the knowledge base on a national level.

* Broad dissemination of the RFP opportunity through NCCD communications channels, including the "NCCD Now" section of the NCCD website homepage, NCCD newsletters, social media, connection with partner agency websites and communication channels, e-news blasts to relevant state and local government agencies and government leaders, and philanthropic entities. Time frame: Month 3 from notice of award. The RFP will also include a time frame for submission of questions, which will be compiled and posted on NCCD's website with responses.

* Establishment and implementation of a peer review process, developed in conjunction with CNCS, to review and rate proposals according to defined scoring criteria and rubric that will address relevancy to issue area; degree of established evidence base for proposed intervention; level of existing stakeholder engagement and interest in participation in PFS feasibility assessment activities, including programmatic and cost data sharing and internal accountability structure for participation in feasibility assessment; and commitment to participate jointly with NCCD in a dissemination plan to contribute to the PFS capacity building knowledge base on a national level. NCCD will identify three

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national experts to serve on the peer review team. Peer reviewers will be paid a daily rate of \$650, consistent with the federal rate for peer reviewers, for time spent reviewing and scoring proposals and participating in web-based training to become familiar with the scoring criteria. A maximum number of days for review of applications will be established once the number of applications received is known. Time frame: Months 2 and 3 from notice of award; review and scoring in month 4 from notice of authorization to begin activities.

* Invitation to the top five scoring respondents to a phone interview to give NCCD the opportunity to gain any clarification on aspects of the application, as identified from the peer review process, needed to make final selection decisions. Scoring data will be archived as part of the project and provided to CNCS. Time frame: Month 5 from notice of authorization to begin activities.

* Coordination with CNCS regarding approval of Sub-Recipients and notification of successful selection. Other services and supports that will be provided to Sub-Recipients as a means to advance TA activities include access to NCCD's administrative support staff for project-related coordination and scheduling needs and to NCCD's communications team to develop effective messaging strategies for engaging stakeholders and educating their local communities about PFS's benefits. Time frame: Month 5 from notice of authorization to begin activities.

The anticipated range of the value of TA services to be provided to each Sub-Recipient is between \$80,000 and \$300,000. NCCD will develop specific budgets to track services delivered for each Sub-Recipient based on the services requested in Sub-Recipients' applications.

To ensure compliance with all legal and regulatory requirements, including strategy for provision of legal services to Sub-Recipients where necessary, NCCD will engage the services of Kirkland & Ellis, a partner to this application with NCCD. Kirkland & Ellis has committed to the provision of services to support feasibility assessment activities on a pro bono basis as part of the match funding requirement. Kirkland & Ellis will be engaged at all points of project activities, including development of the initial RFP to ensure that any potential conflicts of interest are identified and mitigated.

C. DESCRIPTION OF ACTIVITIES: PROPOSAL FOR KNOWLEDGE SHARING

1. SUPPORT OF NATIONAL EVALUATION AND BUILDING EVIDENCE FOR THE FIELD

As Grantee, we will support the national PFS competition evaluation by providing consultation to the Sub-Recipients to refine metrics selected to measure outputs, outcomes, and impacts; identifying and collecting data relevant to the PFS competition; and helping with the design and

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implementation of data-sharing arrangements and protocols to track performance and outcomes over time. NCCD will consult with the Sub-Recipients to identify gaps in current capacity to cooperate with the program-wide evaluation and will support efforts to fill those gaps.

NCCD will provide TA to the Sub-Recipients to build capacity to share and use output and outcome data according to the national evaluation team's needs. For example, after a Sub-Recipient compiles records for the national evaluation effort, NCCD can conduct data checking, data cleaning, and identification of data gaps to be considered before submission to the national evaluation team. To aid in the national evaluation effort, NCCD will provide data and data documentation to the evaluators according to data needs outlined in the final evaluation design.

Beyond specific efforts to support effective data collection and sharing, as Grantee, NCCD will support broad efforts to build evidence for the field on how funded organizations were effective in improving the lives of people served by those organizations. NCCD will provide expertise on subject-matter-specific research and evaluation challenges and opportunities. NCCD will further contribute to the growth of a professional community of philanthropies, federal government departments and agencies, state and local governments, and community-based organizations using innovative approaches with rigorous evaluation and research to address social challenges.

2. KNOWLEDGE SHARING

To support knowledge sharing and transparency, NCCD proposes an online resource hub for key project documents, including contracts, interim and final findings, and communications materials. Simply by accessing this webpage, stakeholders will be able to track all Sub-Recipients from proposal to project end. Additionally, NCCD will work with Sub-Recipients to create communications materials to discuss lessons learned at various points in the process and share them through various communications channels, including social media, targeted email blasts, print and email newsletters, and other targeted outreach. Webinars, tool kits, and information materials can be stored here and quickly referenced.

In addition, the proposed project team will conduct webinars in coordination with Sub-Recipients to ensure a diverse representation of the work to all interested stakeholders. NCCD staff will work with Sub-Recipients to identify interested audiences and best channels for reaching them. We will conduct targeted outreach to inform interested stakeholders of opportunities for learning and discussion and will archive webinars and other documents in the clearinghouse to ensure that they remain accessible.

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D. DESCRIPTION OF ACTIVITIES: PROPOSAL TO IDENTIFY, INNOVATE, EFFECTIVE SOLUTIONS

NCCD's approach to the focus and design of PFS feasibility projects on the priority issue area of positive youth development is unique and innovative in many ways. First and foremost, there are no current PFS initiatives to date focused on racial and ethnic disparity, though it remains the juvenile justice and child welfare systems' leading challenge. In his launch of the My Brother's Keeper initiative, President Barack Obama urged "stronger efforts to create more opportunities for young minority men and to improve conditions that keep them impoverished and imprisoned in disproportionate numbers" (<http://talkingpointsmemo.com/news/obama-plan-aims-to-improve-odds-for-minority-boys>). The current national attention around My Brother's Keeper is around the hundreds of millions of dollars being committed to the initiative; however, none of that funding is specifically committed to PFS projects. There is a real opportunity through NCCD's focused strategy to expand the PFS space for a critical population. NCCD's strategy to build PFS project capacity focuses on the convergence of positive youth development, addressing racial disparities in social systems, and the tenets of the My Brother's Keeper initiative; takes on a social challenge; and goes to where the problem is the greatest based on data.

We believe that many of the states we have identified as target geographical regions are poised to take on that opportunity. By defining geographic eligibility based on the most significant racial disparities in the juvenile justice and child welfare systems rather than the traditional approach of balancing regional boundaries, such as North/South, East/West, and urban/rural, this provides a balanced list that forces focus on a critical issue area. Furthermore, the RFP will specify that NCCD and CNCS are particularly interested in identifying innovative programs and interventions to address social challenges.

Current PFS projects in the juvenile justice arena focus on the cost of recidivism, or for purposes of cost saving are measured by a decrease in the use of jail and prison bed space. As of yet, no current PFS projects focus on the front end of the justice system: police actions, prosecutor discretion, court decision making, and government opportunities for increased violence prevention. Ironically, while there is strong philanthropic support for juvenile justice and child welfare interventions that focus on racial disparity, little if none of this financial support has been translated to determining the feasibility of a PFS juvenile justice and child welfare project, other than NCCD's current California initiatives. This grant represents a critical moment where PFS can be leveraged to achieve a powerful impact in communities where high rates of incarceration and system involvement have resulted in great harm

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to our children and families. NCCD provided the TA for the the "Report of the Attorney General's National Task Force on Children Exposed to Violence" (2012). The report highlighted the devastating impact of violence and trauma on our youth, from reduced cognitive functioning to decreased abilities to connect with others to reckless behavior. Positive youth development and PFS offer an opportunity to change the outcomes too long seen as inevitable for many of communities.

Additionally, many facets of the juvenile justice and child welfare fields are in need of innovation. Well-established, evidence-based practices that also reduce the cost of government are too frequently ignored because of the concern of being seen as soft on crime. Unlike other areas of government service, a climate of fear often prevents innovation and change in the area of justice services. As a result, these communities, both at the government and nongovernmental organization levels, have the least awareness of the PFS conversation and lack understanding of the untapped opportunity that PFS represents. The time is ripe for a change. The national debate on criminal justice policy has evolved, bringing Republicans and Democrats in Congress together to propose legislative reforms that would alter many of our current practices. NCCD has met with many elected officials and leaders of national, state, and local organizations. We have also conducted a webinar for the National Association of Counties on this issue. The focus that NCCD's approach proposes will increase interest and diversify the types of PFS application in the social sector. For example, pretrial assessments and service interventions are ripe for PFS, as they can yield great savings, reduce incarceration, address racial disparity, and improve public safety. A major obstacle in scaling promising pretrial interventions has been the lack of funding, which would be addressed through demonstration of the PFS feasibility assessment.

NCCD also has an array of tools and technology available to support project activities, including ZoomGrants, to implement and manage the open competition for selection of Sub-Recipients, and NCCD social media outlets, including Twitter, Facebook, e-blasts, and e-newsletters to broadly disseminate notice of the open competition and updates to the NCCD PFS webpage. NCCD can also use GoToMeeting and GoToWebinar to conduct remote-based TA and project meetings with Sub-Recipients and CNCS and to promote cross-site learning from feasibility assessment activities and national information sharing.

E. WORK PLAN AND DELIVERABLES

1. TASKS, DELIVERABLES, TIMELINES, AND STAFF

The following outlines major tasks and deliverables associated with the proposed work plan and

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indicates the lead staff who will be involved. The NCCD project team will be entirely staffed by existing NCCD employees. NCCD has identified three partner organizations: Protero Impact Advisors, CUNY Institute for State and Local Governance, and Kirkland & Ellis. Both NCCD staff roles and partner roles are described in greater detail in Section III. A., Capacity and Experience for Success. The work plan lists tasks and deliverables with anticipated dates and timeframes for completion, understanding that a final work plan and timeline will be developed jointly with CNCS. Note that Section III of this proposal lists the entire NCCD project team, including key members who will provide high-level content knowledge and expertise throughout the course of project activities. Senior members of the project team will be assigned to one or more of the Sub-Recipient project sites once the specific nature of applicant interventions is known and NCCD can best leverage its staff's domain expertise to specific project needs.

The following proposed timeframes are based on an award notice date of sometime prior to September 30, 2014, as stated in the grant notice, and an assumed project start date of October 1, 2014. The primary project staff associated with each activity are indicated.

YEAR 1

- * October 2014: In-person meeting with CNCS to finalize the details of the cooperative agreement, review work plan, and make revisions as necessary. (Lead staff: Alex Busansky, Kathy Park, Deidre O'Connor, Chris Hartney, Dan Crisafulli, Michael Jacobson.)
- * October 1 to December 1, 2014: Develop draft RFP for selection of qualified Sub-Recipients and submit to CNCS for review and approval with target date to receive and process feedback from CNCS and finalize RFP by December 1, 2014. (Lead staff: Deirdre O'Connor, Chris Hartney.)
- * December 1, 2014: Release RFP with an application deadline of 5:00 p.m. EST on January 15, 2015. (Lead staff: Deirdre O'Connor.)
- * November to December 2014: Selection and training (via web-based session) of peer reviewers on application scoring. (Lead staff: Deirdre O'Connor, Chris Hartney, Alex Busansky, Kathy Park.)
- * January 2015: Submit quarterly progress report to CNCS, assuming an October 1 start date. (Lead staff: Deirdre O'Connor.)
- * January 16-30, 2015: Peer review and application scoring. (Lead staff: Deirdre O'Connor, Chris Hartney, Kathy Park, Jesse Russell, Angela Irvine, David Muhammad.)
- * February 2-13, 2015: Phone interviews with top five Sub-Recipient applicants. (Lead staff:

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Deirdre O'Connor, Chris Hartney, Alex Busansky, Kathy Park.)

* February 16-20, 2015: Finalization of Sub-Recipient selection, in conjunction with CNCS. (Lead staff: Deirdre O'Connor, Chris Hartney, Alex Busansky, Kathy Park, Jesse Russell.)

* February 23, 2015: Notify successful Sub-Recipients. (Lead staff: Deirdre O'Connor.)

* February 23-27, 2015: In partnership with CNCS, prepare, finalize, and disseminate press release announcing Sub-Recipients; schedule initial onsite meetings with Sub-Recipients. (Lead staff: Erin Hanusa, Deirdre O'Connor, Chris Hartney, Alex Busansky, Kathy Park.)

* March and April 2015: Conduct initial 1.5-day onsite meetings with each Sub-Recipient stakeholder working group to formalize goals and objectives, develop a clear logic model for the feasibility assessment TA project, engage stakeholders about the proposed intervention, develop a specific work plan for TA service engagement, outline a plan for conducting target population identification, and conduct process flow analyses of the programmatic intervention. One week in advance of each site meeting, NCCD will conduct a 1.5-hour web meeting with each site contact to finalize meeting logistics and agenda. (Lead staff: Deirdre O'Connor, Chris Hartney, Kathy Park, Jesse Russell, Dan Crisafulli or Michael Jacobson, other key senior staff based on domain expertise.)

* April 2015: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)

* April 2015: Submit biannual financial report to CNCS. (Lead staff: Deirdre O'Connor.)

* April to September 2015: Weekly project calls with Sub-Recipient sites to assess progress on activities and review findings and outcomes, measured against the site's logic model; review identified risks to work plan and develop mitigation strategies. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, other key senior staff based on domain expertise.)

* May 2015: Finalize logic models and work plans, finalize programmatic and financial data sources, and secure data sharing agreements. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, Angela Irvine.)

* May and June 2015: Conduct a one-day onsite meeting with each Sub-Recipient stakeholder working group to review final logic models and work plans; set data collection goals to conduct target population analyses and intervention process flow analyses. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, other key senior staff based on domain expertise.)

* June to August 2015: Data collection and analysis for target population identification and process flow analyses. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell.)

* July 2015: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)

* July 2015: Conduct cross-site webinar for Sub-Recipients to share feasibility assessment TA

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logic models and scope of proposed interventions. (Lead staff: Deirdre O'Connor.)

* September 2015: Conduct one-day onsite meetings with Sub-Recipient stakeholder groups to present preliminary target population data and process flow analyses; discuss implications; determine what additional data points and information might be needed to complete programmatic impact analysis; adjust work plan as necessary. (Lead staff: Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, Dan Crisafulli or Michael Jacobson, other key senior staff based on domain expertise.)

YEAR 2

* October 2015: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)

* October 2015: Submit biannual financial report to CNCS. (Lead staff: Deirdre O'Connor.)

* October 2015 to September 2016: Weekly project calls with Sub-Recipient sites to assess progress on activities, review findings, and outcomes, measured against the site's logic model; review identified risks to work plan and develop mitigation strategies. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, other key senior staff based on domain expertise.)

* October 2015 to February 2016: Conduct financial budget analysis at the government level to identify potential sources of cashable savings within departments of interest; finalize target population analyses; work on defining performance metrics. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, Dan Crisafulli or Michael Jacobson.)

* November 2016: Conduct cross-site webinar for Sub-Recipients to share current status of their projects, lessons learned, successes, and challenges. (Lead staff: Deirdre O'Connor.)

* January 2016: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor, other key senior staff based on domain expertise.)

* January 2016: Conduct one-day onsite meetings with Sub-Recipient stakeholder groups to present the preliminary financial and budget analysis and finalized target population data; discuss implications; determine what additional data points and information might be needed; adjust work plan as necessary. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, Dan Crisafulli or Michael Jacobson.)

* March 2016: Review financial and budget analysis via web meeting with Sub-Recipient stakeholder working groups; initiate planning for high-level evaluation design, examining the specific circumstances that surround each potential intervention to determine a low-cost and accurate means of measuring levels of impact on intervention performance metrics. (Lead staff: Deirdre O'Connor,

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Chris Hartney, Jesse Russell, Dan Crisafulli or Michael Jacobson.)

- * April 2016: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)
- * April 2016: Submit biannual financial report to CNCS. (Lead staff: Deirdre O'Connor.)
- * April 2016: Conduct one-day onsite meeting with each Sub-Recipient--half a day with stakeholder working group to review the draft high-level evaluation plan and make refinements, and half a day with government budget/procurement staff to further assess capacity to structure success payments as part of a PFS contract. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, Dan Crisafulli or Michael Jacobson.)
- * May and June 2016: Finalize high-level evaluation plans for each Sub-Recipient and prepare a brief documenting capacity to structure PFS success payments. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, Angela Irvine, Dan Crisafulli or Michael Jacobson.)
- * June 2016: Conduct cross-site webinar for Sub-Recipients to share current status of their projects, lessons learned, successes, and challenges. (Lead staff: Deirdre O'Connor.)
- * July 2016: Submit quarterly progress report to CNCS (Lead staff: Deirdre O'Connor).
- * July to September 2016: Assist Sub-Recipients in identifying high-performing service providers with capacity to implement the identified interventions; develop program cost models. (Lead staff: Deirdre O'Connor, Chris Hartney, Dan Crisafulli or Michael Jacobson, other key senior staff based on domain expertise.)
- * September 2016: Conduct one-day onsite meeting with each Sub-Recipient stakeholder working group to review analysis of provider program costs and how these findings impact the overall cost-benefit analysis of the intervention in the PFS project context. (Lead staff: Deirdre O'Connor, Chris Hartney, Dan Crisafulli or Michael Jacobson.)

YEAR 3

- * October 2016: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)
- * October 2016: Submit biannual financial report to CNCS. (Lead staff: Deirdre O'Connor.)
- * October 2016 to September 2017: Weekly project calls with Sub-Recipient sites to assess progress on activities and review findings and outcomes, measured against the site's logic model; review identified risks to work plan and develop mitigation strategies. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, other key senior staff based on domain expertise.)
- * October to December 2016: Development of a summary deal brief for each Sub-Recipient that lays out the main features of the emerging PFS program, examines the project lifecycle cash

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flows, and makes the case for its likely success. Should feasibility assessment yield low viability of a proposed intervention within a PFS model, NCCD will document findings and lessons learned in a prospectus/case study that can enhance the knowledge base on a national level. (Lead staff: Deirdre O'Connor, Chris Hartney, Jesse Russell, Kathy Park, Dan Crisafulli or Michael Jacobson.)

- * January 2017: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)

- * January and February 2017: Conduct onsite presentation of deal briefs to Sub-Recipient stakeholder working groups and develop plan for broader community engagement, including potential service providers and funders, with the goal of positioning the project for the next phase of deal structuring. (Lead staff: Deirdre O'Connor, Chris Hartney, Kathy Park, Dan Crisafulli or Michael Jacobson.)

- * March and April 2017: Convene policy panel events and discussions in each Sub-Recipient's community on PFS and the proposed PFS project, highlighting the benefits to the local community. (Lead staff: Deirdre O'Connor, Chris Hartney, Kathy Park, Alex Busansky, other key senior staff based on domain expertise.)

- * April 2017: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)

- * April 2017: Submit biannual financial report to CNCS. (Lead staff: Deirdre O'Connor.)

- * May and June 2017: Prepare final TA reports for each Sub-Recipient. (Lead staff: Deirdre O'Connor, Chris Hartney.)

- * June 2017: Conduct final onsite meetings with Sub-Recipient stakeholder working groups to present final TA reports and assist with development of next steps. (Lead staff: Deirdre O'Connor, Chris Hartney, Kathy Park, Dan Crisafulli or Michael Jacobson, other key senior staff based on domain expertise.)

- * July 2017: Submit quarterly progress report to CNCS. (Lead staff: Deirdre O'Connor.)

- * August 2017: Prepare white paper on PFS feasibility assessment, based on the experiences and lessons learned from the project. (Lead staff: Deirdre O'Connor, Chris Hartney, Alex Busansky, Kathy Park, Erin Hanusa.)

- * September 2017: Submission of final financial and process reports to CNCS. (Lead staff: Deirdre O'Connor.)

Additionally, as part of project activities, NCCD will participate with CNCS and other Sub-Recipients in a Social Innovation Fund PFS learning community, meet with CNCS staff as needed to meet program objectives, and commit senior-level leadership and SIF project staff at annual meetings as scheduled by CNCS. These activities and associated travel will be integrated into the overall project

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workplan for each year as confirmation of dates and details are developed.

Organizational Capability

A. EXPERIENCE IN SELECTING AND WORKING WITH SUB-GRANTEES OR SUB-RECIPIENTS

1. EXPERIENCE DEVELOPING AN OPEN PROCESS TO SELECT SUB-RECIPIENTS

In 2012, NCCD developed a competitive grant program, making \$5 million in federal funds available to 43 local entities for the implementation of significant new federal regulations. Within a very quick timeframe from receiving the award to managing the grant program and working in close partnership with the US Department of Justice (DOJ) Bureau of Justice Assistance (BJA), NCCD drafted and published a detailed funding opportunity solicitation. Using existing social media tools, NCCD announced the funding opportunity and hosted two webinars describing the solicitation and demonstrating the application process. More than 250 agencies began the application process and 108 applications were submitted, requesting over 200% of the available funding.

NCCD managed the grant program using ZoomGrants, an online grant management application that includes application submission, peer review, award decisions, reporting, and invoicing functionality. During the application process, applicants commented positively on the ease of the application process and the level of support available from NCCD in responding to questions regarding the application.

NCCD engaged national subject matter experts in a peer review process, establishing five teams of three peer reviewers and assigning each team 22 applications to review. The peer reviewers were provided with a detailed scoring matrix that addressed each section of the application, with total points possible and criteria for awarding points within each section. Peer reviewers were trained on the scoring matrix, and review process documentation was demonstrated via a web meeting. Peer reviewers from across the nation were able to complete reviews of the assigned applications from their homes or offices in less than two weeks. Conference calls were scheduled to discuss the applications in which there was a significant divergence among peer reviewers. Many of them commented on the ease and efficiency of this process.

Award decisions were finalized by NCCD managers based primarily on peer review scores, ensuring diversity of facility type and size and national geographic distribution. Within a month of the application end date, 43 grants, totaling \$4.94 million, were awarded to locally run adult and juvenile detention and correctional facilities.

NCCD provides support and TA to grant recipients in meeting their grant-funded activities. Over

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the last two years, NCCD hosted 53 webinars for grantees on topics or activities that were common across many of the awarded applications and also conducted more than 25 regional implementation sessions. Grantees were also provided individual customized TA and coaching, as needed, when using grant funds for unique activities. All grantees are required to submit quarterly narrative reports and invoices for the grant-funded activities. These reports are submitted and reviewed via ZoomGrants, the online grants management application.

2. CAPACITY TO DEVELOP RELATIONSHIPS WITH LOCAL STAKEHOLDERS

NCCD has extensive existing relationships across the United States with a variety of state and local government entities, private service providers, community leaders and advocates, and philanthropic organizations working in the social service sector. Currently, NCCD has 147 projects, 13 of which are with international child welfare entities throughout Australia, Bermuda, Canada, Singapore, and Taiwan. Many of these projects represent long-standing, multi-year relationships with client project sites and funders who have come to know and experience NCCD as a trusted partner in helping them achieve their goals.

B. PROJECT EXPERIENCE WITH PFS, SOCIAL FINANCING, AND RELATED ACTIVITIES

1. PRIOR AND ONGOING EXPERIENCE CONDUCTING PFS FEASIBILITY ASSESSMENT

NCCD is currently funded by The California Endowment to work with two California counties to explore the feasibility of a delinquency prevention intervention among a child-welfare-involved population and a restorative justice program to divert youth, pre-charge, from the juvenile justice system. NCCD is also working with the state of California to explore a PFS alternative to the traditional prison experience for young adults ages 18 to 25, called the California Leadership Academy. NCCD's extensive data collection and analysis capabilities resulting from decades of working with complex databases from state and local jurisdictions across the country, along with programmatic and policy domain expertise, solidly positions NCCD to be a leader in feasibility work, helping units of government to move toward PFS project construction. Our current work has involved convening interested government stakeholders across departments, analyzing current outcomes data, defining target populations and their needs, educating local service providers, evaluating the impact of potential interventions, and undertaking cost-benefit analyses of potential interventions.

NCCD has technical expertise across multiple social service domains, working extensively with state and county jurisdictions throughout the United States to achieve better social outcomes for at-

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risk youth and families. NCCD has been a driver of innovative and evidence-based solutions to address social justice problems grounded in extensive research and analysis, making us uniquely qualified to assist Sub-Recipients in assessing the evidence base of innovative, local solutions to address positive youth development in their communities.

NCCD's significant national capabilities also offer an avenue for nationwide scaling of PFS feasibility best practices. The combination of current groundwork and available technical expertise translates to an incredible opportunity for the CNCS Social Innovation Fund's goals of enhancing PFS capacity and diversity of PFS projects nationally.

C. EXPERIENCE IN PROJECT MANAGEMENT

NCCD is a private, nonprofit research and consulting agency specializing in juvenile justice, child welfare, and adult criminal justice issues. NCCD promotes just and equitable social systems for individuals, families, and communities through research, public policy, and practice. By formulating innovative, data-driven approaches to public safety and advising hundreds of agencies on effective and cost-efficient policies, strategies, and programs, our studies and policy recommendations continue to revolutionize the field. NCCD has long been at the forefront of translating research to practice by working with federal, state, and local agencies to conduct research that has practical and direct implications for practice improvement. Finally, NCCD recognizes that some of the most vulnerable populations are involved in multiple systems and conducts research and policy analysis related to cross-systems collaboration and preventing children, youth, and families from becoming involved in multiple systems. The extensiveness and depth of NCCD's TA and analytic research capabilities provides a unique capacity to use our multiple lenses of expertise to critically examine issues related to youth delinquency, juvenile justice, and child welfare and to ensure that the PFS feasibility assessment fully examines and addresses questions of appropriate and accurate outcome measures, potential social impact, scalability, and the cost-benefit of proposed interventions.

NCCD's highly qualified programmatic and research staff employ quantitative and qualitative methods to conduct impact and process evaluations using various research design and methodological approaches and have extensive experience managing large, federally funded projects. Recent and current federally funded research and TA projects include: 1) the Office of Juvenile Justice and Delinquency Prevention (OJJDP)-funded study of eight risk assessments in 10 jurisdictions in consultation with an advisory board of juvenile justice researchers; 2) the TA provider for the National PREA Resource Center (PRC), a multi-year cooperative agreement with BJA; 3) the TA provider for

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the US Attorney General's Task Force on Children Exposed to Violence, a cooperative agreement with OJJDP; 4) a comprehensive California research project to identify girls' pathways to gang involvement, the nature of their involvement in gang activities, and prevention and intervention strategies to reduce that involvement; 5) a large-scale national survey project, funded by the Office of Victims of Crime, to measure the extent to which victim-oriented restorative justice programs are culturally responsive; 6) a multi-site process and outcome evaluation of Parents Anonymous using longitudinal qualitative and quantitative research methods to examine the outcomes associated with the parent leadership and support group in their national child abuse prevention programming; 7) the California Gang Prevention Network project, funded by The California Endowment and California Wellness; 8) a multi-site process and outcome evaluation of the OJJDP--funded community assessment centers; 9) the California initiative of the Sierra Health Foundation to implement a positive youth development program in four counties; 10) a multi-year, random-control trial to evaluate the impact of the Avon Park Youth Academy job training program for medium-risk youth in secure care in Florida; and 11) the Public Welfare Foundation-funded Juvenile Deincarceration report, a result of five regional focus groups, 50 telephone interviews, and a national convening of advisors and stakeholders.

In addition to successful management of large-scale federal projects, NCCD has worked with numerous child welfare and juvenile justice agencies in the United States and internationally conducting research, developing and implementing predictive risk models, and assisting with data-driven management systems and other aspects of practice improvement, all of which lend critical expertise in PFS feasibility assessment. NCCD has conducted more than 70 risk assessment instrument validation studies, including those for juvenile justice agencies in New Mexico; Arizona; Missouri; Indiana; Virginia; Cook County, Illinois; Wisconsin; Nevada; Travis County, Texas; Maryland; and North Carolina. Additionally, NCCD has constructed and validated risk assessments for child welfare services in more than 18 jurisdictions, including sites in Australia and Canada, and for adult protective services in New Hampshire, Texas, and Virginia.

Another strength demonstrating NCCD's organizational capacity and project management experience is its strategic communications infrastructure which is leveraged to support a variety of internal and external projects. As previously mentioned, NCCD's work as the TA provider for PRC involved the creation of a dedicated website to serve as a resource clearinghouse to its grantees and to facilities across the country in need of support and TA to meet federal standards related to prison safety. This website has drawn nearly 300,000 visitors over the last two years. The communications

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team actively works to create a vibrant and dynamic digital presence that serves to elevate and promote the value of NCCD's work and the work of its partners. In addition to PRC, NCCD's strategic communications capabilities provided critical project support to the previously noted Task Force on Children Exposed to Violence project in promoting each of the four national convenings. This work involved extensive preparation of speaker notes, written testimony, coordination of press releases with DOJ, and development of various external communication pieces to disseminate findings and recommendations. Finally, our communications team and highly professional administrative team provided core infrastructure support for the national NCCD Conference on Children, Youth, and Families, which drew approximately 400 attendees across multiple social service systems, representing a diverse set of stakeholders, including social service agencies, community service providers, foundations, and advocates.

D. COMMITMENT TO PFS BEYOND GRANT

As described above, NCCD currently has three PFS projects (in child welfare, restorative justice, and young adult corrections) and is pursuing others. These projects, the first of their kind in California and most of the country, have established NCCD as a PFS knowledge leader in general, and specifically with regards to PFS application to the social welfare, juvenile justice, and criminal justice arenas. This has also allowed NCCD to establish working relationships with national PFS leaders such as Third Sector Capital and with philanthropic foundations, private industries, and state and county elected officials and agency heads, each of whom are themselves committed to pursuing PFS strategies. NCCD views PFS and, more broadly, outcomes-based compensation for service delivery, as an essential part of the future of quality and sustainable programming and services for needy individuals and communities, especially those historically marginalized, such as young people of color in impoverished neighborhoods. For these reasons, NCCD has committed a large part of its staff time and development activities to the pursuit of PFS projects and the promotion of PFS as a potential funding mechanism for new and ongoing efforts to improve outcomes in the social service, public health, education, justice, and corrections sectors. NCCD is also committed to the education of stakeholders of all types--from community members and local providers to county and state legislators and executives to private investors--about PFS objectives and processes, as well as the rational consideration of its advantages, disadvantages, and potential obstacles in various settings.

Sub-Recipients will be positioned to continue and broaden their use of PFS in several ways after the initial project periods. The PFS infrastructure established in the jurisdiction of each Sub-Recipient,

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whether or not their intervention is deemed PFS viable, will include: formalized procedures for educating and training staff in PFS project development and maintenance; procedures for maintaining relationships established in the PFS development process, including those with third-party intermediaries and other experts, other relevant county and state government offices, community members, and other Sub-Recipients; and procedures for documenting the PFS process, obstacles, and lessons learned and the sharing of this information across peer agencies and governments, such as nearby counties, and with other Sub-Recipients so that the experience becomes part of the institutional knowledge base and practice moving forward. Those projects deemed viable for PFS funding will also include encouragement and, if possible, financial incentives for investors to reinvest success payments back into the ongoing programs. Other methods for ensuring Sub-Recipients are prepared to further pursue PFS will be identified and incorporated during the project period.

Leadership and Team

A. CAPACITY AND EXPERIENCE FOR SUCCESS

1. NCCD KEY PROJECT TEAM MEMBERS

NCCD intends to devote concerted time from within its key leadership positions to ensure the success of this project and to staff the analytic work with its most highly skilled analysts and research staff.

* Alex Busansky, NCCD President, joined the organization in 2010. At NCCD, he has been directly involved in NCCD's PFS efforts, working with foundations, government agencies, partner groups, and others to develop and advance PFS projects in the child welfare and justice areas. In addition to his responsibilities as NCCD president, Mr. Busansky has played a significant role in a number of NCCD's recent initiatives, including the Attorney General's Task Force on Children Exposed to Violence and the development of PRC. In 2011, he served as a member of the Los Angeles County Commission on Jail Violence. Mr. Busansky is a former prosecutor who began his career at the Manhattan District Attorney's Office in 1987. During more than a decade of work at the district attorney's office, he handled homicides, serious domestic violence and other family violence, and sex abuse cases. In 1998, he left New York City to work for DOJ, becoming a trial attorney in the Criminal Section of the Civil Rights Division in Washington, DC. For nearly five years, he investigated and prosecuted cases across the country involving excessive use of force by federal, state, and local law enforcement and corrections officers and racial and religious hate crimes. In 2002, he was detailed to the US Senate Judiciary Committee, becoming counsel to US Senator Russ Feingold of Wisconsin. In that role, he worked on a broad range of juvenile justice, criminal justice, and homeland security

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issues, including developing strategies to address the USA Patriot Act, drafting legislation concerning the use of excessive force by US Customs agents, and developing the Anti-Gang Act. In 2004, Mr. Busansky joined the Vera Institute of Justice as executive director of the Commission on Safety and Abuse in America's Prisons. He was the founding director of Vera's Washington, DC, office, where he led Vera's work on numerous national and local projects and worked to develop new initiatives for Vera. Mr. Busansky also served as an adjunct professor at American University School of Law, co-teaching the prosecution seminar. He earned his JD at the Georgetown University Law Center. He received a BA in history from the University of Wisconsin--Madison. Mr. Busansky will serve as executive sponsor of the project and will devote up to 5% time to grant activities, providing high-level oversight and sponsorship of the project. His primary role will be leveraging existing relationships and cultivating new relationships with philanthropic organizations to raise matching funds over the course of the three-year project period.

* As vice president of NCCD, Kathy Park provides oversight and accountability for programmatic efforts and organizational operations across NCCD's offices in Madison, Wisconsin; Oakland, California; and Washington, DC. Most recently she has played a key role in NCCD's PFS feasibility assessment projects in California and has devoted her entire professional career to making a difference in the lives of adults and children impacted by abuse and neglect. Ms. Park's experience includes provision of direct services, TA and training, and research and policy in child and adult protection. In 1992, inspired by a desire to prevent youth from escalating within and across the child welfare-juvenile justice-adult corrections systems, she began working as a child protective services front-line investigator with the Georgia Department of Human Resources. She went on to work in ongoing family preservation, in supervising a blended child and adult protection unit, and at the state's protective services policy unit. She joined NCCD in September 2000 and has worked in partnership with numerous state and local social services agencies across the United States and internationally on the development and implementation of Structured Decision Making® (SDM) decision-support systems for child welfare, adult protection, and economic support programs to improve reliability, validity, and equity of assessment practices. She has a BA in psychology and an MA in organizational management. Ms. Park will serve as project director/principle investigator and will devote up to 20% time to high-level management and oversight of project activities and will participate actively in onsite TA activities with Sub-Recipients related to stakeholder and community engagement.

* Jesse Russell, PhD, NCCD Director of Research and Analytics, has experience directing national, multi-site research and evaluation projects. He has served as the principal investigator for

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projects supported by OJJDP, the US Department of Health and Human Services, Casey Family Programs, and the Children's Bureau, among others. Dr. Russell has played a lead role in NCCD's current feasibility assessment work in California. Prior to coming to NCCD in 2012, Dr. Russell was research manager at the National Council of Juvenile and Family Court Judges, where he oversaw the Courts Catalyzing Change evaluation study, tracking use of a judicial decision-making instrument and foster care outcomes in Nebraska, Oregon, and California. Dr. Russell's research on child welfare, foster care, courts, and broad system improvement efforts have been published broadly, including in the *Journal of Juvenile Justice*; *Children and Youth Services Review*; and *Psychology, Public Policy, and Law*. He will devote 20% time to the project to provide oversight on the development of data collection protocols, analytic methods, and logic model development. He will directly supervise analysis of target population data.

* David Muhammad, NCCD Director of National Justice Programs, is a nationally recognized expert in the fields of justice, violence prevention, and youth development and leads work on the Sierra Health Foundation's Positive Youth Justice Initiative in California. Prior to joining NCCD in January 2014, Mr. Muhammad served as the Alameda County chief probation officer, where he worked on implementing his RYTE with Youth program. (RYTE stands for restorative justice, youth development, trauma-informed care, and effective practice.) Mr. Muhammad also served as deputy commissioner of probation in New York City, the second largest probation department in the country, and as chief of committed services for the Washington Department of Youth Rehabilitation and Services, where he was responsible for the long-term juvenile facility and supervision of committed youth who were in the community. Most recently, he served as the CEO of Solutions, Inc. He will provide high-level content expertise and knowledge to guide feasibility assessment of proposed interventions that address justice issues and will devote 10% time to the project.

* Angela Irvine, PhD, NCCD Director of Research and Program Evaluation, has more than 20 years' experience in education and social policy. She joined NCCD in 2011 and is currently serving as the principal investigator of a national study of LGBT youth in the juvenile justice system; a project to improve permanency for LGBT youth and youth of color within the criminal justice and juvenile justice systems; and a National Institute of Justice researcher-practitioner partnership grant in Santa Cruz County to determine whether structured decision making instruments used by adult probation departments can lead to more equitable probation outcomes for Latinos and women. She is also the director of the NCCD Center for Girls and Young Women. She will devote 5% of her time to this

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project, providing content expertise and high-level oversight of process flow analyses activities.

* Deirdre O'Connor, MSW, LCSW, NCCD Senior Program Specialist, has worked with NCCD since 2004. Since then, she has partnered with numerous jurisdictions throughout the United States and internationally to improve child protection systems and practice. She has more than 20 years' child welfare experience, from direct case management to deputy direction of Alaska's public child welfare agency, monitoring and managing workload across numerous urban, rural, and remote field offices. As a past child welfare administrator, she has an extensive understanding of federal child welfare funding, regulations, and oversight, including the Child and Family Services Review and Title IV-E funding. More recently, Ms. O'Connor has worked with several DOJ-funded projects. Additionally, she recently developed and continues to manage a grant-making program for PRC, funded through cooperative agreement between BJA and NCCD. She has a BA in economics from the University of California, San Diego and an MSW from Loyola University of Chicago. She will devote 75% of her time to the project as the primary Project Manager.

* Chris Hartney, NCCD Senior Researcher, has worked with the organization since 2001, and has two decades of professional experience in research and statistics. Mr. Hartney's work at NCCD has been funded by various federal, state, and local government agencies and philanthropic foundations. His most recent work includes the development of a new approach to prison for young adults, emphasizing intensive strengths-based rehabilitative and educational services in small secure facilities. Part of this project is a feasibility assessment of using a PFS mechanism to fund service delivery. Mr. Hartney's prior NCCD work has included a national evaluation of the Juvenile Detention Alternatives Initiative; bed space needs forecasts for youth tried as adults in Baltimore, Maryland, and for juvenile justice-involved youth following Arkansas system reforms; a review of the causes and impacts of youth deincarceration in California's youth prison system; a national evaluation of Parents Anonymous; the potential cost savings of alternatives to incarceration for non-serious adult offenders; the validation of an SDM® system in Washington, DC; the interplay of media coverage, public sentiment, data trends, and policy making with regard to youth violence in major US cities; and a survey of health care access for system-involved youth in 58 California counties. Mr. Hartney has authored several NCCD publications documenting disproportionate representation of people of color in the justice system and other issues in justice and corrections, including spotlights on women, Native American youth, youth younger than 18 in the adult corrections system, and international corrections. He is co-author of several peer-reviewed articles and has presented study findings before a variety of professional, governmental, and community groups. Prior to joining NCCD, his research

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work included educational assessment and health impacts in communities exposed to industrial accidents. Mr. Hartney has a BA from the University of California, Berkeley and has completed all master's level coursework in experimental psychology at San Francisco State University. He will devote 50% time to the project, working closely with Ms. O'Connor on project management functions and data analysis for target population identification and process flow analyses.

* Chris Scharenbroch, NCCD Research Associate, has extensive experience with data analysis, data collection, and technical support. Since joining NCCD in 2001, he has worked on a variety of projects, including risk assessment analyses for child protective services agencies in Minnesota; California; and Queensland, Australia. He has developed SDM data management reports for jurisdictions in Minnesota, California, New Jersey, Virginia, and Queensland. In 2004, he began serving as the primary analyst for ad hoc analytics, a data analysis and reporting service retained by various jurisdictions in the state of California. Mr. Scharenbroch received his bachelor's degree in sociology with a concentration in analysis and research from the University of Wisconsin--Madison. Mr. Scharenbroch will devote 45% of his time to the project conducting data analysis to support feasibility assessment activities.

* Angela Fitzgerald, NCCD Senior Researcher, has a strong background in the implementation and evaluation of evidence-based risk reduction and health promotion programming for at-risk populations, as well as project coordination. Ms. Fitzgerald has an MS in social psychology from Virginia Commonwealth University, where her research focused on culturally competent approaches to the implementation of HIV prevention and health promotion interventions. Following graduate school, she worked as a research associate with Richmond Behavioral Health Authority, where she was primarily responsible for grant writing, the evaluation of federally funded addiction treatment programs for at-risk groups, identifying and implementing performance measures, analyzing and interpreting the data, and preparing reports and presentations of the findings. Most recently, Ms. Fitzgerald worked as the program evaluator for the Virginia Department of Health's Maternal, Infant, and Early Childhood Home Visiting Program, a policy initiative designed to improve health and development outcomes for at-risk children through evidence-based home visiting programs. Ms. Fitzgerald has used her grant writing and evaluation experiences to assist nonprofit organizations with their funding and evaluation needs. She has held several appointments as adjunct faculty with colleges and universities, where she taught undergraduate psychology courses, and has co-authored several peer-reviewed journal articles and conference presentations. She joined NCCD in May 2014. She will devote 20% of her time to provide content expertise and assist with development of

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process flow analyses and other project support with Sub-Recipients.

* Antoinette Davis, NCCD Senior Program Specialist, has been with NCCD since 2007. She has worked in nonprofit and educational research and policy for over two decades. Ms. Davis' prior work focused on developing, assessing, and improving community and school-based programs for vulnerable and underserved communities. Her research interests center on issues regarding youth of color, specifically on the correlation of systems failure and delinquency. She is committed to developing policies and programs to decrease racial and ethnic disparities within the juvenile and criminal justice systems and to improve lives. Ms. Davis has co-directed and managed a variety of local, state, and national process and outcome evaluations, and has also assessed the impact of a variety of juvenile justice-related policies, programs, and interventions. Ms. Davis is the co-consultant for Alameda County's Enhanced DMC Project. In this role, she developed training manuals and materials highlighting and investigating the root causes of racial and ethnic disparities in the local justice system. She was also part of the NCCD's TA team for the Attorney General's Task Force on Children Exposed to Violence and is lead researcher on an evaluation of Annie E. Casey Foundation's Juvenile Detention Alternative Initiative. Ms. Davis has bachelor's degrees in political science and organizational communications studies and a master's degree in public affairs, specializing in public policy analysis and program evaluation, from Arizona State University. She will devote 20% of her time to the project, providing content expertise to support feasibility assessment TA.

* Erin Hanusa, NCCD Senior Communications Manager, joined NCCD in 2007. As senior communications manager, Ms. Hanusa leads the communications department, ensuring the quality and consistency of NCCD's external and internal organizational communications and outreach, as well as conducting issue- and project-specific campaigns. She has broad experience in writing, editing, and publication design for a variety of audiences and users in both print and digital media. Ms. Hanusa received her MFA from the University of Virginia and her BA in English from the University of Wisconsin-Madison. She will devote 20% of her time to the project to support both NCCD and CNCS related communications as well as support communications planning and strategies with Sub-Recipients. Her time will be provided as in-kind toward the grant match requirement.

* Michael Magnaye, NCCD Development Director, is responsible for raising funds to support the organization's operations and programs. His job is to cultivate strong philanthropic relationships with foundations, corporations, and individuals. Mr. Magnaye has more than 14 years of development and fundraising experience in the fields of education, health care, international development, and the media. Prior to joining NCCD in 2012, he was the development director for California at College

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Summit, a college readiness program for low-income high school students, and was responsible for fund development in Greater Los Angeles and the San Francisco Bay Area. He has held staff positions with many organizations, including Southwest Community Health Center, Asian & Pacific Islander American Health Forum, International Development Exchange, and The Girl Scouts. He has also worked internationally with the United Nations Children's Fund (UNICEF) in Riyadh, Saudi Arabia. Prior to his nonprofit work, Mr. Magnaye was a documentary filmmaker in the 1990s. His award-winning work has been screened at US and international film festivals and broadcast on public and cable television stations worldwide. Born and raised in the Philippines, Mr. Magnaye attended the University of the Philippines (BA honors, 1985) and Stanford University (MA, 1993). He will devote 15% of his time to the project to support fundraising activities. His time will be provided as in-kind toward the grant match requirement.

2. PARTNER AGENCIES

To complement NCCD's expertise in programmatic feasibility assessment, NCCD has commitments from two outstanding partners to focus on financial and legal analysis of PFS feasibility assessment for Sub-Recipients as follows.

* Potrero Impact Advisors provides tailored services to clients seeking positive impacts along with targeted financial returns, combining the acumen of traditional investing with rigor in analysis of social impact. Potrero Impact Advisors fields specialized teams of senior professionals for due diligence, program and fund structuring, portfolio reviews, and market analysis in fields including health, education, and community development. NCCD will partner specifically with Dan Crisafulli, managing director and founder of Potrero Impact Advisors. Prior to founding Potrero Impact Advisors in 2011, Mr. Crisafulli served as the Skoll Foundation's director of investments for four years. A leader in "new philanthropy" and social investing, the Skoll Foundation was created by eBay founding president Jeff Skoll, with the goal of driving large-scale change through entrepreneurial approaches. Mr. Crisafulli led Mr. Skoll's work in impact investing, including oversight of the Skoll Centre at Oxford University, which incubated the original social impact bond implemented in Peterborough, England. Within the scope of this project, Mr. Crisafulli will leverage the financial knowledge and expertise of Potrero Impact Advisors in impact investing to provide feasibility analysis and design to support to position projects for the financial structuring of each Sub-Recipient, and other financial and contracting support as required.

* NCCD will work with Michael Jacobson and Marc Shaw of the CUNY Institute for State

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and Local Governance. Its mission is to assist current and future leaders in government and non-government organizations, nationally and internationally, by offering research, TA, and executive development to help achieve improvements in the structure, financing, delivery, measurement and evaluation of critical public services. The institute works with state and local governments, public benefit organizations, nonprofit organizations, public charities, and the private sector. Prior to this, Mr. Jacobson was the president of the Vera Institute of Justice, where he led the creation of the federally funded Cost-Benefit Analysis Unit. He also was part of the Vera team that served as the evaluator of the current PFS project at Riker's Island, New York, which focuses on youth recidivism. Prior to joining Vera, he was New York City's correction commissioner and served as New York City's probation commissioner. He also worked in the New York City Office of Management and Budget from 1984 to 1992 as deputy budget director. Mr. Jacobson will use his vast government experience to help develop government budgeting and cost-saving information needed to fully understand whether a promising initiative is economically feasible.

* Kirkland & Ellis LLP has a 100-year history of providing exceptional service to clients around the world in complex litigation, corporate and tax, intellectual property, restructuring, and counseling matters. Specifically, NCCD will engage Samantha Good on this project. Ms. Good is a corporate partner in Kirkland & Ellis LLP' San Francisco office. She concentrates her practice on debt financing transactions, including secured and unsecured financings; cross-border transactions; workouts; restructurings; debtor-in-possession and exit financings; and first-lien, second-lien, mezzanine, and subordinated debt financings. She has been recognized by Chambers USA in the area of banking and finance and in the 2013 and 2014 editions of The Best Lawyers in America as a leading banking and finance lawyer. Prior to relocating to San Francisco, Ms. Good was repeatedly recognized in the Los Angeles Business Journal's "Who's Who in Law" as one of the top 10 corporate attorneys in Los Angeles. Ms. Good has committed in-kind services to NCCD to support feasibility assessment activities to ensure compliance with all relevant legal and regulatory requirements and to identify any legal issues pertaining to readiness for PFS deal construction by Sub-Recipients.

B. PROJECT LEADS

PRINCIPLE INVESTGATOR/PROJECT DIRECTOR: Kathy Park, NCCD Vice President--As vice president of NCCD, Kathy Park provides oversight and accountability for programmatic efforts and organizational operations across NCCD's offices in Madison, Wisconsin; Oakland, California; and Washington, DC. Most recently she has played a key role in NCCD's PFS feasibility assessment

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projects in California and has devoted her entire professional career to making a difference in the lives of adults and children impacted by abuse and neglect. Kathy's experience includes provision of direct services, TA and training, and research and policy in child and adult protection. In 1992, inspired by a desire to prevent youth from escalating within and across the child welfare-juvenile justice-adult corrections systems, she began working as a child protective services front-line investigator with the Georgia Department of Human Resources. She went on to work in ongoing family preservation, in supervising a blended child and adult protection unit, and at the state's protective services policy unit. She joined NCCD in September 2000 and has worked in partnership with numerous state and local social services agencies across the United States and internationally on the development and implementation of SDM decision-support systems for child welfare, adult protection, and economic support programs to improve reliability, validity, and equity of assessment practices. She was first hired as a senior research associate and was subsequently promoted to the positions of senior program specialist, associate director of NCCD Children's Research Center, and most recently to vice president in 2011. She has a BA in psychology and a MA in organizational management.

PROJECT MANAGER: Deirdre O'Connor, MSW, LCSW, NCCD Senior Program Specialist--Ms. O'Connor has worked with NCCD since 2004. Since then, she has partnered with numerous jurisdictions throughout the United States and internationally to improve child protection systems and practice. Recent projects have included developing, implementing, and evaluating a structured screening assessment; developing an enhanced practice model for child protection hotline workers and supervisors; developing and implementing continuous quality improvement processes for child protection agencies; and partnering with a Native American tribe to implement the SDM assessments for child protection. Each project has involved extensive analysis of local, state, and applicable federal or national statutes, as well as understanding the community and public context in which the agency operates. Ms. O'Connor has more than 20 years' child welfare experience, from direct case management to deputy direction of Alaska's public child welfare agency, monitoring and managing workload across numerous urban, rural, and remote field offices. As a past child welfare administrator, she has an extensive understanding of federal child welfare funding, regulations, and oversight, including the Child and Family Services Review and Title IV-E funding. More recently, Ms. O'Connor has worked with several DOJ-funded projects. As lead staff for the Attorney General's Task Force on Children Exposed to Violence, she led a team to produce four national two-day hearings in different locations that covered the critical subtopics of family violence, community violence, sexual violence, peer violence and bullying, witnessing violence, historical trauma, and the impacts of

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trauma on the developing brain. Additionally, she recently developed and continues to manage a grant-making program for PRC, funded through cooperative agreement between BJA and NCCD. This competitive grant program made funds available to local agencies for the implementation of significant new federal regulations. Ms. O'Connor continues to provide support and technical assistance to many of the 43 successful applicants, monitoring more than \$4.8 million in grant-funded activities. She has a BA in economics from the University of California, San Diego and an MSW from Loyola University of Chicago.

PROJECT TEAM LEAD: Christopher Hartney, Senior Researcher--Mr. Hartney has worked with NCCD since 2001 and has two decades of professional experience in research and statistics. His work at NCCD has been funded by various federal, state, and local government agencies and philanthropic foundations. His most recent work includes the development of a new approach to prison for young adults, emphasizing intensive strengths-based rehabilitative and educational services in small secure facilities. Part of this project is a feasibility assessment of using a PFS mechanism to fund service delivery. Mr. Hartney's prior NCCD work has included a national evaluation of the Juvenile Detention Alternatives Initiative; bed space needs forecasts for youth tried as adults in Baltimore, Maryland, and for juvenile justice-involved youth following Arkansas system reforms; a review of the causes and impacts of youth deincarceration in California's youth prison system; a national evaluation of Parents Anonymous; the potential cost savings of alternatives to incarceration for non-serious adult offenders; the validation of an SDM system in Washington, DC; the interplay of media coverage, public sentiment, data trends, and policy making with regard to youth violence in major US cities; and a survey of health care access for system-involved youth in 58 California counties. Mr. Hartney has authored several NCCD publications documenting disproportionate representation of people of color in the justice system and other issues in justice and corrections, including spotlights on women, Native American youth, youth younger than 18 in the adult corrections system, and international corrections. He is co-author of several peer-reviewed articles and has presented study findings before a variety of professional, governmental, and community groups. Prior to joining NCCD, his research work included educational assessment and health impacts in communities exposed to industrial accidents. Mr. Hartney has a BA from the University of California, Berkeley and has completed all master's level coursework in experimental psychology at San Francisco State University.

Budget Adequacy & Cost Effectiveness

A. BUDGET JUSTIFICATION

A. Personnel--The salaries listed are based on actual annual salaries for Fiscal Year 2014-15, plus

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projected annual salary increases of 2.5% in subsequent years.

B. Fringe Benefits--This total fringe cost includes NCCD's standard employee fringe benefits package, which includes medical and dental insurance, life insurance, long-term disability coverage, and a pension program. Also included are legally mandated employer contributions, such as FICA and worker's compensation insurance coverage.

C. Travel--Airfare is estimated using current estimated online booking rates. Ground transportation includes travel to and from the airport, cab fares, auto rental, parking, and tolls. Per diem is calculated based on current GSA rates for each location and includes lodging.

D. Equipment--None

E. Supplies--Supplies includes all expendable office supplies, including but not limited to paper, presentation materials, overheads, binding supplies, expensed office equipment and maintenance, pens, pencils, markers, staples, tape, clips, index cards, name labels, and filing supplies. These supplies are needed for the general operation of the project and are an estimate based on personnel costs during the period.

F. Construction--None

G. Consultant/Contracts--As specified

H. Other Costs

a. Communications includes printing and duplication costs for the production of reports, correspondence, and overall project management. Also included as part of this cost are services for telephone, fax, postage and delivery costs as needed for general project operations, and internet access costs as needed for general project operations.

b. Computer network and management information systems includes the costs of sustaining NCCD's computer network systems, allowing staff access 24 hours a day, seven days a week. This includes software applications, intranet, and server access.

c. Each project is allocated its proportionate share of occupancy costs based on the percentage of personnel costs in the project to all personnel costs and historical averages of occupancy costs as a percentage of personnel costs.

I. Indirect--NCCD has an approved indirect rate of 50.41%. (See attached OJP Negotiated Agreement.)

B. DESCRIPTION OF MATCH SOURCES AND CAPACITY

NCCD has three offices in Washington, DC; Madison, Wisconsin; and Oakland, California.

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NCCD works with local, state, and federal agencies and funders across the country, bringing experience and relationships that will allow us to attract the required additional funding for this important PFS initiative.

NCCD has an operating budget of \$16 million. NCCD has a diversified revenue stream with approximately 23% from federal grants and contracts, 45% local and state grants and contracts, and 20% from foundations and individual donors. NCCD is in a strong financial position. Our current financials allow NCCD to commit the required 10% match for the first year from our general operating funds. We are also able to commit both significant development and communications support without increasing the budget for this initiative.

As development director, Mr. Magnaye serves with primary responsibility over foundation and private revenue. He will dedicate time and resources to helping Sub-Recipients cultivate relationships with local foundations and grant makers to raise matching funds. In addition, NCCD has an annual appeal and gala that can be leveraged to help bring attention and funding to this initiative.

Working closely with Ms. Hanusa, NCCD will use both the NCCD website and our social media presence to bring attention to the PFS initiative. Already, NCCD has run a month of content dedicated to PFS on their signature home page effort "NCCD Now."

For additional funding above the 10% requirement, our strong relationships with private and foundation philanthropies give us the ability to leverage the required additional match funds from multiple sources. With NCCD's long history of impactful work, our recent efforts to develop PFS projects in California and our relationships with national funders interested in PFS's potential, we have the critical relationships needed and are poised to leverage our other relationships into the PFS space.

Clarification Summary

PERSONNEL-RELATED CLARIFICATIONS

1. The "Contractual and Consultant Services" section of the budget includes The Raben Group, but this group is not mentioned in the narrative. What role is the Raben Group playing in executing the project?

CLARIFICATION: The Raben Group, a DC-based communications firm with offices in Los Angeles and New York, brings together a diverse collection of professionals with deep roots in law and progressive public policy. NCCD will engage The Raben Group to assist us with our knowledge information-sharing and dissemination strategy and execution. Working with NCCD, The Raben

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Group will leverage established relationships with local, state and federal government partners, opinion leaders and key influencers, law enforcement organizations and professional groups, child welfare advocates and professional groups, advocacy groups, and service providers, current and potential funders, and DC-based national and local media to assist with this project.'

2. Please review the time estimates for project personnel in the budget and narrative. There are areas where there seems to be a mismatch; for instance, the President is described in the narrative as likely to commit 5% of his time to the project, but in years two and three of the budget he is listed as committing 15% of his time.

CLARIFICATION: The percentages of the President's time in the budget are correct. Our proposal narrative should have indicated 5% for the first year and 15% for years 2 and 3.

3. Please provide more detail on the description of the leadership team, including division of responsibility between the three individuals (Project Director, Project Manager, Project Team Lead).

CLARIFICATION:

* Project Director (Kathy Park): The Project Director will provide high-level, primarily internal, oversight over all project components and activities, and will directly supervise and support assigned key project staff as related to project activities. The Project Director will lead project risk-identification processes, facilitate risk-mitigation processes, and ensure effective coordination between NCCD staff and project partners. The Project Director also will support President Alex Busansky's fundraising activities and ongoing cultivation of relationships with potential investors, as well as participating in dissemination and information-sharing activities associated with the project.

* Project Manager (Deirdre O'Connor): The Project Manager will provide day-to-day oversight, coordination, and management of all activities outlined in the project plan, and will be the primary point of contact with CNCS. The Project Manager will lead the design of the open and competitive process to select Sub-Recipients; coordinate the composition of each Sub-Recipient's NCCD project team (based on area of expertise); develop Sub-Recipient-specific project plans; ensure timeliness of all required reporting to CNCS; track budgets; and lead the project teams' direct, on-the-

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ground technical assistance with each Sub-Recipient.

* Project Team Lead (Chris Hartney): The Project Team Lead will serve as the functional "right hand" of the Project Manager with regard to the provision and/or coordination of assigned project staff on technical assistance with Sub-Recipients, including assistance in developing the details of site-specific project plans, meeting schedules, and progress reports.

4. Please provide more information on the proposed staffs' roles in the CA deals, given the importance of these deals in the team's PFS experience. Was anyone on the team involved in management of the projects or did they focus on expert contributions?

CLARIFICATION:

Kathy Park is the NCCD project manager for the PFS feasibility assessment project funded by The California Endowment to explore the capacity of PFS to scale research-based practices to prevent delinquency involvement among a child welfare-involved population. In this role, Kathy coordinates activities between NCCD, its project partner (Third Sector Capital Partners), and county stakeholders. She has provided direct project-management activities related to contract monitoring, progress reporting, and internal project staffing and coordination. Additionally, she provides oversight and direction on all aspects of target population analysis with the internal NCCD project team; serves as point of contact with the grant manager; and provides specific programmatic content expertise and knowledge in the assessment of other potential child welfare interventions to determine applicability to a PFS approach, leveraging her extensive professional experience in child welfare policy and practice. In this project, Kathy has also engaged actively with NCCD president Alex Busansky in meeting with other funders and organizations looking to learn more about PFS, and who are seeking to be part of a broader PFS learning community. Her webinar presentation on a general overview of PFS feasibility assessment considerations, sponsored and hosted by the National Association of Counties, was well received and generated several inquiries from local governments about potential PFS opportunities in their communities.

Chris Hartney is the NCCD project manager for the PFS project focused on young adult corrections in California. This project is funded by The California Endowment and the State of California (through

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funds authorized specifically for this project in the 2014-15 state budget). Chris has been closely involved in all aspects of the entire project from strategy development to detailed plan development, through an ongoing series of meetings and document review with the California Department of Finance; the research department of the California Department of Corrections and Rehabilitation; the third-party PFS investment facilitator, Third Sector Capital; representatives of the state legislature; service providers; legal consultants with Orrick, Herrington & Sutcliffe LLP; and advocates in the community. Issues under negotiation with these groups and related tasks include identifying: 1) the precise intervention target population and related data definitions and collection procedures; identifying the most viable areas of the project for PFS funding; 2) the various potential cost savings to both the state and individual California counties and how these cost savings will be tracked and calculated; and 3) the needs and concerns of potential private investors. This work involved parsing the various roles and potential contributions from various funders; incorporating long-term sustainability and project expansion assurances; identifying legal or legislative restraints or requirements and pursuing solutions; and agreeing on the management of the outcomes evaluation and cost tracking necessary to support the PFS process.

Alex Busansky, President of NCCD, serves as the executive sponsor on all NCCD PFS feasibility projects in California, and provides direct oversight on the component of The California Endowment-funded project focused on scaling a restorative justice intervention as a pre-charge alternative for youth who would otherwise enter the juvenile justice system. He facilitates and directs the project team's approach to county stakeholder engagement, coordinating and troubleshooting with project partner Third Sector Capital Partners, and has leveraged his networks and relationships to identify key stakeholders to engage in the feasibility assessment process.

PROGRAM-RELATED CLARIFICATIONS

1. Please provide more detail on the knowledge sharing deliverables and timeline.

CLARIFICATION:

The following is a list of specific activities from the project timeline related to knowledge sharing,

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dissemination, and communications activities (as specified in the proposal narrative, these dates are estimates based on an assumed project start date of October 1, 2014) with additional requested detail:

* December 1, 2014: Release RFP with an application deadline of 5:00 p.m. EST on January 15, 2015. The RFP opportunity will be disseminated broadly through NCCD communications channels and include a timeframe for submission of questions, which will be compiled and posted with responses on NCCD's website.

* February 23-27, 2015: Prepare, finalize, and disseminate press release announcing Sub-Recipients. This press release will provide brief background information on each Sub-Recipient, and will include highlights from their application that describe the specific goals and desired outcomes for their communities through the use of PFS as an innovative approach to address their most pressing social issues. This press release, and any others associated with this project, will be disseminated to a broad range of stakeholders, including traditional press outlets, community groups, local and state agencies, and professional associations.

* July 2015, November 2015, and June 2016: Cross-site webinars for Sub-Recipients to share feasibility assessment TA logic models. These webinars are designed to create a community among the Sub-Recipients, giving them a forum to share successes and challenges, to learn how their respective projects may benefit from the lessons learned by others, and to think creatively and collaboratively about approaches to unresolved or anticipated barriers. Themes from these webinars will be documented and included in the subsequent white paper that NCCD will produce as part of this project.

* January-February 2017: Work with Sub-Recipients to develop a plan for broader community engagement, including potential service providers and funders, with the goal of positioning the project for the next phase of deal structuring. Development of these community outreach and education plans will include TA to help Sub-Recipients identify strategic approaches to engaging various community stakeholders, potential funders, and relevant political figures, including but not limited to town-hall meetings; policy panels; webinars; press releases; and presentations at local conferences and meetings, all with the goal of providing foundational information on what PFS is, the specific focus of the Sub-Recipient's proposed intervention, and articulating the social and fiscal

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benefits of the PFS approach to the intervention.

* March-April 2017: Convene policy panel events and discussions in each Sub-Recipient's community on PFS and the proposed PFS project, highlighting benefits to the local community. NCCD is experienced in planning, hosting, moderating, and presenting community policy panel events on a variety of mission-focused topics, and has found these events to be extremely beneficial to 1) engaging a range of stakeholders around a particular issue; 2) cultivating relationships with people and organizations who could provide critical support to an issue/project/program; and 3) getting the local community excited about new and innovative approaches to entrenched social problems. Inclusion of a policy panel event in each Sub-Recipient community on the nature of PFS and how application of it to address positive youth development will be geared toward achieving these same goals, as a means to garner a broad base of support for moving forward beyond feasibility assessment to deal construction.

* August 2017: Prepare white paper on PFS feasibility assessment, based on the experiences and lessons learned from the project. NCCD will prepare a white paper that contributes substantively to the PFS learning community. The white paper will identify and discuss the challenges and issues experienced throughout the course of the project, offer specific strategies that proved successful, and outline the implications for PFS efforts in the future. NCCD will promote the white paper via national webinars, NCCD's website, press releases, newsletter announcements, and social media.

* Ongoing throughout the project period: NCCD will participate with CNCS and other entities/organizations in the Social Innovation Fund PFS learning community as requested to both share and learn from the collective experiences of its participants, with the goal of promoting enhanced capacity of PFS to scale evidence-based and promising practices across the United States. Such activities may include hosting and presenting topic-focused webinars related to PFS feasibility, creating communications briefs and other materials, facilitating guest blog posts by representatives from Sub-Recipient sites, and using NCCD's existing newsletters, website, and social media tools to promote and maintain a consistent focus on PFS-related activities.

2. The application mentions that data analytics is important for the success of the PFS project. SIF projects have found data access to be increasingly difficult. What data sources will NCCD use?

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How will it access data?

CLARIFICATION: It is essential that the specific outcomes used to track progress and measure success in the PFS project can be clearly quantified, with the data collected, processed, analyzed, and reported according to strict procedures agreed upon in advance. Data analytics are a particular strength of NCCD. NCCD has developed, implemented, and managed data collection and analysis systems for the full range of user groups and purposes, from small NGOs with little technological capacity to the largest and most complex state systems.

Specific data sources used will depend on the project. It is expected that each project will use some combination of the following: primary data collected by service providers and program evaluators; primary and secondary data from other partner CBOs; and system data from county and state partner agencies such as CPS, the courts, police, juvenile and adult probation, juvenile and adult corrections, and finance. As specific data points are identified in the PFS development process, how these data will be defined, collected, made available to evaluators, and analyzed will be carefully reviewed. Only programs that are found to have sufficient and sustainable data capacity or that can be brought to that level through NCCD TA will be selected for grants. Some otherwise desirable outcome measures and, indeed, whole projects, will not be considered based on the lack of data accessibility. NCCD will then assist Sub-Recipients and their partners in formalizing all data collection and processing procedures, including written procedures, staff training, writing programming code necessary for automation, data definitions and comparability, cross-platform compatibility and transfer, and data storage and security processes. NCCD will work with Sub-Recipients to determine the most efficient and secure way to handle data, assist in the development of technological capacity, and assist in establishing MOUs regarding data sharing across agencies and other stakeholders.

3. What role will NCCD play in moving from the feasibility plan to the PFS deal?

CLARIFICATION: With deep subject-matter expertise and relationships, in our leadership role in this PFS project NCCD will help ensure alignment and accountability between the various players-the interventions, public agencies, and the PFS financial intermediary-during all stages of deal construction. NCCD brings a proven track record in ensuring reliability of data and the technical soundness of an intervention. This analytical rigor will be critical in making the case to potential PFS

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investors.

NCCD will work to identify which of our fiscal match partners might serve as possible investors in the final deal. Assuming there are no legal bars to participation in the eventual RFP and contracting process, NCCD--as appropriate--will continue to facilitate project partnerships, provide ongoing technical assistance and consultation. NCCD will make itself available for project oversight with regard to intervention provision, data collection and analysis, contract fulfillment, and dispute mediation. If deemed appropriate and beneficial, NCCD research staff also have the capacity to serve as the ongoing PFS project evaluator. If these roles require substantial NCCD staff time and resources, additional funding will be sought as necessary through governmental or philanthropic channels.

4. Will the TA services provided to Sub-Recipients include only services or will it also include cash grants?

CLARIFICATION: NCCD's proposal and budget reflect an intent to provide a full range of TA services to Sub-Recipients to assess PFS feasibility, and does not include cash grants.

MATCH-RELATED CLARIFICATIONS

1. Matching requirement: Could you provide more information about your plans to raise the match requirement, such as more information on the potential leads referenced in the application?

CLARIFICATION: NCCD has a long history of working with numerous foundations to support our work and has demonstrated that we are a trusted partner. As part of our California PFS feasibility initiative, described in the proposal, and as part of NCCD's exploration of the feasibility of advancing this project, we have developed an initial list of potential investors with whom we will discuss this initiative if we are awarded the grant. While The California Endowment, and now the California state legislature and governor, are supporting our PFS work, we believe that there are numerous investors and foundations who would welcome the opportunity to invest in our potential PFS initiative to promote interventions addressing positive youth development, with a focus on 1) juvenile justice or child welfare system-involved youth or youth at risk of entering or crossing over into these systems;

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and 2) addressing high rates of racial disparity in these systems.

Some of these investors are national foundations and others are focused on either state/local based investments or are interested in addressing the issue of racial disparity and the promise of the My Brother's Keeper initiative. All of the following foundations are ones with whom NCCD has a direct, positive relationship and almost all are supporters of NCCD's work currently or in the recent past.

- * Casey Family Programs (William Bell, President of CFP, serves on NCCD's board of directors);
- * The Emerson Collective (which recently committed \$50 million to the MBK initiative);
- * The San Diego Foundation (new President Kathlyn Mead, while at The California Endowment, was a strong supporter of PFS and of NCCD's PFS initiatives);
- * The California Endowment (currently a funder of NCCD's PFS work in California);
- * The Laura and John Arnold Foundation (currently an investor in other PFS initiatives; also, our proposal addresses the of their Director of Criminal Justice, Anne Milgram, to seek through innovation to solve persistent problems in society);
- * The Akonadi Foundation (President Quinn Delaney has expressed interest in investing in PFS around the issue of disparity in the justice system);
- * The MacArthur Foundation (which has begun efforts to make a meaningful impact in the criminal justice field through local and state-based initiatives);
- * The Rockefeller Foundation (a supporter of PFS);
- * The Ford Foundation (Program Officer Doug Wood has discussed PFS in the prison education area and would be a natural ally for this initiative); and

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* The Open Society Foundation (OSF's Black Male Achievement initiative would be a potential partner for NCCD's initiative).

In addition, there are a series of donor-advised foundations that have investors who might be interested in this initiative, including Wellspring Advisors and the Silicon Valley Community Foundation.

Many of these same foundations would be willing to convene other potential investors and foundations to discuss potential support of this initiative. In addition, a number of foundations are already committed to PFS, including the Irvine Foundation. While NCCD is not currently funded by these foundations, we are hopeful that if awarded this grant, we would have the opportunity to seek their support.

BUDGET-RELATED CLARIFICATIONS

1. Please confirm the total requested amount from CNCS.

CLARIFICATION: The total requested amount from CNCS is \$1,387,635 and the NCCD match is \$1,515,580 over the entire three-year project period.

2. If not done so already, the budget needs to be entered in eGrants by line item. The subsidiary budget function needs to be utilized to gain an accurate representation of the expenses included. If you need technical assistance in completing this task, please call our Help Desk at 800-942-2677. Pay for Success applicants must demonstrate that a minimum of 80% of the federal funds requested are used for sub-grants or services provided to sub-recipients. Please designate the line items that include these costs with the header: "sub-recipient services or sub-grants."

CLARIFICATION: Please see the revised eGrants application submission.

3. Source of Funds: Please include all matching funds under Source of Funds including all in-kind contributions. For in-kind contributions, please list service, good or function.

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CLARIFICATION: Please see the revised eGrants application submission.

GENERAL NOTE

* As a potential new grantee to CNCS, you are required to complete three (3) pre-award documents and two (2) on-line financial certifications prior to the award of a grant. The Office of Grants Management will send you a separate email regarding the completion and submission of the following documents: Direct Deposit Sign-Up Form (SF-1199A); Recipient Contact Form; the Financial Management Survey Form (FMS); and the certification you have taken the on-line course 'Key Concepts of Financial Management for Federal Grantees' and the certification you have taken the course on CNCS criminal history check requirements. These documents must be completed and returned to the Office of Grants Management as quickly as possible to ensure a timely Notice of Grant Award should you be selected for funding.

CLARIFICATION: NCCD is currently in the process of completing all the above-referenced forms and certifications required by the CNCS Grant. All documentation will be complete if NCCD is chosen as a funding recipient.