



December 22, 2014

Dear Potential Applicant:

You are invited to submit an application to the Pennsylvania Department of Health in accordance with the enclosed Request for Applications (RFA) #67-33.

A pre-application conference will be held on January 12, 2015 at 1:00pm in Room 129, Health and Welfare Building, 625 Forster Street, Harrisburg, PA 17120. Since facilities are limited, it is requested that you limit your representation to two individuals. Applicant attendance is optional.

All questions regarding this RFA must be directed in writing to Bryle Zickler, Public Health Program Administrator, Bureau of Family Health, Division of Child and Adult Health Services, Pennsylvania Department of Health, 7th Floor, Health and Welfare Building, 625 Forster Street, Harrisburg, Pennsylvania 17120-0701, or by e-mail at bzickler@pa.gov, no later than **January 5, 2015**. All questions must include the specific section of the RFA about which the potential applicant is questioning. Answers to all questions will be posted at www.emarketplace.state.pa.us. Click on 'Solicitations' and search for the above RFA number.

Please submit one (1) original and twelve (12) copies of your application, (Part 2 of this RFA) in a sealed package to the address below. A letter of support must also be included with the application that is signed by the head of the applicant's organization to show full understanding of, and agreement with, the scope of the project. Applications submitted without a letter of support will be rejected. Your application must arrive in the designated room at the following address no later than 2:30 p.m. on Wednesday, **February 4, 2015**.

RFA #67-33

Director, Division of Contracts
Bureau of Administrative and Financial Services
Pennsylvania Department of Health
Room 824, Health and Welfare Building
625 Forster Street
Harrisburg, Pennsylvania 17120-0701

LATE APPLICATIONS WILL NOT BE ACCEPTED REGARDLESS OF THE REASON.

Please write "APPLICATION ENCLOSED RFA # 67-33" in large block letters on the envelope or overnight/priority mail label.

We expect that the evaluation of applications and the selection of grantees will be completed within eight weeks of the submission due date.

Sincerely,
A handwritten signature in black ink, appearing to read "Terri A. Matio".
Terri A. Matio
Director
Bureau of Administrative and Financial Services

Enclosure

Request for Application

Healthy Youth PA

RFA Number
67-33

Date of Issuance
December 22, 2014

Issuing Office: Pennsylvania Department of Health
Bureau of Administrative and Financial Services
Division of Contracts
Room 824, Health and Welfare Building
625 Forster Street
Harrisburg, Pennsylvania 17120-0701

RFA Project Officer: Bryle Zickler
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Healthy Youth PA

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Attachment 3 – Mentoring Models and Design Considerations

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Attachment 6 – Guidance for Applicants that Implement Religious Programs

Part Two: Title of Application

Application Forms and Attachments

- I. Mailing Label
- II. Cover page
- III. Certifications
- IV. Work Statement
- V. Budget Template is downloadable and is attached for completion of the budget request.
- VI. Form W-9 and Instructions

Any grant resulting from this RFA will include certain standard terms and conditions, which will either be attached as paper appendices or incorporated by reference and may be found at <http://www.health.state.pa.us/vendors>. These terms and conditions are listed below:

- Payment Provisions (Rev. 5/12)
- Standard General Terms and Conditions (Rev. 7/13)
- Audit Requirements (Rev. 7/13)

- Commonwealth Travel and Subsistence Rates (Rev. 4/12)
- Minimum Personal Computer Hardware, Software, and Peripherals Requirements (Rev. 4/12)
- Federal Lobbying Certification and Disclosure (Rev. 12/05)
- Pro-Children Act of 1994 (Rev. 12/05)

PART ONE

Healthy Youth PA

General Information

A. Background

The Pennsylvania Department of Health, herein referred to as “the Department”, is the State Health Agency responsible for the administration of the Title V Abstinence Education Grant Program, herein referred to as “AEGP”. The purpose of the AEGP is to support decisions to abstain from sexual activity by providing abstinence education as defined by Section 510(b) of the Social Security Act (42 U.S.C. § 710(b)) with a focus on those groups that are most likely to bear children out of wedlock. The AEGP funding is from the Administration on Children, Youth and Families (ACYF).

The Federal Funding Opportunity guidance for the AEGP indicates that states are encouraged to develop flexible, medically accurate and effective abstinence-based programs responsive to their specific needs. In addition, language in the guidance gives States the option to utilize “abstinence education and/or mentoring, counseling and adult supervision programs to promote abstinence from sexual activity.” The Department has chosen to focus on mentoring, counseling and adult supervision programs to promote abstinence from sexual activity among youth ages 9 to 14 in Pennsylvania. This program model will be titled “Healthy Youth PA” and will not utilize direct abstinence education strategies or a curriculum component. Programming and materials to be used may not contradict the Social Security Act Section 510(b)(2) (A-H) definition of abstinence education (see Section C.1.f). In addition, all information presented and materials used must be medically accurate.

Teen pregnancy has substantial social and economic costs and can have long-term impacts on teen parents and their children. According to *Why it matters: Teen Childbearing, Education, and Economic Wellbeing* (Ng, A.S. and Kaye, K, 2012), only 51% of teen mothers get a high school diploma by age 22 and only 38% of teen mothers who have a child before they turn 18 get a high school diploma. This report also indicates that the relationship between education and teen pregnancy goes both ways, as increased school achievement, attendance, and involvement helps to reduce the risk of teen pregnancy.

By preventing teen and unplanned pregnancy, other serious social problems including poverty (especially child poverty), child abuse and neglect, father-absence, low birth weight, school failure, and poor preparation for the workforce can be addressed and improved. According to studies conducted by the National Campaign to Prevent Teen and Unplanned Pregnancy, nearly all teen pregnancies are unplanned. Teen pregnancy is closely linked to a host of other critical social issues—poverty, overall child well-being, out-of-wedlock births, responsible fatherhood, health issues, education, child welfare, and other risky behavior.

There are also substantial public costs associated with adolescent childbearing. According to an analysis completed by the National Campaign to Prevent Teen and Unplanned Pregnancy, in 2010 teen childbearing cost Pennsylvania taxpayers at least \$409 million. The same analysis finds that Pennsylvania’s rate of teenage pregnancy for girls age 15-19 was 49 per 1,000 girls or a total of 21,470 pregnancies. This rate places Pennsylvania as the state with the 17th lowest teenage pregnancy rate nationally.

Preliminary 2012 teenage pregnancy rate data from the Department's Bureau of Health Statistics indicate that there are 10 counties with high pregnancy rates for youth under age 15 and youth ages 15-17 (see Tables 1 and 2). Healthy Youth PA will target these specific areas allowing the Department to most effectively use the Federal funding provided for the program. Counties where there is a high rate of teenage pregnancies for the age groups identified below include Philadelphia, Allegheny, Berks, Lehigh, Dauphin, Lycoming, Lawrence, Fayette, Venango and Elk.

Table 1.

Teen Pregnancy Rate Under Age 15			
County	Count of Pregnancies	Population	Pregnancy Rate*
Philadelphia	99	44,159	2.2
Allegheny	35	32,743	1.1
Berks	14	13,460	1.0
Lehigh	11	11,508	1.0

Table 2.

Teen Pregnancy Rate Age 15-17			
County	Count of Pregnancies	Population	Pregnancy Rate*
Philadelphia	1,312	26,931	48.7
Elk	17	626	27.2
Berks	212	8,299	25.5
Venango	21	930	22.6
Fayette	51	2,325	21.9
Lawrence	34	1,661	20.5
Lycoming	39	1,965	19.8
Dauphin	101	5,144	19.6
Lehigh	137	6,995	19.6

*Rate per 1,000 female population for each specified group, Preliminary 2012

Under 15 includes females 10-14 years.

The Federal Funding Opportunity guidance also encourages states to consider the needs of lesbian, gay, bisexual, transgender, and questioning youth and how their programs will be inclusive of and non-stigmatizing toward such participants. Additionally, the Federal Funding Opportunity guidance indicates that programs “should ensure that all staff are trained to prevent and respond to harassment or bullying in all forms.”

According to a 2013 report issued by the National Center for Education Statistics through the U.S. Department of Education and the Bureau of Justice Statistics through the U.S. Department

of Justice, “28% of students nationwide in grades 6-12 experienced bullying and 9% reported being cyber-bullied.” Bullying is recognized as a widespread and often neglected problem that has serious implications for victims and for those who perpetrate bullying. Bullying is unwanted, aggressive behavior that involves a real or perceived power imbalance. The behavior is repeated, or has the potential to be repeated, over time. According to the United States Department of Health and Human Services “both kids who are bullied and who bully others, may have serious and lasting problems.”

Healthy Youth PA strives to implement strategies to build protective factors to promote the optimal transition of youth living in high-risk communities, including youth in foster care, from middle childhood to adolescence fostering a transition to a healthy, productive and connected young adulthood. A key factor in promoting this transition is improving a youth’s sense that he/she has achievable life prospects and a positive outlook for the future, factors that are contingent upon delaying sexual activity.

Providing opportunities for youth to increase the number of developmental assets they have is the primary organizing concept of Healthy Youth PA. The Search Institute has identified 40 developmental assets that are the building blocks of healthy development for youth in “middle childhood” (ages 8 to 12) and will help them grow into healthy, caring and responsible young adults. Examples of the 40 developmental assets for youth ages 8 to 12 include: adult role models, other adult relationships, service to others, child programs, family support, positive family communication, a sense of purpose, healthy lifestyle, planning and decision making, resistance skills, and a positive view of one’s personal future. See Attachment 1 for the complete list of developmental assets identified for this age range by the Search Institute.

The Search Institute has also identified 40 developmental assets for “adolescents” (ages 12-18) that will also be a part of Healthy Youth PA. These assets are similar to the assets identified for “middle childhood”; however, the descriptions for each of the assets differ to make them more age appropriate. See Attachment 2 for the complete list of developmental assets identified for this age range by the Search Institute.

Research conducted by the Search Institute has documented the significance of developmental assets in protecting youth from many different harmful or unhealthy choices (e.g., sexual activity, problem alcohol use, violence, illicit drug use, tobacco use). The Search Institute’s developmental asset framework includes 20 external assets organized under the following four categories: support, empowerment, boundaries and expectations, and constructive use of time; and 20 internal assets organized under these four categories: commitment to learning, positive values, social competencies, and positive identity.

The developmental assets serve as protective factors to help youth avoid negative risky behaviors. The positive effects of these protective factors increase as the number of assets a youth has increases. Enhancing the developmental assets of youth provides an opportunity for them to transition into sexually healthy adolescents who are able to realize their individual potential around critical developmental tasks related to sexuality. These tasks include: accepting his/her body, gender identity and sexual orientation; communicating effectively with family,

peers and partners; possessing medically accurate knowledge of human anatomy and physiology; understanding the risks, responsibilities and potential outcomes of sexual activity and the benefits and acceptability of choosing not to be sexually active; possessing the medically accurate knowledge, skills and self-efficacy needed to take action to reduce his/her risk and abstain from sexual activity; setting appropriate sexual boundaries; acting responsibly according to his/her personal values; and forming and maintaining meaningful, healthy relationships.

Mentoring and counseling, one component of the Healthy Youth PA program, is one way to increase the number of assets a youth has. Another component of the Healthy Youth PA program is parent education. According to the National Resource Center for Community-Based Child Abuse Prevention, “successful parent education programs help parents acquire and internalize parenting and problem-solving skills necessary to build a healthy family.” Surveys and focus groups indicate that many adolescents view their parents as a primary source of information regarding sexual health behaviors; however many parents are uncomfortable having sexual discussions and have the same misconceptions or fears about sexuality as their children. Parents often need and welcome assistance to begin an effective dialogue related to sexual matters with their children.

B. Information for Applicants

Through this RFA process, the Department is soliciting applications for the Healthy Youth PA Program from Pennsylvania institutions and organizations. The Department is interested in funding applications addressing an integrated model of 1. mentoring and counseling or adult-supervised activities, or a combination of mentoring and counseling and adult-supervised activities; 2. adult-led group sessions designed to encourage in-depth discussion of topics of concern among youth ages 9-14; and 3. parenting education to the parents, guardians and other adult caregivers of youth participating in the program (a detailed explanation of the three required components can be found in C.4.i, C.4.ii, and C.4.iii of the Deliverables Section). Several resources are provided as attachments to this RFA to assist applicants and awarded applicants in designing effective mentoring projects. Attachments 3 and 4 are provided to assist applicants in designing and implementing effective mentoring projects. Applicants should select one or more of the mentoring models and approaches described and should incorporate the six evidence-based operational standards for effective mentoring practice described in detail through Attachment 5. The overall goal of this funding is to promote abstinence from sexual activity among youth ages 9 to 14 in Pennsylvania. The anticipated grant agreement term is March 1, 2015 to September 30, 2016, with two, one year renewal options subject to the availability of funding.

At the Department’s discretion and by letter notice, the Department may renew this Grant Agreement for the following terms: October 1, 2016 to September 30, 2017 and October 1, 2017 to September 30, 2018.

1. In the event of a renewal, the Department may choose to renew the Grant Agreement as follows:

- a) At the Grant Agreement's original terms or conditions; or
- b) To increase or decrease the grant amount or salaries, hourly wages or fringe benefits to reflect cost increases so long as that increase does not exceed 0% of the original amount or rates. Nothing in this subparagraph is intended to permit an alteration in the scope of work of the original agreement in the renewal; or
- c) To include the increase or decrease in work or change to amount, salaries, wages, or fringe benefits included in an amendment to the original Grant Agreement, including SAFs, Funding Reduction Change Orders, Budget Revisions, or formal Amendments. The increase or decrease of work shall be limited to deliverables established in the amendment. Nothing in this paragraph shall be read to permit the scope of work of the Grant Agreement to be changed.

2. The Department is not obligated to increase the amount of the Grant award.
3. Any renewal terms are subject to the other provisions of the Grant Agreement, and the availability of funds.

Applications are welcomed from not-for-profit 501(c)(3) organizations, school districts, city or county health departments, or community-based health or human service agencies. Additional information about how to apply, relevant and specific restrictions, and stated preferences regarding applicants are noted and outlined in Section C. Applicants are encouraged to be innovative and creative in their approach.

This RFA provides interested institutions, organizations and persons with information to prepare and submit applications to the Department. Questions about this RFA can be directed to Bryle Zickler, Public Health Program Administrator, Bureau of Family Health, Pennsylvania Department of Health, 7th Floor East, Health and Welfare Building, 625 Forster Street, Harrisburg, Pennsylvania 17120-0701 or by e-mail address at bzickler@pa.gov, no later than January 5, 2015. Answers to all questions will be posted at www.emarketplace.state.pa.us. Each applicant shall be responsible to monitor the website for new or revised RFA information. The Department shall not be bound by any information that is not either contained within the RFA or formally issued as an addendum by the Department.

In order to do business with the Commonwealth of Pennsylvania providers are required to enroll in SAP system. Applicants may enroll at www.vendorregistration.state.pa.us/ or by calling toll free at 1-877-435-7363 or locally at 717-346-2676.

The overall program objectives of Healthy Youth PA are to:

1. Decrease the initiation of sexual activity among youth ages 9-14 through the support of community-based programs that incorporate mentoring, counseling or adult-supervised activities provided by adults who reside in high-risk communities in Pennsylvania.
2. Create and expand opportunities and provide support and alternatives to sexual activity for youth in order to promote an optimal transition into healthy young adulthood.

3. Promote the development of positive long-term relationships between adults and youth.
4. Promote the enhancement of parenting skills of parents, guardians and caregivers of youth.

Services will be delivered to individuals and groups in venues such as schools, community and faith based settings, other community settings, and in congregate care settings. Activities funded under this RFA should be provided during those times when youth are not engaged in school, such as after school hours on weekdays, school vacation breaks, weekend hours and the summer vacation period. Services provided should be sustained efforts rather than one-time or sporadic contacts. Mentoring relationships should be at least one year in duration. Youth who participate in other project components should be exposed to a minimum of 14 hours of programming.

C. Application Procedures

1. General

- a) Applications must be received by the Department by the time and date stated in the cover letter.
- b) If it becomes necessary to revise any part of the application guidelines, an amendment will be posted on the DGS website.
- c) The decision of the Department with regard to selection of applicants is final. The Department reserves the right to reject any and all applications received as a result of this request and to negotiate separately with competing applicants.
- d) Awarded applicants are not permitted to issue news releases pertaining to this project prior to official written notification of award by the Department review committee. Any subsequent publication or media release issued by the awarded applicant throughout the life of the grant using funding from this grant must acknowledge the Department as the granting agency, and be approved in writing by the Department.
- e) Applications must propose to serve youth in one of the 10 priority counties outlined in this RFA. Applications proposing to serve youth in a county that is not a priority county will not be reviewed.
- f) The following definitions should be used for the purpose of this RFA:
 1. Abstinence Education, as defined under §510(b)(2) of the Social Security Act – “an educational or motivational program which:
 - A. has as its exclusive purpose, teaching the social, psychological and health gains to be realized by abstaining from sexual activity;
 - B. teaches abstinence from sexual activity outside marriage as the expected standard for all school age children;
 - C. teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems;
 - D. teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity;
 - E. teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects;

- F. teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society;
- G. teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and
- H. teaches the importance of attaining self-sufficiency before engaging in sexual activity.”

2. Mentoring – providing youth with safe and trusting relationships, healthy messages about life and social behavior, appropriate guidance from a positive role model and increased participation in education, civic service and community activities. Mentored relationships should be at least one year in duration.
3. Counseling – guidance to individuals, families, groups and communities such as giving advice, decision alternatives, helping to articulate goals and providing needed information.
4. Adult Supervision – consistent monitoring and appropriate structure provided in community programs by competent and caring adults. Adult supervised activities are conducted in a safe environment and provide consistent and appropriate boundaries and expectations for participating youth.
5. Medically accurate – medical information must be verified or supported by the weight of research conducted in compliance with accepted scientific methods and published in peer-reviewed journals where applicable, or be comprised of information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective and complete.

2. Evaluation of Applications

All applications meeting stated requirements in this RFA and received by the designated date and time will be reviewed by a committee of qualified personnel selected by the Department. The Review Committee will recommend applications that most closely meet the evaluation criteria developed by the Department. If the Review Committee needs additional clarification of an application, Division of Child and Adult Health Services staff and staff from the Division of Contracts will schedule an oral presentation or assign a due date for the submission of a written clarification.

Evaluation criteria used by the Review Committee, include:

- a) **Statement of the Problem:** This refers to the applicant's ability to articulate their understanding of the Department's needs that generated the RFA, the Project's objectives, the population that the RFA addresses, and the nature and scope of the work involved. Discuss the identified needs in the target community for the proposed project that pose an increased risk for early adolescent sexual activity. Discuss the identified community resources currently available to serve youth in the proposed target community and how this project fills in gaps in those resources. The applicant must demonstrate an

understanding of the need to provide culturally competent services to all youth without regard to race, ethnicity, or sexual identity.

b) **Soundness of Approach:** This refers to the applicant's technical approach to providing services, if it is responsive to all requirements of the RFA, and if it meets the Project's objectives. This also refers to the applicant's ability to articulate a clear plan for what will be accomplished, including a step-by-step plan with timelines for accomplishing the specific deliverables and a detailed description of the number of youth and the demographics of the youth that will be participating in the Project.

The application should indicate that the objectives will be met within the proposed timeframe. All proposed work plan objectives should be written in a SMART format: Specific, Measurable, Achievable, Realistic, and Time-bound. An objective is a statement, which defines a measurable result that the project expects to accomplish and should include these components:

Specific: The objective should specify what result directly related to the project will be accomplished and state what will be done, to whom, by how much, in what time frame, and how it will be measured. The observable action, behavior, or achievement should be directly linked to a rate, number, percentage, or frequency.

Measurable: The objective should describe in realistic terms the expected results and specify how such results will be measured.

Achievable: The accomplishment specified in the objective must be achievable within the proposed timeline and as a direct result of project activities.

Realistic: The objective must be reasonable in nature. The expected results or outcomes should be described in reasonable terms.

Time-framed: The objective should specify target dates or timeframes for the task to be started and completed.

Objectives must be clearly stated and demonstrate that the services provided are culturally, linguistically, and cognitively appropriate for the population being served. A description of the design and structure of the proposed project, including the activities that will be developed and implemented and how the components will complement each other, should be documented in this section.

The applicant must provide the following information for the proposed activities of the three components: describe the design and structure of the proposed project; describe how the proposed program design addresses youth pregnancy and childbearing in the targeted communities; describe the characteristics of the target population to be served and how the proposed services are relevant to this population; describe how your agency will work with other local service providers to foster a network of community resources for referrals, if needed; and identify the locations where project services will be provided and confirm that they are appropriate and accessible for the target population.

All services implemented by programs must be medically accurate and age appropriate. Applicants must explain in their proposals how services will meet these criteria.

c) **Budget:** The budget template provided by the Department must be used and the budget should be reasonable for the work proposed. The budget must demonstrate that the applicant has dedicated funds for at least the project director/coordinate to attend an awarded applicant orientation, which will be held in an area that is centrally-located to the 10 priority counties. In addition, if additional Federal funds are awarded and grants are extended, an awarded applicant meeting will be held once a year in a similar area as the awarded applicant orientation. This area will be determined at a later date once programs are selected; however, the area will likely be in the central part of Pennsylvania as the priority counties reach both the eastern and western sides of the state. Both meetings will be one day. In addition to these meetings, required trainings will be provided for programs related to mentoring, ethical issues in mentoring and adult supervision, developmental assets, bullying, LGBTQ issues, and confidentiality and child abuse reporting.

Additionally, the funding requires that awarded applicants must fund at least 44 percent of the project's total cost with non-Federal resources while the Department will fund no more than 56 percent of the project's total cost. For example, if the applicant's total program cost is \$100,000, the Department allotment \$56,000 then the applicant must provide a match of \$44,000. The formula to calculate the match requirement based on the given award amount is: $(\text{award amount} \div 56\%) \cdot \text{award amount} = \text{match amount}$. The match may be local government dollars, private dollars, such as foundation dollars, or in-kind support. Federal funds may not be used for the match. Applicants must demonstrate how much matching funds they intend to provide and identify the sources of the matching funds.

d) **Personnel Qualifications:** This refers to the qualifications of the personnel who would be completing tasks related to this RFA. Qualifications of personnel will be measured by experience and education, with a particular reference to experience providing services similar to that described in the RFA. Resumes of the personnel who will be assigned to completing tasks related to this RFA must be provided. Applicants will be evaluated on whether sufficient personnel are available to carry out the proposed activities. Confirm that the applicant program will employ a Healthy Youth PA project director/coordinate who will be accessible full-time to the Department, be the lead in programmatic activities and ultimately be responsible for the successful completion of the project/contract.

e) **Evaluative Measures:** This refers to the applicant's ability to articulate a clear plan for monitoring and evaluating the program. The proposal must include a plan to track and provide data in categories including: clients served by age, gender, race and ethnicity; hours of service received by clients; program completion by age and program type; and communities served by city and county. In addition to this data, applicants should describe their ability to provide, in a narrative format, a summarization of program activities. Information will be provided to the Department in a format provided by the Department.

Applicants must also be able to identify any potential barriers to program implementation, or barriers that may occur during on-going program operation once the

program is implemented. A detailed description must be provided as to how the program will monitor and identify potential barriers and how the program will respond and overcome those barriers as part of a continuous quality improvement process.

3. Awards

Grants will be administered through the Department.

All applicants will receive official written notification of the status of their application from the Department. Unsuccessful applicants may request a debriefing. This request must be in writing and must be received by the Division of Child and Adult Health Services within 30 calendar days of the written official notification of the status of the application. The Division of Child and Adult Health Services will determine the time and place for the debriefing. The debriefing will be conducted individually by Division of Child and Adult Health Services staff. Comparison of applications will not be provided. Applicants will not be given any information regarding the evaluation other than the position of their application in relation to all other applications and the strengths and weaknesses in their individual application.

Subject to the availability of funds, a total of thirteen grants in the amount of \$148,750 per award will be funded. If deemed acceptable by the review committee, one application in each of the ten priority counties will be selected, except for Philadelphia County where three applications will be selected and Allegheny County where two applications will be selected.

4. Deliverables

Applicants shall propose a program that includes all three of the components described below. Proposed projects should include all three of the components and should be designed and implemented as part of a well-articulated, integrated overall program. Utilizing the framework of the three components, applicants are to design projects based on the needs and resources of the target community and the developmental, socioeconomic, racial, ethnic, cultural needs and perspectives of the population(s) to be served.

Applicants may propose to expand or enhance an established mentoring, counseling or adult supervision program, or may propose to establish a new program. Proposed projects need to describe the outreach and recruitment of adult mentors and other adult volunteers working with youth. It is the responsibility of the awarded applicant's organization to assure that the safety of youth participating in programs is protected at all times. All mentors working with youth shall undergo a comprehensive and rigorous screening process. Applicants are encouraged to utilize www.mentoring.org/program_resources for helpful resources.

i. Component 1: The applicant should propose to provide under Component 1 the tasks outlined in either (1) or (2) below or a combination of (1) and (2).

(1). Provide individual, small group, or team mentoring and counseling or a combination of each of those types of mentoring and counseling for youth.

For purposes of this RFA, mentors will provide information, guidance and social support to 9 to 14 year old youth on a wide range of topics framed in a youth development philosophy, focusing on the needs of the mentored youth, and building on and nurturing the youth's individual strengths and assets. Mentoring activities can take place in a variety of community settings including schools, school or agency-based after-school programs, community or faith-based organizations, juvenile detention centers, residential care settings, or at various community events or locations.

Applicant's proposals shall demonstrate ongoing monitoring of the interaction between mentor and youth at least monthly and more often in the beginning of the mentor relationship. The purpose of the supervision is to ensure that the match continues to make progress and to address any problems that may arise. Separate conversations should also be done with the mentor, youth and the youth's caregiver to assess any problems and assure continued youth safety.

(2). Provide or expand adult-supervised activities that create educational, recreational, or vocational opportunities for youth.

The proposed activities should benefit youth by exposing them to a wide variety of activities framed in a youth development philosophy that introduce them to new situations, ideas and people, and challenge them to build or learn skills. These opportunities can offer youth first-hand experiences that build on their strengths and assets and shape their ideas about and aspirations for the future. Activities should stimulate cognitive, social, physical, and emotional growth and provide a context for productive relationship building between adults and youth and among youth. The activities provide alternatives to and demonstrate the advantages of postponing sexual activity and promote the development of a skill set that can support a successful transition into healthy young adulthood. Adult-supervised activities can occur within another after school or youth group program or as a stand-alone program.

Examples of appropriate activities would include but may not be limited to:

- (a) Workplace visits, job shadowing, or career exploration
- (b) Cultural events and facilities (e.g., concerts, plays, museums, art exhibits) Sports and other physical activity (e.g., individual and team, competitive and noncompetitive)
- (c) Performing arts (e.g., live theatre and dance)
- (d) Visual arts (e.g., carefully selected films which are appropriate for the age and developmental stage of youth)
- (e) Scientific exploration (e.g., robotics, computers, science centers, experiments, and field studies)
- (f) Mentally stimulating games (i.e., games that challenge the mind and encourage deep interaction among participants, such as chess and selected computer games)
- (g) Nature-focused outdoor activities (e.g., hiking, gardening, and bird-watching)
- (h) Service learning activities

All proposed activities should be cost-effective and incorporate specific strategies that help build new skills and learning and stimulate youth development, consistent with the description above. Cost-effective is defined as the minimum amount of grant fund resources being used to achieve desired work plan goals and objectives. General recreational activities or one-time events without a clear rationale that is well-articulated as part of a larger program strategy will not be supported with this grant.

ii. Component 2: Provide adult-led group sessions designed to encourage in-depth discussion of topics of concern among youth.

The proposed activities should provide youth with opportunities to talk with caring adults about situations and experiences, choices, challenges and opportunities. This RFA will fund adult-led small group youth sessions with approximately six-eight youth designed to allow for in-depth discussion of topics of concern to youth and create an opportunity for youth to go through a problem-solving process where they discuss decision making around these issues. These discussions also should provide the opportunity for them to practice behaviors to resist pressures to initiate sexual activity and other risk-taking behaviors and serve as a model for how to approach and resolve future problems. Discussion of topics of concern to youth is also an important component of the mentor/youth relationship. To satisfy the requirements of Component 2, applicants are expected to design a discussion component, which is separate and distinct from similar activities, which occur as part of the mentoring program described under Component 1.

The range of topics that might be addressed in this component includes but may not be limited to:

- (a) The development of healthy attitudes and values about adolescent growth and development, body image and positive self-esteem, respect and appreciation for human diversity and other related subjects.
- (b) Healthy relationships, such as friendships, kindness and positive support for peers (including anti-bullying bystander intervention), gender roles, dating, relationship dynamics and power balances, romantic involvement, marriage, and family interactions.
- (c) Educational and career success, such as maximizing school success, exploring career alternatives and goals and developing skills for employment preparation.
- (d) Development of good study habits and other practices focused on academic achievement.
- (e) Healthy life skills such as health behaviors, goal setting, decision making, negotiation, communication and interpersonal skills and stress management.

Funding provided under this RFA cannot be used to provide professional mental health services including mental health counseling, psychoanalysis or treatment for severe mental illness, crisis intervention, or case management services. The proposed plan should provide for youth requiring these services to be referred to appropriate professionals in the community. As part of their training and supervision, mentors and

other adults working with youth through Healthy Youth PA should be instructed on when and to whom to refer youth who need these services. This instruction will be the responsibility of the awarded applicant as they are the most familiar with the appropriate professionals in their communities.

iii. Component 3: Provide parenting education to the parents, guardians, and other adult caregivers of youth.

Parents can play a key role in communicating to their children about values and responsible behaviors. The purpose of the parenting education component is to enhance and strengthen the communication and supervision skills of parents, guardians and other adult caregivers; these skills will help them guide their youth through their adolescent years.

Effective parent/child communication results in positive emotional development and self-esteem. Projects are required to incorporate education for parents, caregivers, and other adults in the community in order to provide improved knowledge and communication skills related to adolescent sexual health and risky behaviors.

Projects funded through this RFA will provide information and education to parents at such venues as schools, the workplace and other community-based settings. Workshops can be conducted with parents alone or with parents together with children to improve communication skills. The range of topics to be addressed might include strategies for:

- (a) Understanding pre-adolescent and adolescent development including the physical, cognitive, emotional, and social changes of adolescence, and nurturing children's development of healthy attitudes and values about growth and development, body image and positive self-esteem, respect and appreciation for human diversity and other related subjects.
- (b) Adapting to and communicating effectively with maturing children, discussing risk-taking behaviors with pre-adolescents and adolescents, identifying and addressing warning signs of risky or dangerous behavior, and keeping adolescents safe.
- (c) Understanding the importance of non-parental adults in adolescents' lives.
- (d) Raising adolescents in a new/changing and diverse culture.
- (e) Modeling and nurturing healthy relationships, including friendships, social peer relationships, romantic relationships and family relationships, and positively addressing dynamics such as gender roles, peer pressure, bullying and power balances in relationships.
- (f) Educational and career success, such as maximizing school success, exploring career alternatives and goals and developing skills for employment preparation.
- (g) Supporting the development of good study habits, school attachment and achievement, educational and career aspirations.

(h) Nurturing the development of healthy life skills such as health behaviors, goal setting, decision making, negotiation, communication and interpersonal skills, use of available resources and stress management.

- a) Applicants proposed plan shall demonstrate that they will work with other service providers and individuals in their respective communities to identify and provide or expand a range of positive opportunities for youth and their families. Since youth reached through this initiative may require additional supports and services that are outside the scope of Healthy Youth PA, projects are expected to implement mechanisms to refer them to other service providers for support and services as necessary. Funded programs will be required to have a mechanism in place to refer youth, including youth who may be sexually active, to necessary health care services. It is anticipated that this process will foster a network of community service resources, which will facilitate referrals to, and utilization of, needed community services by youth and their families. Healthy Youth PA will not fund direct services such as child care, health care, or other services that are available through other resources.
- b) Awarded applicants shall adhere to Federal guidance prohibiting use of religious materials/programs for all funded projects, including those implemented directly or in partnership with faith-based organizations or programs. See Attachment 6 for explanation of federal guidance.
- c) Awarded applicants shall follow all Federal requirements of the Federal Title V State Abstinence Education Grant Program, including following the definition of abstinence education detailed earlier in the definitions section of the RFA.
- d) Awarded applicants shall make available the project director/coordinator, and to account for any potential staff turnover, another staff person for all awarded applicant meetings and trainings.
- e) The proposal should demonstrate a system for collecting and submitting data for reports required by the Department.
- f) Applicants, when developing programs, shall consider the needs of lesbian, gay, bisexual, transgender, and questioning youth and how programs will be inclusive of and non-stigmatizing toward such participants. If not already in place, applicants shall establish and publicize policies prohibiting harassment based on race, sexual orientation, gender, gender identity (or expression), religion, and national origin. An applicant, by submitting a proposal for Healthy Youth PA, constitutes an assurance that it has or will have such policies in place.
- g) Awarded applicants shall require that all staff are trained to prevent and respond to harassment or bullying in all forms. Awarded applicants shall be required to monitor claims, address them seriously, and document their corrective action(s) so all youth participating are assured that programs are safe, inclusive, and non-stigmatizing by design and in operation.

- h) Aside from training to prevent and respond to harassment or bullying, awarded applicants should make, at the minimum, two staff available for trainings on the following: Developmental Assets; LGBTQ issues; Mentoring; Ethical Issues in Mentoring and Adult Supervision; and Confidentiality and Child Abuse Reporting.

5. Reporting Requirements

- a) The awarded applicant shall be required to submit a written mid-term report of progress, issues and activities to the Department within 180 days after the grant effective date. The mid-term report should identify if activities are proceeding according to the project plan, and explain any deviations from the project plan. Any changes to the scope of the program during the term of the Grant Agreement must be approved in writing by the Department.
- b) The awarded applicant shall be required to submit quarterly written reports within 30 calendar days of the quarter ending. Quarterly reports shall include a narrative detailing the activities that have been completed with the Grant funding along with data on the number of adolescents served and data for any outcome measures developed for the program.
- c) The awarded applicant shall be required to submit annual written reports within 30 calendar days of the end of the fiscal year for the grant.
- d) Awarded applicants shall be required to submit a final report that shall include a narrative report detailing the activities completed with the Grant funding, data on the number of adolescents served and demographic data for the population served, a description and analysis of services being delivered, and a summary of the data for the outcome measures developed for the program. This report will be due 60 calendar days after the grant has ended.
- e) The awarded applicant shall request written approval from the Department prior to any changes in key personnel.

D. Application Instructions and Required Format

1. Application Instructions

The following is a list of requirements.

- a) The applicant must submit one original and twelve complete copies of the application (Part Two of this RFA).
- b) The application must be in a sealed package.
- c) The application must be received by mail or in person at Division of Contracts by the date and time specified in the cover letter. Applicants mailing applications should allow sufficient mail delivery time to ensure timely receipt. (**Late applications will be rejected, regardless of the reason.**)

- d) The application must be submitted using the format described in subsection 2, below – Application Format.
- e) The Certifications Form must be completed and signed by an official authorized to bind the organization to the application.
- f) A letter of support must be included with the application that is signed by the head of the applicant’s organization to show full understanding of, and agreement with, the scope of the project.
- g) Applicants must submit a separate application for each county bid. Also, applicants may only submit one bid per county.

Applicants are strongly encouraged to be brief and clear in the presentation of ideas.

2. Application Format

Applicants must follow the format as described below to complete Part Two of this RFA. Applications must be typewritten on 8 ½” by 11” paper, with a font size no smaller than 10 point and margins of at least ½ inch.

- a) **Cover Page** – Complete the form.
- b) **Certifications Form** – The Certifications Form must be completed and signed by an official authorized to bind the organization to the application.
- c) **Work Statement** – The work statement narrative, including a two-page summary, should not exceed 15 pages. Provide a narrative description of the proposed methodology addressing the following topics:
 - i. The summary of application should not exceed 2 pages and must include the following:
 - A. Title of project
 - B. Objectives
 - C. Brief summary of project
 - D. Outline of anticipated results
 - E. Impact of project
 - ii. Statement of problem
 - iii. Objectives to be addressed with grant funding
 - iv. Project plan, which lists tasks to be performed and timeline associated with each task
- d) **Budget** – Use the downloadable format to present your budget request. Instructions regarding completion of the budget can be found in the last worksheet of the downloadable excel budget file. The anticipated grant agreement term is March 1, 2015 to September 30, 2016. The overall 19-month budget for the application shall not exceed \$148,750.00. Your budget needs to contain an Overall Summary in addition to a Summary with Budget Details for each year. Additionally, the funding requires that awarded applicants must fund at least 44 percent of the project’s total cost with non-Federal resources while the Department will fund no more than 56 percent of the

project's total cost. For example, if the applicant's total program cost is \$100,000, the Department allotment \$56,000 then the applicant must provide a match of \$44,000. The formula to calculate the match requirement based on the given award amount is: (award amount \div 56%)-award amount = match amount. The match may be local government dollars, private dollars, such as foundation dollars, or in-kind support. Federal funds may not be used for the match. Applicants must demonstrate how much matching funds they intend to provide and identify the sources of the matching funds.

Overall Summary	3/1/2015 to 9/30/2016	\$148,750.00
Year 1 Summary	3/1/2015 to 9/30/2015	\$63,750.00
Year 2 Summary	10/1/2015 to 9/30/2016	\$85,000.00

See the Budget Definitions section below for more information.

3. Budget Definitions

Personnel: The personnel section shall identify each position by job title, hourly rate, and the number of hours per year allocated to the project. Fringe benefits are to be shown as a separate line item by percentage and shall include a detailed listing of the benefits being covered.

Consultant Services: This budget category shall identify each consultant by classification, hourly rate and number of hours to be utilized under this grant.

Subcontract Services: This budget shall identify each subcontract to be utilized under this grant. If the subcontractor is not known at this time, please indicate by saying "To Be Determined" along with a description of work to be performed.

Patient Services: This budget category shall reflect funding dedicated for patient services.

Equipment: This budget category shall reflect the actual or projected cost of any equipment \$5,000 or greater. Justification for the purchase of any equipment must be included. Purchase of equipment is not a priority of the Department.

Supplies: This budget category shall reflect expected costs for general office supplies including personal computers and facsimile machines valued at less than \$5,000, needed to support this project.

Travel: This budget category shall include anticipated expenditures for travel including mileage, hotels and meals.

Other: This budget category shall be used for anticipated expenditures that do not fit into any of the other budget categories such as telephone, printing, postage, and indirect costs (overhead, general, and administrative). Indirect rates cannot exceed the provider's Federally approved indirect cost rate schedule. In the description area under OTHER COSTS include the % that the rate reflects, identify the budget categories to which the rate was applied, and list the specific items that the indirect is paying for.

E. References

Department of Health and Human Services, Administration for Children and Families, Administration on Children, Youth and Families, Family and Youth Services Bureau (2011). *Title V State Abstinence Education Grant Program Funding Opportunity Announcement*.

Department of Health and Human Services. <http://www.stopbullying.gov>

Dorna, G.T. (1981). *There's a S.M.A.R.T. Way to Write Management's Goals and Objectives*. Management Review, Volume 70, Issue 11, pp. 35-36.

Kaye, K. & Ng, A.S. (2012). *Why it Matters: Teen Childbearing, Education and Economic Wellbeing*.

The National Campaign to Prevent Teen and Unplanned Pregnancy. <http://thenationalcampaign.org/data/landing>.

The National Campaign to Prevent Teen and Unplanned Pregnancy. <http://thenationalcampaign.org/data/state/pennsylvania>.

National Resource Center for Community-Based Child Abuse Prevention. <http://friendsnrc.org/>

Robers, S., Kemp, J., Rathburn, A., and Morgan, R.E. (2014). *Indicators of School Crime and Safety: 2013* (NCES 2014-042/NCJ 243299). National Center for Education Statistics, U.S. Department of Education, and Bureau of Justice Statistics, Office of Justice Programs, U.S. Department of Justice. Washington, D.C.

Search Institute. (2003). 40 Developmental Assets for Middle Childhood (ages 8-12). <http://www.search-institute.org/>.

Search Institute. (1997). 40 Developmental Assets for Adolescents (ages 12-18). <http://www.search-institute.org/>.



40 Developmental Assets® for Middle Childhood (ages 8-12)

Search Institute® has identified the following building blocks of healthy development—known as **Developmental Assets®**—that help young people grow up healthy, caring, and responsible.

External Assets	Support	<ol style="list-style-type: none"> Family support—Family life provides high levels of love and support. Positive family communication—Parent(s) and child communicate positively. Child feels comfortable seeking advice and counsel from parent(s). Other adult relationships—Child receives support from adults other than her or his parent(s). Caring neighborhood—Child experiences caring neighbors. Caring school climate—Relationships with teachers and peers provide a caring, encouraging environment. Parent involvement in schooling—Parent(s) are actively involved in helping the child succeed in school.
	Empowerment	<ol style="list-style-type: none"> Community values youth—Child feels valued and appreciated by adults in the community. Children as resources—Child is included in decisions at home and in the community. Service to others—Child has opportunities to help others in the community. Safety—Child feels safe at home, at school, and in his or her neighborhood.
Boundaries & Expectations	<ol style="list-style-type: none"> Family boundaries—Family has clear and consistent rules and consequences and monitors the child's whereabouts. School Boundaries—School provides clear rules and consequences. Neighborhood boundaries—Neighbors take responsibility for monitoring the child's behavior. Adult role models—Parent(s) and other adults in the child's family, as well as nonfamily adults, model positive, responsible behavior. Positive peer influence—Child's closest friends model positive, responsible behavior. High expectations—Parent(s) and teachers expect the child to do her or his best at school and in other activities. 	
Constructive Use of Time	<ol style="list-style-type: none"> Creative activities—Child participates in music, art, drama, or creative writing two or more times per week. Child programs—Child participates two or more times per week in cocurricular school activities or structured community programs for children.. Religious community—Child attends religious programs or services one or more times per week. Time at home—Child spends some time most days both in high-quality interaction with parents and doing things at home other than watching TV or playing video games. 	
Internal Assets	<ol style="list-style-type: none"> Achievement Motivation—Child is motivated and strives to do well in school. Learning Engagement—Child is responsive, attentive, and actively engaged in learning at school and enjoys participating in learning activities outside of school. Homework—Child usually hands in homework on time. Bonding to school—Child cares about teachers and other adults at school. Reading for Pleasure—Child enjoys and engages in reading for fun most days of the week. 	
Positive Values	<ol style="list-style-type: none"> Caring—Parent(s) tell the child it is important to help other people. Equality and social justice—Parent(s) tell the child it is important to speak up for equal rights for all people. Integrity—Parent(s) tell the child it is important to stand up for one's beliefs. Honesty—Parent(s) tell the child it is important to tell the truth. Responsibility—Parent(s) tell the child it is important to accept personal responsibility for behavior. Healthy Lifestyle—Parent(s) tell the child it is important to have good health habits and an understanding of healthy sexuality. 	
Social Competencies	<ol style="list-style-type: none"> Planning and decision making—Child thinks about decisions and is usually happy with results of her or his decisions. Interpersonal Competence—Child cares about and is affected by other people's feelings, enjoys making friends, and, when frustrated or angry, tries to calm her- or himself. Cultural Competence—Child knows and is comfortable with people of different racial, ethnic, and cultural backgrounds and with her or his own cultural identity. Resistance skills—Child can stay away from people who are likely to get her or him in trouble and is able to say no to doing wrong or dangerous things. Peaceful conflict resolution—Child seeks to resolve conflict nonviolently. 	
Positive Identity	<ol style="list-style-type: none"> Personal power—Child feels he or she has some influence over things that happen in her or his life. Self-esteem—Child likes and is proud to be the person that he or she is. Sense of purpose—Child sometimes thinks about what life means and whether there is a purpose for her or his life. Positive view of personal future—Child is optimistic about her or his personal future. 	



40 Developmental Assets® for Adolescents (ages 12-18)

Search Institute® has identified the following building blocks of healthy development—known as **Developmental Assets**®—that help young people grow up healthy, caring, and responsible.

External Assets	Support	1. Family support —Family life provides high levels of love and support. 2. Positive family communication —Young person and her or his parent(s) communicate positively, and young person is willing to seek advice and counsel from parents. 3. Other adult relationships —Young person receives support from three or more nonparent adults. 4. Caring neighborhood —Young person experiences caring neighbors. 5. Caring school climate —School provides a caring, encouraging environment. 6. Parent involvement in schooling —Parent(s) are actively involved in helping young person succeed in school.
	Empowerment	7. Community values youth —Young person perceives that adults in the community value youth. 8. Youth as resources —Young people are given useful roles in the community. 9. Service to others —Young person serves in the community one hour or more per week. 10. Safety —Young person feels safe at home, school, and in the neighborhood.
	Boundaries & Expectations	11. Family boundaries —Family has clear rules and consequences and monitors the young person's whereabouts. 12. School Boundaries —School provides clear rules and consequences. 13. Neighborhood boundaries —Neighbors take responsibility for monitoring young people's behavior. 14. Adult role models —Parent(s) and other adults model positive, responsible behavior. 15. Positive peer influence —Young person's best friends model responsible behavior. 16. High expectations —Both parent(s) and teachers encourage the young person to do well.
	Constructive Use of Time	17. Creative activities —Young person spends three or more hours per week in lessons or practice in music, theater, or other arts. 18. Youth programs —Young person spends three or more hours per week in sports, clubs, or organizations at school and/or in the community. 19. Religious community —Young person spends one or more hours per week in activities in a religious institution. 20. Time at home —Young person is out with friends "with nothing special to do" two or fewer nights per week.
	Commitment to Learning	21. Achievement Motivation —Young person is motivated to do well in school. 22. School Engagement —Young person is actively engaged in learning. 23. Homework —Young person reports doing at least one hour of homework every school day. 24. Bonding to school —Young person cares about her or his school. 25. Reading for Pleasure —Young person reads for pleasure three or more hours per week.
	Positive Values	26. Caring —Young person places high value on helping other people. 27. Equality and social justice —Young person places high value on promoting equality and reducing hunger and poverty. 28. Integrity —Young person acts on convictions and stands up for her or his beliefs. 29. Honesty —Young person "tells the truth even when it is not easy." 30. Responsibility —Young person accepts and takes personal responsibility. 31. Restraint —Young person believes it is important not to be sexually active or to use alcohol or other drugs.
	Social Competencies	32. Planning and decision making —Young person knows how to plan ahead and make choices. 33. Interpersonal Competence —Young person has empathy, sensitivity, and friendship skills. 34. Cultural Competence —Young person has knowledge of and comfort with people of different cultural/racial/ethnic backgrounds. 35. Resistance skills —Young person can resist negative peer pressure and dangerous situations. 36. Peaceful conflict resolution —Young person seeks to resolve conflict nonviolently.
	Positive Identity	37. Personal power —Young person feels he or she has control over "things that happen to me." 38. Self-esteem —Young person reports having a high self-esteem. 39. Sense of purpose —Young person reports that "my life has a purpose." 40. Positive view of personal future —Young person is optimistic about her or his personal future.

Internal Assets	Commitment to Learning	21. Achievement Motivation —Young person is motivated to do well in school. 22. School Engagement —Young person is actively engaged in learning. 23. Homework —Young person reports doing at least one hour of homework every school day. 24. Bonding to school —Young person cares about her or his school. 25. Reading for Pleasure —Young person reads for pleasure three or more hours per week.
	Positive Values	26. Caring —Young person places high value on helping other people. 27. Equality and social justice —Young person places high value on promoting equality and reducing hunger and poverty. 28. Integrity —Young person acts on convictions and stands up for her or his beliefs. 29. Honesty —Young person "tells the truth even when it is not easy." 30. Responsibility —Young person accepts and takes personal responsibility. 31. Restraint —Young person believes it is important not to be sexually active or to use alcohol or other drugs.
	Social Competencies	32. Planning and decision making —Young person knows how to plan ahead and make choices. 33. Interpersonal Competence —Young person has empathy, sensitivity, and friendship skills. 34. Cultural Competence —Young person has knowledge of and comfort with people of different cultural/racial/ethnic backgrounds. 35. Resistance skills —Young person can resist negative peer pressure and dangerous situations. 36. Peaceful conflict resolution —Young person seeks to resolve conflict nonviolently.
	Positive Identity	37. Personal power —Young person feels he or she has control over "things that happen to me." 38. Self-esteem —Young person reports having a high self-esteem. 39. Sense of purpose —Young person reports that "my life has a purpose." 40. Positive view of personal future —Young person is optimistic about her or his personal future.

Mentoring Models and Design Considerations

Traditional Mentoring Model

The traditional mentoring model pairs one adult with one young person. Mentors serve as role models, providing their mentees with an experienced friend who provides guidance to and teaches the child while expanding the child's viewpoint. The goal of this relationship is for the adult to help shape the youth's future for the better by empowering the child to achieve. Several different approaches can be used to facilitate the creation of traditional mentoring relationships:

- Agency-facilitated Mentors

Under this model, a community-based organization assumes responsibility for recruiting, matching, orienting and supporting youth and adults who will participate in the mentoring program.

- School-based Teacher Mentors

Teachers may become nurturing, informal mentors by virtue of the nature of their positions and interactions with youth within the school environment (e.g., athletic coaches, drama teachers, etc.). This mentoring model formalizes this approach by matching youth with teachers and other adult school-based personnel with skills and experience working with youth who work in the schools they attend. The model promotes the pairing of these professional adults as mentors to youth in the school setting, the environment where youth spend much of their time. The mentoring can occur before, during and after the school day.

- Neighborhood (or Natural) Mentors

This program model, also called "natural mentors," enables youth to self-select and negotiate a mentoring relationship from among adults who they admire in their daily lives. The National Guard Youth Challenge Program web site provides guidance to youth for self-selecting an adult mentor from among family members, family friends, neighbors, sports team personnel, community leaders, or personnel from school, church or faith communities, local recreation and youth programs and police and fire departments. (See <http://www.ngycp.org/site/mentor> for more information.)

- Service-Learning Mentors

The service-learning model enables youth to participate in a sustained community-based activity designed to bring them into contact with caring adults. The community service activities combine specific educational purposes with the aim of benefiting others. According to the National Service-Learning Clearinghouse, service learning is a "teaching and learning strategy that integrates meaningful community service with

instruction and reflection to enrich the learning experience, teach civic responsibility and strengthen communities.” Optimally, service-learning programs create mentor-rich environments where adults connected with a service organization or service activities interact with youth on a regular basis. Mentoring often occurs naturally, as adults work closely with and provide guidance to youth. Program staff encourages and supports both adults and youth to form mentoring relationships.

Service-learning can either be a stand-alone mentoring model or incorporated into an existing mentoring program or relationship as an adult-supervised activity. Variations on the service-based model might include a group of youth who identify and undertake a beneficial activity together under the supervision of adults or where an individual mentor and mentee work together on a service-learning endeavor.

Small Group and Team Mentoring

Small group mentoring pairs one adult with as many as four young people. Team mentoring involves several adults working with small groups of young people where the adult-to-youth ratio is not greater than one to four. Group mentoring is more complex than one-to-one mentoring because it entails the multiple interactions. When skillfully managed, the group interactions are a productive part of the mentoring experience. Team mentoring can make it possible for adults who are unable to commit to a fixed schedule to serve as mentors. However, care must be taken to avoid superficial relationships when mentors are not regularly present.

Note: On-line or e-mentoring and peer mentoring are not allowable options for this initiative.

Mentoring Program Design

Attachment 5 presents an informational overview of traditional one-on-one, group, and team mentoring from the publication “How to Build A Successful Mentoring Program Using the TM *Elements of Effective Practice for Mentoring*” developed by MENTOR (see http://www.mentoring.org/downloads/mentoring_413.pdf). This document also includes comprehensive guidelines for designing and planning, managing, operating and evaluating mentoring programs. Note: E-mentoring and peer monitoring models, which are included in this summary, are not eligible for funding through this RFA.

The *Elements of Effective Practice for Mentoring* TM, also developed by MENTOR, describes six components, based on quality mentoring research policies and practices that should be included when planning and designing an effective mentoring program. These elements include mentor and mentee recruitment, mentor screening, mentor training, matching, monitoring and support, and closure (see http://www.mentoring.org/downloads/mentoring_1222.pdf).

Longevity of Mentoring Relationships

Longer term mentoring relationships of a year or more are associated with higher benefits to youth than shorter-term relationships; therefore, mentors recruited through this program should be asked to make at least a year-long commitment. Consequently, it is critical that caution be exercised when selecting, screening, training, and monitoring mentors. Studies have shown that youth who are left by their mentor within a short period of time fare worse than those who were never matched with mentors (Grossman, J. B., & Rhodes, J. E. (2002). The test of time: Predictors and effects of duration in youth mentoring relationships. *American Journal of Community Psychology, 30*(2), 199–219.).

College students may present a challenge as potential long-term mentors because their ability to commit to a consistent mentoring relationship may be adversely affected by such factors as academic and vacation schedules, lack of availability, and their own developmental stages. However, they can play an important supporting role in a mentoring program by providing mentored youth with a first-hand view of the college experience, academic assistance and/or service opportunities.

Mentor Stipends or Vendor Discounts

Many mentoring programs rely on volunteer mentors who assume all the costs associated with this role. Assisting with these costs may be a helpful incentive in recruiting and maintaining mentors. Therefore, projects have the option of reimbursing mentors for reasonable receipted costs incurred for the mentored youth during mentoring activities. Projects, which opt for this alternative, should develop guidelines and reimbursement policies and limits for selected activities. In addition, as part of community engagement activities, the sponsoring organization can request free or discounted passes or tickets to a variety of activities including athletic or cultural events, movie theatres, youth sports facilities, or restaurants for use by mentors.

Resources on Mentoring and Service-Learning

<http://www.mentoring.org>

MENTOR: The National Mentoring Partnership (MENTOR) is a leading supporter of youth mentoring in the United States. MENTOR develops resources for mentoring programs and promotes quality mentoring through standards, cutting-edge research and state of the art tools.

http://www.mentoring.org/program_resources/elements_and_toolkits

This website provides rigorous, research-based guidelines for mentoring service providers developed by MENTOR including the *Elements of Effective Practice for Mentoring* and a companion publication entitled "How to Build a Successful Mentoring Program Using the *Elements of Effective Practice for Mentoring*".

http://mentoring.org/find_resources/elements_of_effective_practice/trainers_manual/

The *Community Mentoring for Adolescent Development* (CMAD) manual, originally developed by Baylor University to train college students to mentor young adolescents, has been revised and updated by MENTOR. The manual provides extensive content for preparing mentors to work with adolescents and older preteens as well as training information for mentors.

http://www.mentoring.org/program_resources/library

This website offers access to a variety of mentoring resources and information for mentoring programs, mentors and mentees.

http://mentoring.org/find_resources/afterschool_clearinghouse/

The After School Clearinghouse provides tools and resources to add a mentoring component to an after school program.

<http://www.bbbs.org/site/c.9iIL3NGKhK6F/b.5962335/k.BE16/Home.htm>

Big Brothers Big Sisters of America offers information on one-to-one mentoring and documented research demonstrating the positive impact of this program.

<http://www.ngyep.org/site/mentor>

The National Guard Youth Challenge Program provides guidance to youth for self-selecting a mentor from among adults known through the family, family friends, neighbors, sports team personnel, community leaders, school, church or faith communities, local recreation and youth programs and police and fire departments.

Play, Talk, Learn: Promising Practices in Youth Mentoring. *New Directions for Youth Development*, 126 (Summer 2010).

This special issue includes ten studies of community-and school-based mentoring that explore how specific aspects of the mentoring program structure and relationship impact mentoring outcomes.

Youth Mentoring in Perspective (Special Issue). *American Journal of Community Psychology*, 30(2) (April 2002).

This special issue includes eight articles, which discuss different models of mentoring and their effectiveness. Articles of particular interest include:

Grossman, J. B., and Rhodes, J. E. The test of time: Predictors and effects of duration in youth mentoring relationships, 199–219.

Zimmerman MA, et al. Natural mentors and adolescent resiliency: a study with urban youth, 221-43.

Service-learning

<http://www.learnandservice.org/>

Learn and Serve America funds service-learning programs that enable schools and community groups to combine community service activities with educational, civic, or leadership objectives. The site provides information on effective models and research studies on service-learning.

[http://www.servicelarning.org/](http://www.servicelearning.org/)

This site, which is sponsored by Learn and Serve America, serves as a clearinghouse for resources on service learning. The website contains information and resources to support service-learning programs.

<http://www.nylc.org/>

The National Youth Leadership Council is an organization that promotes service-learning as a teaching method that engages students in meaningful service to their schools and communities.

<http://www.civicyouth.org/>

The Center for Information and Research on Civic Learning and Engagement (CIRCLE) presents research and technical assistance to organizations related to the civic and political engagement of young Americans.

<http://www.theinnovationcenter.org/>

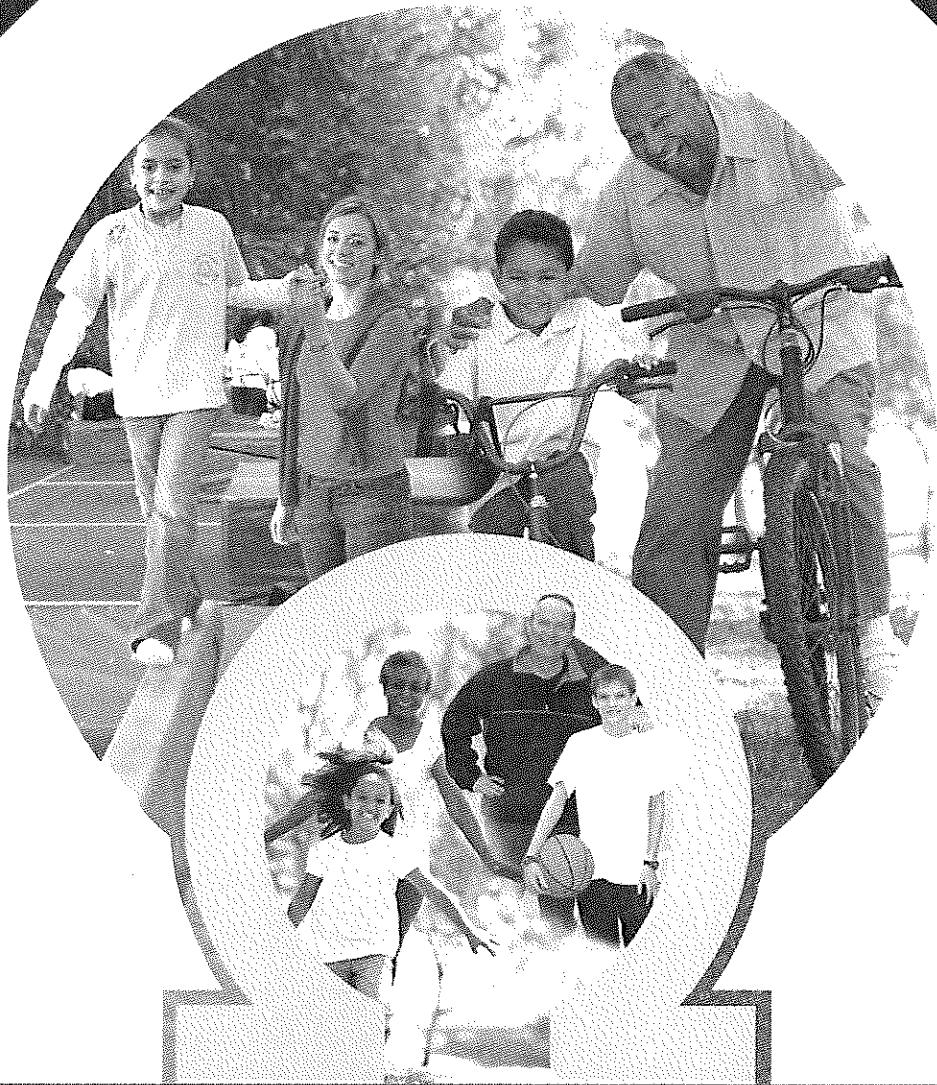
The Innovation Center for Community Youth and Development seeks new ways to strengthen the field of youth development, including the use of service-learning to enhance the well-being of local communities. The Center offers consulting, training and tools to help organizations of all sizes integrate youth adult partnership into their work.

<http://www.augsburg.edu/cdc/publicachievement/>

Public Achievement is a youth civic engagement initiative focused on the concepts of citizenship, democracy and public work.

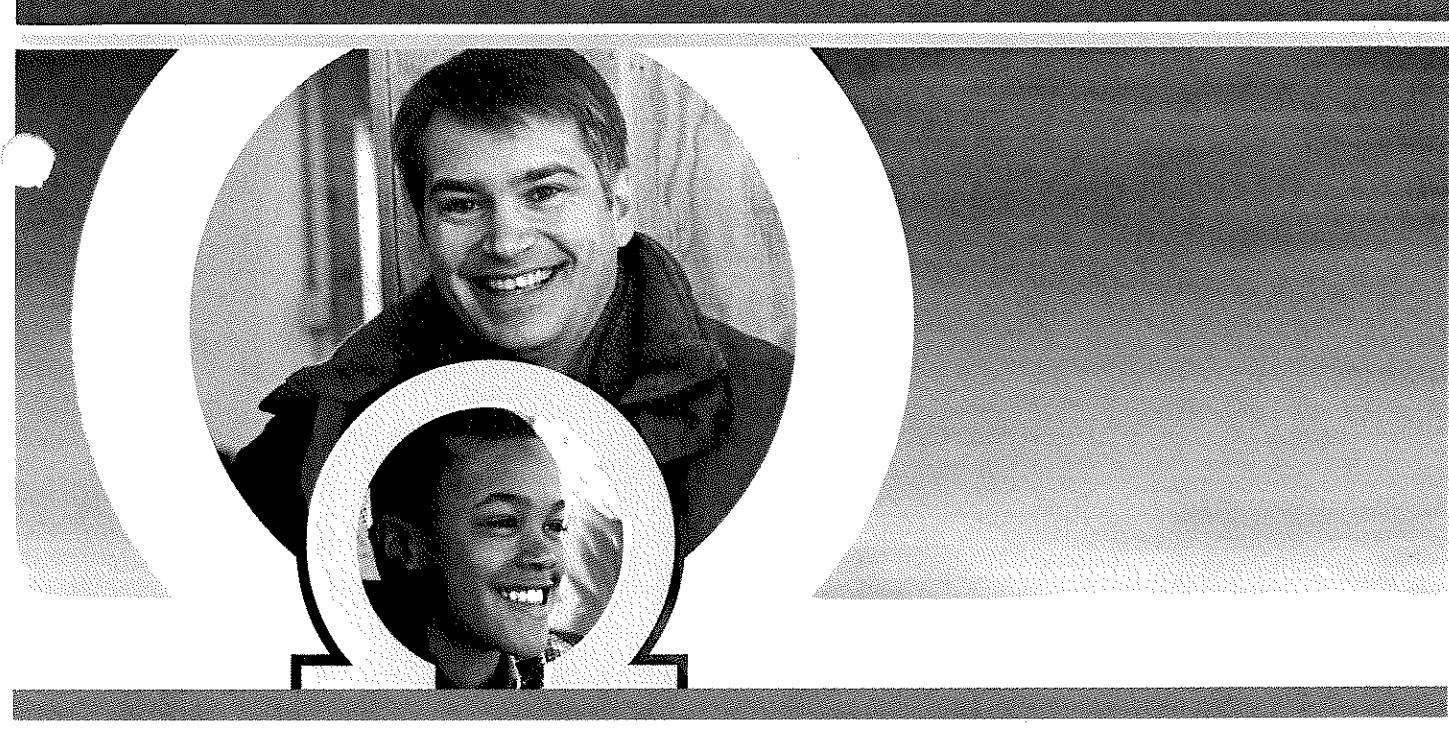
Elements of **Effective Practice for MentoringTM**

Newly revised edition, which includes
evidenced-based operational standards



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MetLife Foundation



Introduction

As a strategy for helping young people succeed in school, work and life, mentoring works. It helps give young people the confidence, resources and support they need to achieve their potential. But, the fact is this: these positive outcomes are only possible when young people are engaged in high-quality mentoring relationships.

The *Elements of Effective Practice for Mentoring* holds the key to success in producing high-quality relationships. The new edition of the *Elements* provides six evidence-based standards for practice that incorporate the latest research and best-available practice wisdom. It also reprises advice that appeared in earlier editions on program design and planning; program management; program operations; and program evaluation.

We believe adherence to the *Elements* will ensure that mentoring relationships thrive and endure. They include measures that any mentoring program in any setting can implement, as well as measures that any agency can incorporate within the mentoring element of broad-based, positive youth development programming. This means that community-based, corporate-based, school-based, faith-based and Internet-based mentoring programs can use the *Elements* to meet the specific needs of the young people they serve and the milieu in which they operate. And, it means that afterschool and other positive youth development programs which embed mentoring within their programming will find the *Elements* equally useful and adaptable.

These new guidelines are the culmination of a process that, once again, brought together the nation's foremost authorities on mentoring. The leaders are recognized in the Acknowledgments section. We thank each and every one of them for their invaluable counsel and dedication to making mentoring the kind of experience it should be for children.

For additional details about the research that underpins these guidelines or to learn more about approaches to implementing them, please visit www.mentoring.org. Finally, there will undoubtedly be a fourth edition of the *Elements*, so your feedback and suggestions are welcome. Meanwhile, we thank you for your interest and for continuing to help raise the bar as we all work to expand the world of quality mentoring.

In partnership,

Tonya T. Wiley
Chief Administrative Officer



This edition of the *Elements* is divided into two parts:

Part I: Operational Standards for Mentoring Programs (*or mentoring embedded into larger, positive youth development programming, like afterschool programs*)

Part II: Program Design and Planning, Management and Evaluation

Part I offers six evidence-based **standards** that address six critical dimensions of mentoring program operations: 1) recruitment; 2) screening; 3) training; 4) matching; 5) monitoring and support; and 6) closure. For each standard, specific **benchmarks** are advanced, along with research-based **justifications**. Together, the standards and benchmarks provide practical guidance on how best to approach the provision of high-quality mentoring in day-to-day operations — whether in a stand-alone mentoring program or a positive youth development program in which mentoring is one element. In addition, **enhancements**, based principally on the wisdom of outstanding practitioners, are offered for readers' consideration and use.

Part II provides equally practical advice regarding how to build a new mentoring program or strengthen an existing one. It focuses on program design and planning; program management; and program evaluation. The **program design and planning** section includes guidelines you can use to launch an effective new mentoring initiative. The section on **program management** focuses on what needs to be done to ensure that a mentoring program operates within a strong organizational context, no matter what the precise setting — which will continue to vary widely. The section on **program evaluation** imparts basic guidelines on how to prepare for and support this important function.

Finally, to review and adapt the operational standards and/or make use of advice regarding program planning, management, operations and evaluation, please check out two additional resources. First, meet with your local *Mentoring Partnership* (They now operate in 25 states and are one-stop sites for information about quality mentoring practice. See www.mentoring.org/find_resources/state_partnerships/ for listings.). Second, please visit www.mentoring.org, the nation's most comprehensive resource for mentors and mentoring initiatives nationwide.



Part I:

Operational Standards for Mentoring Programs

Recruitment

Standard: Recruit appropriate mentors and mentees by realistically describing the program's aims and expected outcomes.

Benchmarks:

Mentor Recruitment

B.1.1 Program engages in recruitment strategies that realistically portray the benefits, practices and challenges of mentoring in the program.

Mentee Recruitment

B.1.2 Program recruits youth whose needs best match the services offered by the program and helps them understand what mentoring is and what they can expect from a mentoring relationship.

Enhancements:

Mentor Recruitment

E.1.1 Program has a written statement outlining eligibility requirements for mentors in its program.

Mentee Recruitment

E.1.2 Program has a written statement outlining eligibility requirements for mentees in its program.

Justification for Recruitment Benchmarks:

Mentors' unfulfilled expectations can contribute to an earlier-than-expected ending of mentoring relationships.¹ Thus, it is important for programs to realistically describe both the rewards and challenges of mentoring when recruiting mentors. When imagined outcomes are not immediately realized or take a different form than what was originally expected, mentors may decide that the relationship does not meet their needs, and, consequently, they may end the match prematurely. Thus, when recruiting potential mentors, it is important to set realistic expectations regarding a mentoring relationship and what it can achieve. Practically

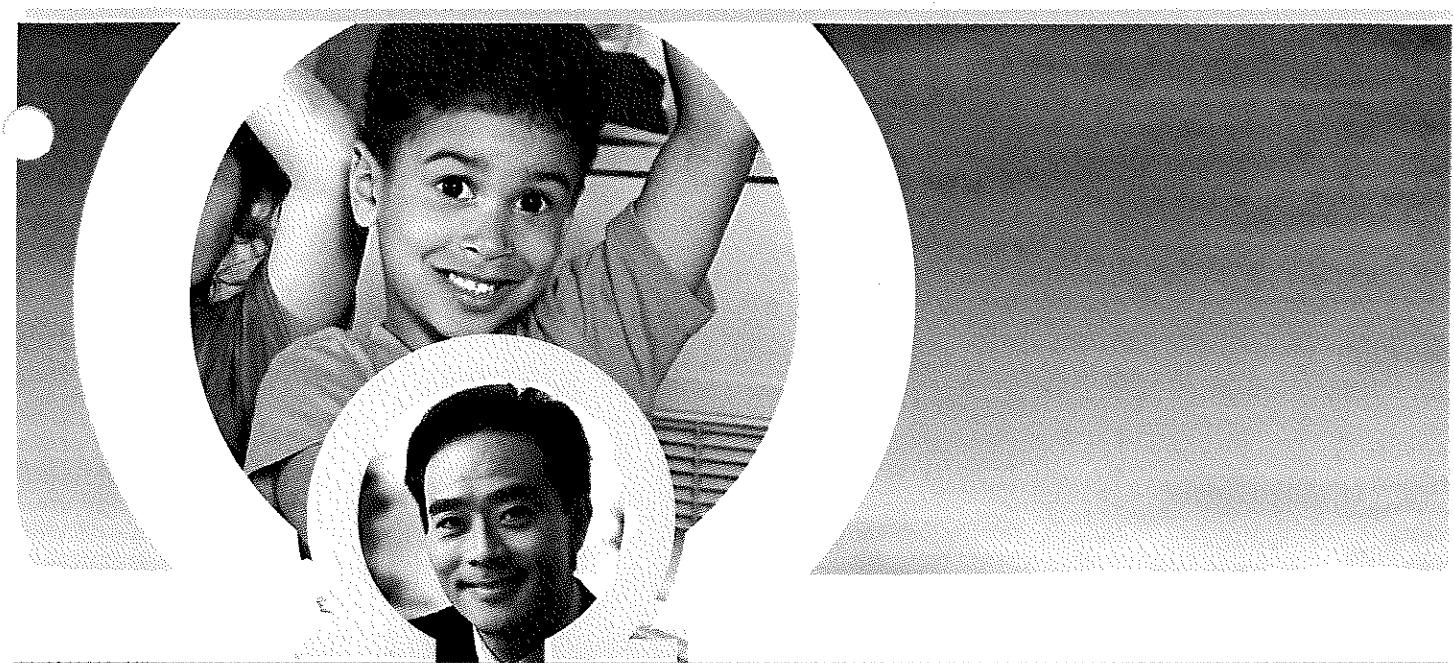
speaking, one way to set realistic expectations for a prospective mentor is to provide him or her with written eligibility requirements.

Also, mentees frequently report not knowing what to expect from a mentoring program and/or in a mentoring relationship.¹ Therefore, when mentees are recruited for participation in a mentoring program, it is important to provide them with information about what mentoring is and how it can be helpful to them. Program staff should also inquire about prospective mentees' expectations about being mentored and about the mentoring program. In this way, program staff can help prospective mentees develop both positive and realistic expectations.

References

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Standard 2: Screening

Standard: Screen prospective mentors to determine whether they have the time, commitment and personal qualities to be an effective mentor.

Benchmarks:

Mentor Screening

- B.2.1** Mentor completes an application.
- B.2.2** Mentor agrees to a one (calendar or school) year minimum commitment for the mentoring relationship.
- B.2.3** Mentor agrees to participate in face-to-face meetings with his or her mentee that average one time per week and one hour per meeting over the course of a calendar or school year.*

*This benchmark may be addressed differently as long as there is evidence to support that the variation is associated with positive outcomes for mentees (e.g., combining in-person meetings with online communication or telephone calls; meeting almost exclusively online; meeting less frequently than once a week, with each meeting lasting for more than an hour, on average). As a general rule, programs should aim to either meet this benchmark or provide a clear rationale for doing otherwise. (See justification for additional comments on this topic.)

- B.2.4** Program conducts at least one face-to-face interview with mentor.
- B.2.5** Program conducts a reference check (personal and/or professional) on mentor.
- B.2.6** Program conducts a comprehensive criminal background check on adult mentor, including searching a national criminal records database along with sex offender and child abuse registries.

Mentee Screening

- B.2.7** Parent(s)/guardian(s) complete an application and provide informed consent for their child to participate.
- B.2.8** Parent(s)/guardian(s) and mentee agree to a one (calendar or school) year minimum commitment for the mentoring relationship.
- B.2.9** Parents(s)/guardian(s) and mentee agree that the mentee will participate in face-to-face meetings with his or her mentor a minimum of one time per week, on average, for a minimum of one hour per meeting, on average.

Enhancements:

- E.2.1** Program utilizes national, fingerprint-based FBI criminal background checks (e.g., the SafetyNET system operating under the auspices of the Child Protection Improvements Act, in cooperation with the National Center for Missing & Exploited Children).
- E.2.2** School-based programs assess mentor's interest in maintaining contact with mentee during the summer months following the close of the school year and offer assistance with maintaining contact.

Justification for Screening **Benchmarks:**

Screening practices, including face-to-face interviews with prospective mentors, as well as reference and background checks, are recommended as a guideline across a wide range of mentoring programs.^{1,2} Reference checks are also essential for assessing the suitability of the prospective mentor for a mentoring relationship. More specifically, criminal background checks are a necessary component of screening prospective mentors and must be conducted before initiating any contact between the mentor and the mentee. The check provides a concrete method for mentoring programs to enhance the likelihood that the mentee will be protected and safe with his or her mentor.

Analyses indicate that it is important to gain access to records from national and not just state registries because criminals move, and one state registry alone may not provide a complete picture of an individual's criminal history. The SafetyNET

criminal background check system employs a fingerprint-based system that relies on nationwide records available through the FBI. Findings indicate that SafetyNET provides the best available protection against those who may have a record of serious crimes against children in one state and then apply to be a mentor in another state.³

Mentor and Mentee Commitment

Longer-term mentoring relationships are associated with more benefits to youth than shorter-term relationships. Evidence for the importance of relationship duration has emerged from studies of community- and school-based models of volunteer youth mentoring.^{4,5,6,7,8} For example, adolescents who participated in a relationship that lasted at least 12 months had more positive benefits as compared to youth in relationships that lasted fewer than 12 months.⁴ In addition, prematurely ending a match may result in negative child outcomes.^{4,9} Taken together, these studies establish the importance of mentoring relationships lasting for at least one

academic or calendar year. What may eventually emerge as the dominant influence on effects related to program duration is whether relationships are continued for the full duration of the established expectations, even if these are for a shorter period of time than one calendar year.¹⁰ However, the current evidence suggests that longer is better and that programs that last less than one year generally produce less potent outcomes.

In addition to relationship length, the frequency of contact between mentor and mentee has also been linked to positive youth outcomes. Frequent, regular contact provides more opportunities to develop a close relationship by engaging in shared activities and providing ongoing social and emotional support.^{7,11,12}

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Standard 3: Training

Standard: Train prospective mentors in the basic knowledge and skills needed to build an effective mentoring relationship.

Benchmarks:

Mentor Training

- B.3.1** Program provides a minimum of two hours of pre-match, in-person training.
- B.3.2** Mentor training includes the following topics, at a minimum:
 - a. Program rules;
 - b. Mentors' goals and expectations for the mentor/mentee relationship;
 - c. Mentors' obligations and appropriate roles;
 - d. Relationship development and maintenance;
 - e. Ethical issues that may arise related to the mentoring relationship;
 - f. Effective closure of the mentoring relationship; and
 - g. Sources of assistance available to support mentors.

Enhancements:

Mentor Training

- E.3.1** Program uses evidence-based training materials.
- E.3.2** Program provides additional pre-match training opportunities beyond the two-hour, in-person minimum.

E.3.3 Program addresses the following developmental topics in the training:

- Youth development process;
- Cultural, gender and economic issues; and
- Opportunities and challenges associated with mentoring specific populations of children (e.g., children of prisoners, youth involved in the juvenile justice system, youth in foster care, high school dropouts), if relevant.

E.3.4 Program uses training to continue to screen mentors for suitability and develops techniques for early trouble-shooting should problems be identified.

Mentee Training

E.3.5 Program provides training for the mentee and his or her parent(s)/guardian(s) (when appropriate) on the following topics:

- Program guidelines;
- Mentors' obligations and appropriate roles;
- Mentees' obligations and appropriate roles; and
- Parental/guardian involvement guidelines.

Justification for Training Benchmarks:

Mentor Training

Mentor training is a vital component of any successful mentoring program.¹ Mentor training is particularly important because it has documented implications for mentors' perceptions about the mentor-mentee relationship, including their feelings of closeness, support, satisfaction and effectiveness as a mentor.^{2,3,4} Further, these perceptions of the mentor-mentee relationship are thought to influence the positive outcomes and continuation of the mentor-mentee relationship, suggesting the lasting importance of mentor training for youth outcomes.⁴

Length of Mentor Training

According to recent research, community- and school-based mentors in Big Brothers Big Sisters of America programs who attended fewer than two hours of pre-match training reported less positive feelings of closeness and support about the relationship with their mentee, spent less time with their mentee and were less likely to continue their relationship into a second year than mentors who received more training.³

Content of Mentor Training

Mentors and mentees may experience difficulties when their motivations and goals for the mentoring relationship do not match. Mentors' motivations are especially influential in the early stages of the mentoring relationship.^{5,6} Mentors' motivations also influence whether they obtain information about mentoring prior to the match, plan for future activities with their mentee and form expectations about the mentoring relationship.⁷ And, mentors who report a discrepancy between their initial expectations of their relationship with their mentee and their actual post-match experiences with their mentee are less likely to report an intention to stay in the mentoring relationship.^{8,9} Consequently, training should include a focus on mentor motivations, as well as on helping mentors to identify their goals, modify unrealistic expectations and plan to compare their goals with their mentees' goals to identify and address discrepancies between the two.

Given that having realistic expectations is associated with relationship longevity, training should address the needs of special populations of mentored youth, such as the children of prisoners, children in foster care, children in the juvenile justice system,

children who have dropped out of school and immigrant children.^{8,9} For example, immigrant youth face unique challenges, including stress related to discrimination, poverty and separation from family members.¹⁰ Training for mentors of immigrant youth should raise volunteers' awareness of these challenges, as well as heighten their cultural sensitivity. In addition, training should stress the negative outcomes associated with early termination, as research suggests that the termination of a mentoring relationship may be particularly destructive for immigrant youth, especially if they have already experienced the loss of family members during the process of migration.¹¹

In another example of a special population, children of incarcerated parents struggle with issues of trust and social stigma.¹² These children often believe that no one trusts them because of their parents' criminal history and have trust issues themselves due to their unstable family situation.¹² Training for mentors of

this population should emphasize building trust, for example, by being consistent and following through with plans. Mentors of children of prisoners should also be aware of the possibility that their mentees may feel embarrassed about their parent's incarceration, and they should be equipped with the skills necessary to respond effectively in the event that these feelings are disclosed.¹²

Finally, long-term positive mentoring relationships develop through demonstrating positive relationship behaviors such as authenticity, empathy, collaboration and companionship.⁹ Training should also focus on developing and sustaining these relationship-enhancing behaviors. Further, training on how to foster a developmental (i.e., cooperative, mentor-driven relationship designed to meet the needs of the mentee) versus prescriptive (i.e., mentor as authority figure) mentoring relationship is recommended.¹³

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Standard 4: Matching

Standard: Match mentors and mentees along dimensions likely to increase the odds that mentoring relationships will endure.

Benchmarks:

- B.4.1** Program considers its aims, as well as the characteristics of the mentor and mentee (e.g., interests, proximity, availability, age, gender, race, ethnicity, personality and expressed preferences of mentor and mentee) when making matches.
- B.4.2** Program arranges and documents an initial meeting between the mentor and mentee.

Enhancements:

- E.4.1** Program staff member should be on site and/or present during the initial meeting of the mentor and mentee.

Justification for Matching Benchmarks:

Matching mentors and mentees based on similarities such as age, gender, race and ethnicity, as well as mutual interests, is frequently recommended. However, research comparing cross-race and same-race matches has found few, if any, differences in the

development of relationship quality or in positive outcomes — suggesting that matching on race may not be a critical dimension of a successful mentoring relationship.^{1,2} Thus, although the research is not yet conclusive, it has been suggested that matching based on qualities such as the mentor's skills and common interests with the youth should take precedence over matching based on race.³

In addition, it has been suggested that a mentor's interpersonal skills be considered during the matching process.⁴ For example, one specific interpersonal skill that has been studied in recent research, known as attunement, is defined as a mentor's ability to identify and solve relationship barriers. Research has found that the strongest mentor-mentee relationships are with mentors who

were either highly or moderately attuned, which suggests that a mentor's ability to tune in to others should be considered in making a match.

Once matched, mentoring best practices suggest that mentors and mentees should have a formal, initial meeting documented by the mentoring program.⁵

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Standard 5: Monitoring and Support

Standard: Monitor mentoring relationship milestones and support mentors with ongoing advice, problem-solving support and training opportunities for the duration of the relationship.

Benchmarks:

- B.5.1** Program contacts the mentor and mentee at a minimum frequency of twice per month for the first month of the match and monthly thereafter.
- B.5.2** Program documents information about each mentor-mentee contact, including, at minimum, date, length and nature of contact.
- B.5.3** Program provides mentors with access to at least two types of resources (e.g., expert advice from program staff or others; publications; Web-based resources; experienced mentors; available social service referrals) to help mentors negotiate challenges in the mentoring relationships as they arise.
- B.5.4** Program follows evidenced-based protocol to elicit more in-depth assessment from the mentor and mentee about the relationship and uses scientifically-tested relationship assessment tools.
- B.5.5** Program provides one or more opportunities per year for post-match mentor training.

Enhancements:

- E.5.1** Program has quarterly contact with a key person in the mentee's life (e.g., parent, guardian or teacher) for the duration of the match.
- E.5.2** Program hosts one or more group activities for mentors and their mentees, and/or offers information about activities that mentors and mentees might wish to participate in together.
- E.5.3** Program thanks mentors and recognizes their contributions at some point during each year of the relationship, prior to match closure.

Justification for Monitoring and Support Benchmarks:

Practices Designed to Provide Monitoring and Support

Matches that are monitored and supported are more satisfying and successful, which, in turn, leads to more positive youth outcomes.^{1,2,3,4} Continued monitoring of the relationship should especially focus on the development of close relationships, as youth who perceive more trusting, mutual and empathic relations with their mentors experience greater improvements than youth who perceive lower levels of these relationship qualities.⁵ Mentoring programs that provide monthly calendars of low-cost events, offer tickets to events or provide opportunities to participate in structured activities are associated with positive outcomes.⁶

Assessment of Mentor/Mentee Relationship

Assessing the quality of each mentoring relationship from the perspective of both the mentor and mentee

can yield valuable information for supporting individual matches.^{7,8} Many surveys have been developed for this purpose, but only a small number are evidence-based and have been rigorously evaluated for reliability and validity.⁷ Programs could benefit by seeking out and using scientifically-validated surveys when assessing mentoring relationship qualities.

Advanced Mentor Training for Ongoing Support

After the mentor and youth have begun their relationship, mentors can benefit from additional training on topics such as increasing multicultural understanding, particularly regarding issues of race and class differences.⁹ This type of training would provide mentors with the opportunity to identify and discuss possible cultural differences they and their mentee may encounter, which could help to prevent potential misunderstandings in the future.

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Standard 6: Closure

Standard: Facilitate bringing the match to closure in a way that affirms the contributions of both the mentor and the mentee and offers both individuals the opportunity to assess the experience.

Benchmarks:

- B.6.1** Program has procedure to manage anticipated closures, including a system for a mentor or mentee rematch.
- B.6.2** Program has procedure to manage unanticipated match closures, including a system for a mentor or mentee rematch.
- B.6.3** Program conducts and documents an exit interview with mentor and mentee.

Enhancements:

- E.6.1** Program explores opportunity to continue the mentor/mentee match for a second (or subsequent) year.
- E.6.2** Program has a written statement outlining terms of match closure and policies for mentor/mentee contact after a match ends.
- E.6.3** Program hosts a final celebration meeting or event with the mentor and mentee to mark progress and transition.

Justification for Closure Benchmarks:

Prevention of Premature Closure

Research findings suggest that matches that end prematurely can result in negative outcomes for mentees such as increases in problem behaviors.¹ Thus, standards regarding closure are designed to prevent potentially avoidable, premature closures.

Reasons for Closure

Mentoring relationships can end for a wide range of reasons that are both predictable (e.g., conclusion of academic year program) and unpredictable (e.g., moving, illness). Also, closure may occur as a result of interpersonal or practical challenges that result in the mentor losing interest or motivation to sustain the mentoring relationship (e.g., mentee having no phone, failure of the mentee to attend scheduled meetings, failure to discuss personal issues).¹

Closure Procedures

Regardless of why the mentoring relationship is ending, programs should always assist the mentor

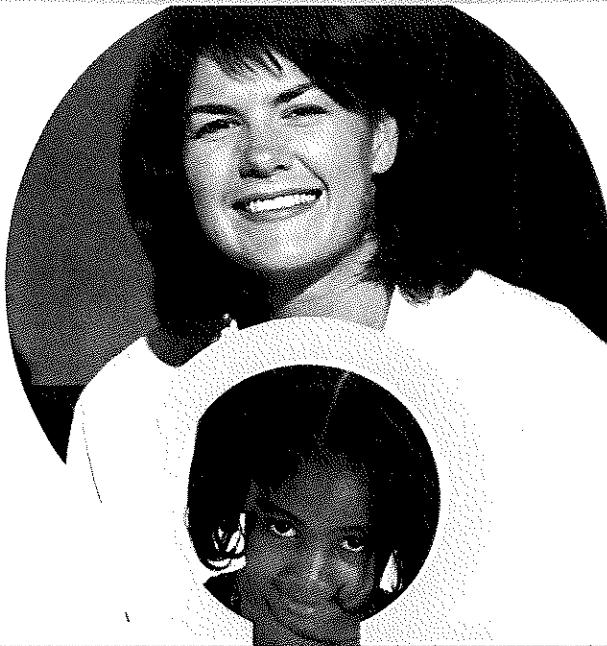
in trying to end the relationship on a positive note for everyone involved.² Program staff should provide pre- and post-match training to prepare mentors and mentees for anticipating the end of the relationship, as well as for how to end the mentoring relationship in a positive way.³ Mentors and mentees should discuss memories of fun times they have had together and participate in a special activity for their last meeting.⁴ A best practice guideline is to hold a graduation night, which allows mentees to have a sense of closure with both the mentor and the program.² Also, recognition of the specific contributions of mentors and mentees is recommended.⁵

An exit interview with the mentor and mentee can help the program determine whether there are any additional resources or supports that the program could provide that would allow the match to continue. Interviewing the mentor and mentee at the end of the relationship allows them to reflect on the positive experiences they shared and the impact that they had on each other. It also provides the mentoring program with an opportunity to assess how well it adhered to its own standards.

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Part II:

Program Design and Planning, Management, Operations and Evaluation

(Source: *Elements of Effective Practice*™, 2nd Edition, 2003)

Program Design and Planning

Design the parameters for the program:

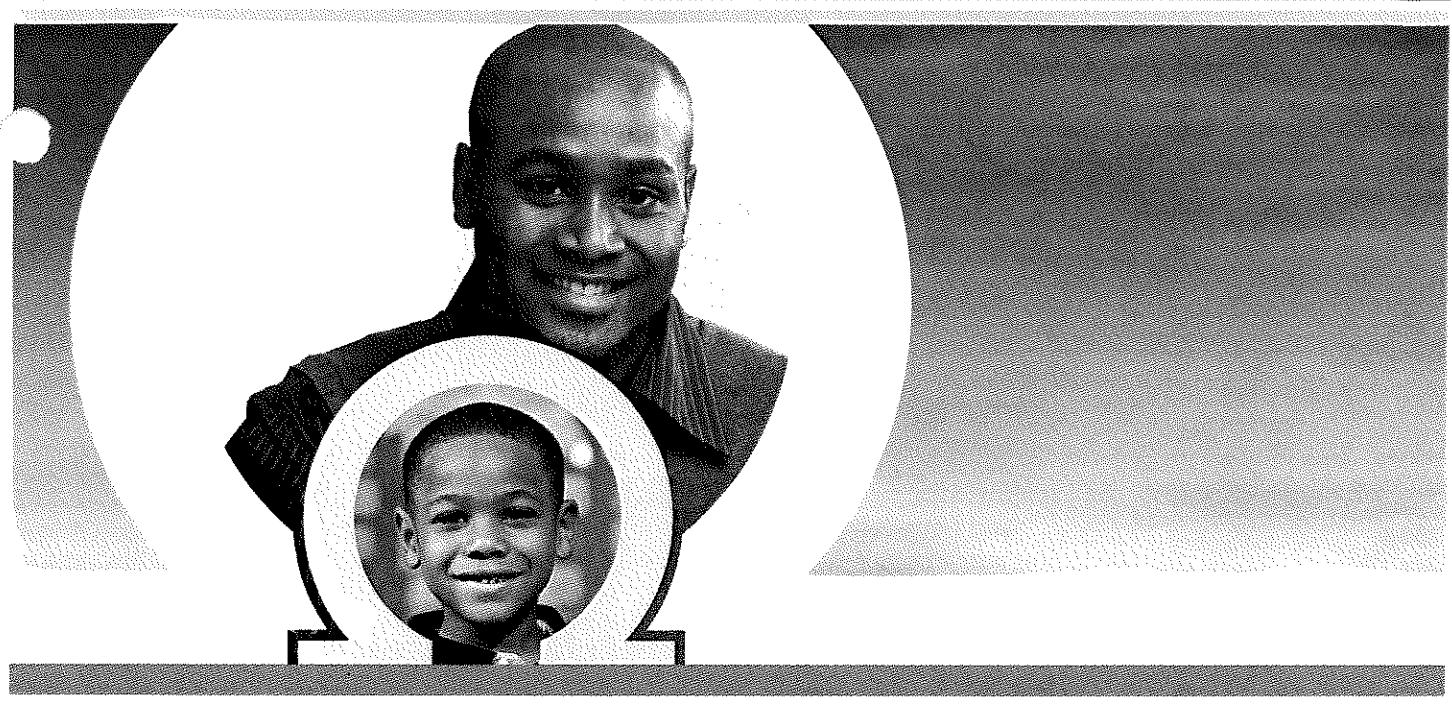
- Define the youth population that the program will serve;
- Identify the types of individuals who will be recruited as mentors (such as senior citizens, corporate employees and college students);
- Determine the type of mentoring that the program will offer — one-to-one, group, team, peer or e-mentoring;
- Structure the mentoring program — as a stand-alone program or as part of an existing organization;
- Define the nature of the mentoring sessions (such as career involvement, academic support and socialization);
- Determine what the program will accomplish and what outcomes will result for the participants, including mentors, mentees and sponsoring organizations;
- Determine when the mentoring will take place;
- Determine how often mentors and mentees will meet and how long the mentoring matches should endure;
- Decide where mentoring matches primarily will meet — workplace, school, faith-based organization, juvenile corrections facility, community setting or virtual community;
- Decide who are program stakeholders and how to promote the program;

- Decide how to evaluate program success; and
- Establish case management protocol to assure that the program has regular contact with both mentors and mentees concerning their relationship.

Plan how the program will be managed:

- Select the management team:
 - Establish policies and procedures; and
 - Implement ongoing staff training and professional development.
- Develop a financial plan:
 - Develop a program budget;
 - Determine the amount of funding needed to start and sustain the program;
 - Identify and secure a diversified funding stream needed to start and sustain the program;
 - Determine the amount of time each funding source can be expected to provide resources;
 - Establish internal controls and auditing requirements; and
 - Establish a system for managing program finances.
- Implement the program:
 - Recruit program participants, such as mentors, mentees and other volunteers;
 - Screen potential mentors and mentees;
 - Orient and train mentors, mentees and parents/caregivers;
 - Match mentors and mentees;
 - Bring mentors and mentees together for mentoring sessions that fall within program parameters;
 - Provide ongoing support, supervision and monitoring of mentoring relationships;
 - Recognize the contribution of all program participants; and
 - Help mentors and mentees reach closure.
- Plan how to evaluate the program:
 - Decide on the evaluation design;
 - Determine what data will be collected, how it will be collected and the sources of data;
 - Determine the effectiveness of the program process;
 - Determine the outcomes for mentors and mentees; and
 - Reflect on and disseminate findings.





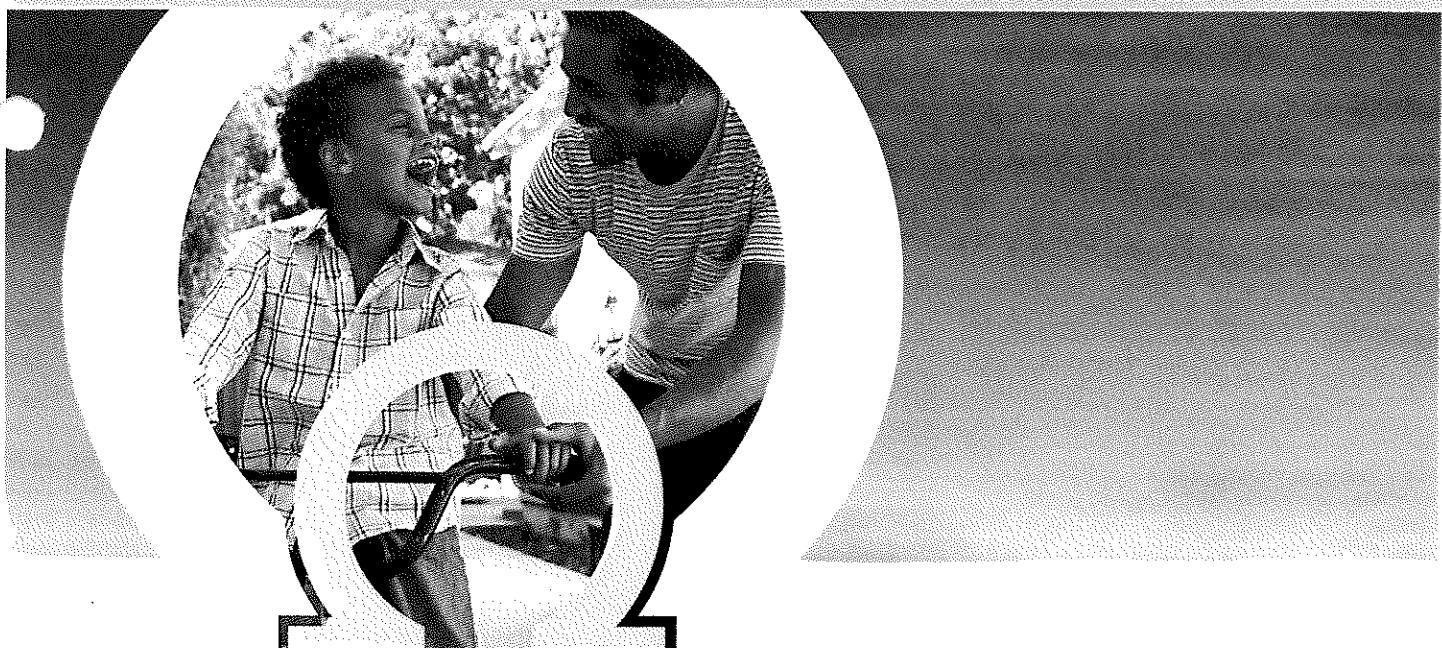
Management

Ensure the program is well-managed:

- Form an advisory group:
 - Define the advisory group roles and responsibilities;
 - Recruit people with diverse backgrounds to serve on the group; and
 - Facilitate the advisory group meetings to improve programming and management.
- Develop a comprehensive system for managing program information:
 - Manage program finances;
 - Maintain personnel records;
 - Track program activity, such as volunteer hours and matches;
 - Document mentor/mentee matches;
 - Manage risk; and
 - Document program evaluation efforts.
- Design a resource development plan that allows for diversified fundraising:
 - Seek in-kind gifts;
 - Hold special events;
 - Solicit individual donors;
 - Seek corporate donations;
 - Apply for government funding; and
 - Seek foundation grants.

- Design a system to monitor the program:
 - Review policies, procedures and operations on a regular basis;
 - Collect program information from mentors, mentees and other participants; and
 - Continually assess customer service.
- Create a professional staff development plan:
 - Provide ongoing staff training; and
 - Build on staff members' skills and knowledge.
- Advocate for mentoring:
 - Advocate for pro-mentoring, public policies and funding at the local, state and federal levels; and
 - Encourage private sector leaders to adopt pro-mentoring policies and provide funding.
- Establish a public relations/communications effort:
 - Identify target markets;
 - Develop a marketing plan;
 - Gather feedback from all constituents;
 - Develop partnerships and collaborations with other organizations; and
 - Recognize mentors, mentees, other program participants, funders and organizations that sponsor mentoring programs.





Operations

Ensure strong, everyday operations:

- Recruit mentors, mentees and other volunteers:
 - Define eligibility for participants, including mentors, mentees and parents/caregivers;
 - Market the program; and
 - Conduct awareness and information sessions for potential mentors.
- Screen potential mentors and mentees:
 - Require written applications;
 - Conduct reference checks, such as employment record, character reference, child abuse registry, driving record and criminal record checks;
 - Conduct face-to-face interviews; and
 - Hold orientations.
- Orient and train mentors, mentees and parents/caregivers:
 - Provide an overview of the program;
 - Clarify roles, responsibilities and expectations; and
 - Discuss how to handle a variety of situations.
- Match mentors and mentees:
 - Use established criteria;
 - Arrange an introduction between mentors and mentees; and
 - Ensure mentors, mentees and parents/caregivers understand and agree to the terms and conditions of program participation.

- Bring mentors and mentees together for mentoring sessions that fall within the program parameters:
 - Provide safe locations and circumstances; and
 - Provide resources and materials for activities.
- Provide ongoing support, supervision and monitoring of mentoring relationships:
 - Offer continuing training opportunities for program participants;
 - Communicate regularly with program participants and offer support;
 - Help mentors and mentees define next steps for achieving mentee goals;
 - Bring mentors together to share ideas and support;
 - Establish a process to manage grievances, resolve issues and offer positive feedback;
 - Assist mentors and mentees whose relationship is not working out; and
 - Ensure that appropriate documentation is done on a regular basis.
- Recognize the contribution of all program participants:
 - Sponsor recognition events;
 - Make the community aware of the contributions made by mentors, mentees, supporters and funders;
 - Actively solicit feedback from mentors and mentees regarding their experiences; and
 - Use information to refine program and retain mentors.
- Help mentors and mentees reach closure:
 - Conduct private, confidential interviews with mentors and mentees; and
 - Ensure mentors, mentees and parents/caregivers understand program policy regarding their meeting outside the program.





Program **Evaluation**

Ensure program quality and effectiveness:

- Develop a plan to measure program process:
 - Select indicators of program implementation viability and volunteer fidelity, such as training hours, meeting frequency and relationship duration; and
 - Develop a system for collecting and managing specified data.
- Develop a plan to measure expected outcomes:
 - Specify expected outcomes;
 - Select appropriate instruments to measure outcomes, such as questionnaires, surveys and interviews; and
 - Select and implement an evaluation design.
- Create a process to reflect on and disseminate evaluation findings:
 - Refine the program design and operations based on the findings; and
 - Develop and deliver reports to program constituents, funders and the media (at minimum yearly; optimally, each quarter).

For additional details about the research that underpins these guidelines and to learn more about the approaches to executing them, visit www.mentoring.org.





Glossary of Terms:

Responsible mentoring:

- Is a structured, one-to-one relationship or partnership that focuses on the needs of mentored participants.
- Fosters caring and supportive relationships.
- Encourages individuals to develop to their fullest potential.
- Helps an individual to develop his or her own vision for the future.
- Is a strategy to develop active community partnerships.

Types of Mentoring: Responsible mentoring can take many forms: traditional mentoring (one adult to one young person); group mentoring (one adult to up to four young people); team mentoring (several adults working with small groups of young people, in which the adult-to-youth ratio is not greater than 1:4); peer mentoring (caring youth mentoring other youth); and e-mentoring (mentoring via e-mail and the Internet).

Locations of Mentoring: Mentoring can take place in a wide array of settings, such as at a workplace, in a school, at a faith-based organization, at a juvenile corrections facility, in a community setting and in the virtual community, where e-mentoring takes place.

Source: Rhodes, J.E. (2002). *Stand by me: The risks and rewards of mentoring today's youth*. Cambridge, MA: Harvard University Press.

Acknowledgments

MENTOR is grateful to the hundreds of mentoring practitioners and researchers who so generously contributed their time and good counsel to the development of the third edition of *Elements of Effective Practice for Mentoring*[™]. It is their work, along with their dedication to sharing their best practices and research, which made this edition possible. And, it is their work which continues to propel mentoring to ever-higher levels of performance.

Special thanks also go to thoughtful reviewers drawn from the Federal Mentoring Council and its National Mentoring Working Group, Portland State University's Summer Institute on Mentoring Research, as well as to members of MENTOR's own Research and Policy Council and a National Executive Review Board composed of leaders from *Mentoring Partnerships* throughout the country.

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Federal Mentoring Council

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National Mentoring Working Group of the Federal Mentoring Council

Afterschool Alliance
Amachi
Amelior Foundation
America's Promise Alliance
Big Brothers Big Sisters of America
Boisi Family Foundation
Boy Scouts of America
Boys and Girls Clubs of America
Camp Fire USA
Catholic Big Brothers
Communities In Schools, Inc.
Corporation for National and
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Harvard Mentoring Project
iMentor
Kids Hope USA
MENTOR
Michigan Community Service
Commission
National 4-H Council
National Alliance of Faith and Justice
National Coalition for Youth
National Human Services Assembly

National Network of Youth Ministries
Northwest Regional Educational
Laboratory
Orphan Foundation of America
Phoenix House of New York
Points of Light/Hands on Network
Public/Private Ventures
Redwood Community Action Agency
Retired OPM
Special Olympics (e-Buddies)
United Way of America
Youth Build
YouthFriends
YouthToday

GUIDANCE FOR APPLICANTS THAT IMPLEMENT RELIGIOUS PROGRAMS

1. Religious Materials

Eliminate all religious materials from the presentation of the federally funded program.

This includes:

- Bibles or other books of worship;
- Registration materials that include religious inquiries or references;
- Follow-up activities that include or lead to religious outreach; and
- Religious content in materials.

45 CFR Part 87.2(c). ("If an organization conducts [inherently religious] activities, the activities must be offered separately, in time or location, from the programs or services funded with direct financial assistance from the Department . . .". 69 FR. 42586, 42593 (2004)).

2. Separate and Distinct Programs

Any program with religious content must be a separate and distinct program from a federally funded program, and the distinction must be completely clear to the recipient.

Some of the ways in which this may be accomplished include, but are not limited to, the following examples:

- Creating separate and distinct names for the programs;
- Creating separate and distinct looks for the promotional materials used to promote each program; and
- Promoting *only* the federally funded program in materials, websites, or commercials purchased with *any portion* of the federal funds.

Note: If an organization offers both a federally funded program and a religious program that provide the same social service, or the clients served are children, it is very important that the separation between the programs be accentuated.

45 CFR Part 87.2(c). ("Organizations that receive direct financial assistance from the Department [under any Department program] may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded with direct financial assistance from the Department." 69 FR. 42586, 42593 (2004)).

3. Separate Presentations

Completely separate the presentation of any program with religious content from the presentation of a federally funded program by time or location *in such a way that it is clear that the two programs are separate and distinct*. If separating the two programs by time but presenting them in the same location, one program must *completely end before the other program begins*.

Some of the ways in which separation of presentations may be accomplished include, but are not limited to, the following examples:

- The programs are held in completely different sites or on completely different days.
- The programs are held at the same site at completely different times. Separation may be accomplished through such means as:
 - Have sufficient time between the two programs to vacate the room, turn down the lights, leave the stage, etc., in order to reasonably conclude the first program before beginning the second;
 - Completely dismiss the participants of the first program;
 - The second program could follow in the same room or, where feasible, in a different room to further distinguish the difference between the programs.
- The programs are held in different locations of the same site at the same time. Separation may be accomplished through such means as:
 - Completely separate registration locations; and
 - Completely separate areas where programs are held such as by room, hallway, or floor, etc.

45 CFR Part 87.2(c). ("If an organization conducts [inherently religious] activities, the activities must be offered separately, in time or location, from the programs or services funded with direct financial assistance from the Department . . .") 69 FR. 42586, 42593 (2004).

4. Availability of Other Programs

After a federally funded program has ended, a program may provide a brief and non-coercive invitation to attend a separate religious program. The invitation should make it very clear that this is a separate program from, and not a continuation of, a federally funded program. It must also be clear that participants are not required to attend the separate religious program, and that participation in federally funded programs are not contingent on participation in other programs sponsored by the applicant's organization.

Religious materials, such as a registration that includes religious follow-up, may only be provided in the privately funded program rather than the federally funded program.

45 CFR Part 87.2(c). "Participation [in any privately funded inherently religious activities] must be voluntary for beneficiaries of the programs or services funded with [direct Federal financial] assistance." 69 FR 42586, 42593 (2004).

5. Cost Allocation

Demonstrate that funds are being used only for a federally funded program. Some of the ways in which separation of funds may be accomplished include, but are not limited to, the following examples:

- Implement the use of time sheets that keep track of all staff hours charged to a federally funded program, whether the staff work in other programs or not.

- Require any staff working in both federally funded programs and other programs to clearly indicate how many hours are spent on each program.
- If any staff works on both a federally-funded program and a non-federally funded program at the same site on the same day, require the staff to clearly indicate not only how many hours are spent on the federally funded program but also which specific hours are spent on the federally funded program. The hours should reflect that time spent on any program with religious content have been completely separated from hours spent on the federally funded program.
- Show cost allocations for all items and activities that involve both programs, such as staff time, equipment, or other expenses such as travel to event sites.
This may be accomplished through such means as:
 - Example: if transportation is used to go to a site where a federally funded program is conducted and a religious or non-religious program funded through other means is also conducted by the grantee at the same site, one half of the travel costs (gas, lodging, etc.) should be charged to the federally funded program. If *three* separate and distinct programs are conducted at a site by a federally funded program and one of them is the federally funded program, only one- third of the travel costs should be charged to the federally funded program, etc.
 - Example: if an electronic device is used 30 percent of the time for the federally funded program, this should be demonstrated through clear record keeping. Only 30 percent of the cost of the electronic device should be charged to the program. *2 CFR Part 225 (OMB Circular A-87), Appendix A. § C.3.a; 45 CFR Part 87.2.*

6. Advertisements

Federally funded programs cannot limit advertising the program services exclusively to religious target populations.

45 CFR Part 87.2(e). "An organization that participates in programs funded by direct financial assistance from the Department shall not, in providing services, discriminate against a program beneficiary or prospective beneficiary on the basis of religion or religious belief."

PART TWO

Pennsylvania Department of Health
Bureau of Family Health
Division of Child and Adult Health Services

Healthy Youth PA

Request for Applications (RFA) #67-33



Mailing Label:

**THIS LABEL MAY BE USED FOR MAILING THE APPLICATION. THIS
LABEL MAY BE CUT OUT AND FIRMLY AFFIXED TO THE
APPLICATION PACKAGE, OR COPY THIS EXACT FORMAT FOR THE
MAILING LABEL.**

FROM:

APPLICATION ENCLOSED RFA 67-33

BID

TO: PA DEPARTMENT OF HEALTH
DIRECTOR
DIVISION OF CONTRACTS
ROOM 824, HEALTH AND WELFARE BUILDING
625 FORSTER STREET
HARRISBURG, PA 17120-0701

COVER PAGE
Healthy Youth PA
RFA #67-33

Applicant Name: _____
(Organization or Institution)

Type of Legal Entity _____
(Corporation, Partnership, Professional Corporation, Sole Proprietorship, etc.)

Federal I.D. #: _____ **Grant Amount:** \$ _____

SAP Vendor #: _____

Address: _____

City _____ **County** _____ **State** _____ **Zip Code** _____

Application Contact Person: _____

Title: _____

Telephone No.: _____ **Fax:** _____ **E-mail:** _____

Title of Project: _____

Applicants must submit a separate application for each county bid. Applicants may only submit one bid per county. County served (check one):

<input type="checkbox"/> Allegheny	<input type="checkbox"/> Lawrence
<input type="checkbox"/> Berks	<input type="checkbox"/> Lehigh
<input type="checkbox"/> Dauphin	<input type="checkbox"/> Lycoming
<input type="checkbox"/> Elk	<input type="checkbox"/> Philadelphia
<input type="checkbox"/> Fayette	<input type="checkbox"/> Venango

CERTIFICATIONS**Certification Regarding Debarment and Suspension**

- a. The contractor must certify, in writing, for itself and all its subcontractors, that as of the date of its execution of any Commonwealth contract, that neither the contractor, nor any subcontractors, nor any suppliers are under suspension or debarment by the Commonwealth or any governmental entity, instrumentality, or authority and, if the contractor cannot so certify, then it agrees to submit, along with the bid/proposal, a written explanation of why such certification cannot be made.
- b. The contractor must also certify, in writing, that as of the date of its execution, of any Commonwealth contract it has no tax liabilities or other Commonwealth obligations.
- c. The contractor's obligations pursuant to these provisions are ongoing from and after the effective date of the contract through the termination date thereof. Accordingly, the contractor shall have an obligation to inform the contracting agency if, at any time during the term of the contract, it becomes delinquent in the payment of taxes, or other Commonwealth obligations, or if it or any of its subcontractors are suspended or debarred by the Commonwealth, the federal government, or any other state or governmental entity. Such notification shall be made within 15 days of the date of suspension or debarment.
- d. The failure of the contractor to notify the contracting agency of its suspension or debarment by the Commonwealth, any other state, or the federal government shall constitute an event of default of the contract with the Commonwealth.
- e. The contractor agrees to reimburse the Commonwealth for the reasonable costs of investigation incurred by the Office of State Inspector General for investigations of the contractor's compliance with the terms of this or any other agreement between the contractor and the Commonwealth, which results in the suspension or debarment of the contractor. Such costs shall include, but shall not be limited to, salaries of investigators, including overtime; travel and lodging expenses; and expert witness and documentary fees. The contractor shall not be responsible for investigative costs for investigations that do not result in the contractor's suspension or debarment.
- f. The contractor may obtain a current list of suspended and debarred Commonwealth contractors by either searching the Internet at <http://www.dgsweb.state.pa.us/debarmentlist/NonArchiveByCompany.asp?p=> or contacting the:

Department of General Services
 Office of Chief Counsel
 603 North Office Building
 Harrisburg, PA 17125
 Telephone No: (717) 783-6472
 FAX No: (717) 787-9138

IF THE CONTRACTOR INTENDS TO USE ANY SUBCONTRACTORS, LIST THEIR NAMES(S), ADDRESS(ES), AND FEDERAL IDENTIFICATION OR SOCIAL SECURITY NUMBER(S) IN THE SPACE BELOW.

2. Certification Regarding Application/Proposal/Bid Validity

This application/proposal/bid shall be valid for a period of 120 days following the time and date designated for bid opening of applications/proposals/bids received in response to this Request for Application/Request for Proposals/Invitation for Bid #67-33.

BY SIGNING BELOW, THE APPLICANT, BY ITS AUTHORIZED SIGNATORY, IS BINDING ITSELF TO THE ABOVE TWO CERTIFICATIONS.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	ADDRESS OF ORGANIZATION
DATE SUBMITTED	CONTRACTOR'S FEDERAL I.D. OR S.S. NUMBER

Work Statement

See Part One, General Information; Section D, Application Instructions and Required Format; Subsection 2c Work Statement for completion instructions.

Budget Template

See Part One, General Information; Section D, Application Instructions and Required Format; Subsection 2d Budget for completion instructions.

W-9 Form

Provide a copy of the completed Internal Revenue Service form W-9. The W-9 form and instructions for completing the form are available at the website <http://www.irs.gov>.

PAYMENT PROVISIONS

The Department agrees to pay the Contractor for services rendered pursuant to this Contract as follows:

- A. Subject to the availability of state and Federal funds and the other terms and conditions of this Contract, the Department will reimburse Contractor in accordance with Appendix C, and any subsequent amendments thereto, for the costs incurred in providing the services described in this Contract.
- B. This Contract may span several state fiscal periods; therefore, the Department is obligated to pay no more than the dollar amounts for each state fiscal year (SFY), for the periods of time indicated on the Budget, Appendix C. This shall not prohibit the Department from exercising its discretion to move funds unspent at the end of the SFY from one SFY to another to pay for services provided with separate written Department approval and in accordance with this Contract.
- C. Payment to the Contractor shall be made in accordance with the Budget set forth in Appendix C, and any subsequent amendments thereto, as follows:
 - 1. The Department shall have the right to disapprove any expenditure made by the Contractor that is not in accordance with the terms of this Contract and adjust any payment to the Contractor accordingly.
 - 2. Payments will be made monthly upon submission of an itemized invoice for services rendered pursuant to this Contract using the invoice format in Attachment 1 to this Appendix.
 - 3. An original invoice shall be sent by the Contractor directly to the address as listed in Attachment 1 to this Appendix. Documentation supporting that expenditures were made in accordance with the Contract Budget shall be sent by the Contractor to the Department's Project Officer.
 - 4. The Contractor has the option to reallocate funds between and within budget categories (Budget Revision), subject to the following criteria:
 - a. General Conditions for Budget Revisions
 - i. *Budget Revisions At or Exceeding 20%.*
 - A. The Contractor shall not reallocate funds between budget categories in an amount at or exceeding 20% of the total amount of the Contract per budget year as set forth in Appendix C Budget, and any subsequent amendments thereto, without prior written approval of the Department's Project Officer.
 - B. The Contractor shall request prior written approval from the Department's Project Officer when the cumulative total of all prior Budget revisions in the budget year is 20% or greater of the total amount of the Contract per budget year.
 - C. Reallocation at or exceeding 20% of the total amount of the Contract per budget year may not occur more than once per budget year unless the Department's Project Officer finds that there is good cause for approving one additional request. The Project Officer's determination of good cause shall be final.
 - ii. *Budget Revisions Under 20%.* The Contractor shall notify the Department's Project Officer of any Budget Revision under 20% of the total amount of the Contract per budget year in writing, but need not request Department approval, except as provided for in Paragraph 4(a)(i)(B) above.
 - iii. The Contractor shall obtain written approval from the Department's Project Officer prior to reallocating funding into a previously unfunded budget category or prior to eliminating all

funding from an existing budget category, regardless of the percentage amount.

- iv. The Contractor shall provide the Department's Project Officer with notice or make a request for approval prior to the submission of the next invoice based on these changes.
- v. At no time can Administrative/Indirect cost rates be increased via a Budget Revision.
- b. Budget Revisions Relating to Personnel
 - i. Any change to funds in the Personnel Category requires the approval of the Department's Project Officer, and any such change at 20% or over as set forth in Paragraph 4(a) shall be counted as one Budget Revision under that paragraph.
 - ii. The Contractor may not reallocate funds to, or move funds within, the Personnel Services Category of the Budget (Appendix C), and any subsequent amendments thereto, to increase staff personnel or fringe benefit line items unless one of the following circumstances apply:
 - A. The Contractor is subject to a collective bargaining agreement or other union agreement and, during the term of this Contract, salaries, hourly wages, or fringe benefits under this Contract are increased because of a renegotiation of that collective bargaining agreement or other union agreement. The Contractor shall submit to the Department's Project Officer written documentation of the new collective bargaining or other union agreement, which necessitates such reallocation.
 - B. The Contractor is unable to fill a position that is vacant or becomes vacant at or after the effective date of this Contract. The Contractor shall submit to the Department's Project Officer written justification for the request to increase rates and reallocation of funds in connection with filling such a position in sufficient detail for the Department to evaluate the impact of that reallocation on the performance of the work of the Contract, as well as the Contractor's inability to fill the position at the existing rates. Justification may include, for example, documentation of salaries for the same or similar positions in the same geographic area. No increase relating to a position may exceed 10% of the original rate.
 - C. The Contractor is unable to perform the work of the Contract with the existing positions, titles or classifications of staff. The Contractor may add or change a position, title or classification in order to perform work that is already required. The Contractor shall submit to the Department's Project Officer for his or her approval written justification for the request to increase rates and reallocation of funds in connection with changing or adding a position, title or classification, in sufficient detail for the Department to evaluate the impact of that reallocation on the performance of the work of the contract, as well as the Contractor's inability to fill current position. Justification may include, for example, documentation of salaries for the same or similar positions in the same geographic area. No increase relating to an addition or change may exceed 10% of the rate for the original position.
 - iii. The Department's determination regarding the validity of any justification is final.
 - iv. All increases are subject to the availability of funds awarded under this Contract. The Commonwealth is not obligated to increase the amount of award.
 - v. This paragraph is not intended to restrict any employee from receiving an increase in salary based on the employer's fee schedule for the job classification.
- 5. Unless otherwise specified elsewhere in this Contract, the following shall apply. Contractor shall submit monthly invoices within 30 days from the last day of the month within which the work is performed. The final invoice shall be submitted within 45 days of the Contract's termination date. The Department will neither honor nor be liable for invoices not submitted in compliance with the time requirements in this paragraph unless the Department agrees to an extension of these requirements

in writing. The Contractor shall be reimbursed only for services acceptable to the Department.

6. The Department, at its option, may withhold the last 20 percent of reimbursement due under this Contract, until the Project Officer has determined that all work and services required under this Contract have been performed or delivered in a manner acceptable to the Department.
7. The Commonwealth will make payments through the Automated Clearing House (ACH) Network. The Pennsylvania Electronic Payment Program (PEPP) establishes the Automated Clearing House Network as the preferred method of payment in lieu of issuing checks. The PEPP enrollment form may be obtained at: www.vendorregistration.state.pa.us/cvmu/paper/Forms/ACH-EFTenrollmentform.pdf and can be completed online, as applicable.
 - a. Within 10 days of award of the Contract or Purchase Order, the Contractor must submit or must have submitted its ACH information within its user profile in the Commonwealth's procurement system (SRM). At the time of submitting ACH information, the Contractor will also be able to enroll to receive remittances via electronic addenda. Within 10 days of award of the Grant Agreement, the Contractor must submit or must have already submitted its ACH information and electronic addenda information, if desired, to the Commonwealth's Payable Service Center, Vendor Data Management Unit at 717-214-0140 (FAX) or by mail to the Office of Comptroller Operations, Bureau of Payable Services, Payable Service Center, Vendor Data Management Unit, 555 Walnut Street – 9th Floor, Harrisburg, PA 17101.
 - b. The Contractor must submit a unique invoice number with each invoice submitted. The unique invoice number will be listed on the Commonwealth of Pennsylvania's ACH remittance advice to enable the Contractor to properly apply the state agency's payment to the invoice submitted.
 - c. It is the responsibility of the Contractor to ensure that the ACH information contained in SRM (for Contracts or Purchase Orders) or in the Commonwealth's Central Vendor Master File (for Grant Agreements) is accurate and complete. Failure to maintain accurate and complete information may result in delays in payments.
 - d. In the event this language conflicts with language contained elsewhere in this agreement, the language contained herein shall control.