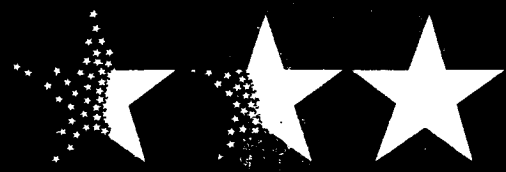
INNOVATIONS IN AMERICAN GOVERNMENT



2001 APPLICATION

An Awards Competition of

The Ford Foundation

The John F. Kennedy School of Government
at Harvard University

In partnership with

The Council for Excellence in Government

AN INVITATION

The Innovations in American Government Program recognizes creative governmental initiatives that are especially effective in addressing vital public concerns. Since its inception in 1986, the Program has focused on innovations in states, cities, towns, counties, tribal governments, and special districts. In 1995, the Program was expanded to incorporate innovations in the federal government.

The Program is administered by the John F. Kennedy School of Government at Harvard University, one of the nation's foremost schools of public policy, in partnership with the Council for Excellence in Government.

Please join in our efforts to identify valuable public innovations at all levels of American government by sharing the enclosed application widely with program managers in your agency, jurisdiction, or policy arena. We invite applications from all types of programs, particularly those that involve interagency collaboration, tap the creativity of frontline employees, reshape agency missions and routines, or entail significant policy departures. Moreover, agencies should not feel constrained to submit only one application; multiple submissions are encouraged.

David R. Gergen, Chairman

National Selection Committee

ELIGIBILITY

To be eligible for an Innovations award, a program must involve a fresh approach to a problem of significant concern to a portion of the American people, and must:

> Be administered under the authority of one or more governmental entities (federal, state, local, tribal, or territorial) that has played a formative role in designing and initiating the program;

> Be submitted by the government agency responsible for the innovation (non-profit, private sector, and union initiatives are eligible only with significant governmental involvement and oversight);

> Have been implemented before January 1, 2000;

> Certify and be able to document that one or more government institutions currently provide at least half of its funding; and

> Be able to demonstrate that it has progressed significantly toward the achievement of its stated goals.

INTRODUCTION

The Innovations Program strives to identify and celebrate outstanding examples of creative problem-solving in the public sector. Since its inception in 1986, the Program has recognized 280 innovative programs, which have received $17.2 million in Ford Foundation grants. Of these programs, 145 have received $100,000 awards and 135 have received $20,000 awards, which were first awarded in 1992.

In 1995, eligibility was expanded from innovations in state and local government to encompass innovations in the federal government as well. All units of government—federal, state, local, tribal, and territorial—within the United States of America are now eligible for recognition and awards. In 2001, the Ford Foundation will award $100,000 to each winner and $20,000 to each finalist.

While the Program encompasses all levels of American government, it retains its historic focus on domestic programs. Innovations that arise within defense and international agencies are eligible if they have significant domestic policy content (for example, job training, base conversion, procurement reform, energy conservation, or environmental protection within the United States and territories. Weapons systems will not be considered).

The Innovations in American Government awards are intended to draw attention to exemplary achievements in government problem-solving and to amplify the voices of public innovators in communicating their practices. In addition, the faculty and staff of the Kennedy School of Government conduct research and develop instructional materials based on award-winning innovations.

TIMELINE

> Paper applications must be received by 5 p.m., Friday, January 12, 2001.

> Electronic applications (available ONLY online at www.innovations.harvard.edu) must be received by 5 p.m., Friday, January 19, 2001.

> In March 2001, 100 applicants will be selected as semifinalists and asked to submit a supplementary application. Each semifinalist will be required at that time to submit a letter of endorsement by the chief elected official of its jurisdiction or – in the case of federal, judicial, and independent authority programs – the chief executive officer of its agency.

> Finalists will be selected and receive site visits late in the spring of 2001. The site visits are used to determine eligibility for a $20,000 finalist award, as well as to assist the National Selection Committee in selecting the winners.

> The National Selection Committee will choose the $100,000 award winners and certify the status of the $20,000 finalist awards in the fall of 2001.

SELECTION CRITERIA

At each stage in the selection process, a program will be evaluated according to the following four criteria:

> Its novelty, judged by the degree to which it demonstrates a leap of creativity.

> Its effectiveness, demonstrated by evidence that the program has achieved tangible results.

> Its significance, particularly the degree to which it successfully addresses an important problem of public concern.

> Its transferability, or the degree to which aspects of the program show promise of inspiring successful replication by other governmental units.

THE APPLICATION

The application consists of a program data sheet and six essay questions. The answers to these questions, which constitute your program description, may not exceed the prescribed word limits. Make the application work for you by following these tips from past Innovations award winners:

> Think carefully about how to convey the essence of your innovation and its most significant benefits simply, vividly, and briefly.

> Get early and wide-ranging feedback from colleagues and co-workers to ensure that you are communicating as clearly and persuasively as possible. You may want to assemble your own application review panel for this purpose.

> Avoid jargon and technical terms.

> Leave yourself enough time to prepare, revise, and complete the application and to secure the signature of the agency director of the governmental unit through which your program is administered.

INFORMATION

If you have questions about this application that are not addressed below or would like to receive more information about prior award winners or about the Innovations Program, please write to:

INNOVATIONS
John F. Kennedy School of Government
Harvard University
79 John F. Kennedy Street
Cambridge, MA 02138

Or, visit our home page at:

www.innovations.harvard.edu

DEADLINE

> Written applications must be received in our office by 5 p.m. Friday, January 12, 2001.

> Electronic applications must be received by 5 p.m., Friday, January 19, 2001.

> Allow six weeks following the application deadline for acknowledgement. If you have not received your acknowledgment postcard by February 23, 2001, please contact the Innovations Program.

INSTRUCTIONS

Completing the Program Data Sheet

> **Application Number:** Leave blank; it will be assigned by Innovations staff.

> **Program Name:** Please limit name to five words or fewer.

> **Type of Jurisdiction:** Select the type of governmental authority overseeing, administering, or managing the program, e.g., federal, state, county, city, tribal, territorial, school district, or other governmental entity. Do not select more than one. Partnerships or collaborations involving more than one type of jurisdiction should select the jurisdiction type that corresponds with the lead agency submitting the application.

> **Name of Jurisdiction:** Name the governmental authority overseeing, administering, or managing the program, e.g., the City of Topeka, the State of Georgia, or the U.S. Department of Labor. Federal programs should specify the federal department. Programs that involve a multijurisdictional partnership should choose one as sponsor of the application.

> **Government Unit:** Name the government unit within the jurisdiction—a division, department, or agency—through which the program is administered, e.g., the Department of Public Works, Public School District, the Department of Corrections, or the Occupational Safety and Health Administration. The application must be endorsed and signed by the agency director or equivalent of the designated government unit.

> **Population:** Indicate the number of persons residing in the specified jurisdiction.

> **Contact Information:** List an appropriate contact person with whom Innovations staff and the general public can readily communicate and correspond.

> **Start Date:** 2001 applicant programs must have been implemented prior to January 1, 2000.

> **Funding Source:** Specify the percentage of funding from each source if the program has more than one source for its current operating budget.

> **Policy Specification:** Please select the *one* policy specification that best represents the public purpose that the program aims to serve. We use this information to assign your application to the appropriate evaluation team. Innovations staff, at its discretion, may reassign an application.

> **Certification and Signature:** The application must be signed by the agency director (or equivalent) of an eligible government unit, as defined above.

Completing the Program Description

> Respond to all six **essay questions** in narrative form. Do not exceed the word limit given for each question. Introduce each response with the question it answers.

> **Program descriptions** (your answers to the essay questions) should be neatly typed, single-spaced, with one-inch margins on all sides, and printed in a 12 point or larger type font. The program name (from the data sheet) should appear at the top of each page.

> The answers to all essay questions **should not exceed** five pages.

> Substantiate claims by referring to **verifiable evidence** wherever possible.

> **Do not** attach supplementary information (e.g., brochures and press clippings) as they will not be reviewed by our evaluators.

2001 APPLICATION: PROGRAM DATA SHEET

Before filling out application, please read the instructions on page 4.

Leave this box blank. It will be completed by Innovations staff.

Application Number: .....

A B C D E F G H

.....
PROGRAM NAME

1. Type of Jurisdiction sponsoring/administering the program (select one):

a. ☐ U.S. Federal Government
b. ☐ U.S. Territorial Government
c. ☐ State
d. ☐ County
e. ☐ City/Town
f. ☐ School District
g. ☐ Tribal Government
h. ☐ Special or Regional Authority
i. ☐ Government Corporation

2. Name of Jurisdiction (selected above) sponsoring/administering the program: .....

3. Name of Government Unit sponsoring/administering the program: .....

4. Population of Jurisdiction: .....

5. Contact Information:

NAME: MR MS DR.

TITLE: DEPARTMENT/DIVISION:

AGENCY:

ADDRESS (NO P.O. BOXES):

CITY: STATE: ZIP CODE:

TELEPHONE FAX

E-MAIL: WEB SITE:

6. Start Date of the Innovation. [the start date must be before 1/1/2000 for the program to be eligible] (m/d/yr): .....

7. Funding Source (Specify percentages for each source of your current operating budget):

a. % Federal: .....
b. % State: .....
c. % Local: .....
d. % Other Public: .....
e. % Private & Other: .....

8. How and where did you learn about the Innovations Program? Please specify name(s) and/or source(s):

.....

a. ☐ Professional/Trade Publication
b. ☐ Newspaper/Magazine
c. ☐ Television/Radio/Film/Video
d. ☐ Professional Conference
e. ☐ Colleague
f. ☐ Received Application in the Mail
g. ☐ Departmental/Agency Circulation
h. ☐ Internet .....
(specify location and application used)

9. Has this program previously applied for an Innovations in American Government award? ☐ No ☐ Yes

If yes, list year(s) and to what stage it advanced (e.g., did not advance/semifinalist/finalist): .....

10. Policy Specification

Please select the **ONE** Policy Specification that best represents the activities of the program. This information is used to assign your application to the appropriate evaluation team.

I. Management & Governance

- ☐ Administration
- ☐ Administrative Reform
- ☐ Arts
- ☐ Civil Liberties, Civic Affairs & Elections
- ☐ Employee Relations
- ☐ Human Resources
- ☐ Intergovernmental Relations/ Collaboration
- ☐ Libraries
- ☐ Procurement
- ☐ Public Relations & Marketing
- ☐ Public Revenue & Spending
- ☐ Regulatory Reform
- ☐ Use of Computers & GIS
- ☐ E-Governance
- ☐ Other

II. Capital & Environmental

- ☐ Clean Air/Clean Water
- ☐ Conservation
- ☐ Electric & Solar Power
- ☐ Highways & Infrastructure
- ☐ Prevention
- ☐ Public Land Management
- ☐ Public Transit (Buses, Trains, & Subways)
- ☐ Recycling
- ☐ Regulation & Enforcement
- ☐ Site Reclamation
- ☐ Solid Hazardous Waste & Sewage
- ☐ Traffic Control & Cars
- ☐ Wastewater
- ☐ Other

III. Community & Economic Development

- ☐ Administration of Public Housing
- ☐ Agricultural & Rural Development
- ☐ Community/Neighborhood Development
- ☐ Economic Development Incentives
- ☐ Financing & Affordable Housing
- ☐ Job Training & Placement - Adults
- ☐ Job Training & Placement - Youths
- ☐ Land Use
- ☐ Parks
- ☐ Planning
- ☐ Recreation
- ☐ Small Business Development
- ☐ Other

IV. Protective Services

- ☐ Ambulances & EMT
- ☐ Corrections
- ☐ Court Administration
- ☐ Disaster Relief & Support
- ☐ Domestic Violence
- ☐ Federal Law Enforcement
- ☐ Fire Prevention & Fire Services
- ☐ Highway Safety
- ☐ Juvenile Corrections
- ☐ Juvenile Delinquency Prevention
- ☐ Juvenile Sentencing
- ☐ Police - Prevention
- ☐ Police - All Other
- ☐ Probation
- ☐ Public Prosecution & Representation
- ☐ Sentencing
- ☐ U.S. Defense Services (Civil & Military)
- ☐ Other

V. Education & Health Care

- ☐ Adult Education Programs & Continuing Education
- ☐ Elementary Education
- ☐ Higher Education
- ☐ Junior & Senior High School Education
- ☐ School-based Social Service Programs
- ☐ Special Education
- ☐ Vocational Education
- ☐ Other Education
- ☐ Health Care Access & Insurance
- ☐ Health Care Administration
- ☐ Long Term Health Care
- ☐ Mental Health Services
- ☐ Prevention Programs
- ☐ Primary Health Care
- ☐ Public Health Policy & Regulation
- ☐ Substance Abuse Treatment & Prevention
- ☐ Other Health Care

VI. Social Services

- ☐ Administration
- ☐ Children's Services Reform & Administration
- ☐ Disability Services
- ☐ Domestic Violence
- ☐ Elderly Services
- ☐ Family Services Administration
- ☐ Housing/Shelter
- ☐ Services to Homeless
- ☐ Welfare to Work
- ☐ Other

11. Certification and Signature:

To the best of my knowledge, the information contained in this application is accurate.

NAME OF AGENCY DIRECTOR (PRINT): TITLE (PRINT):

DIVISION/DEPARTMENT/AGENCY:

SIGNATURE OF AGENCY DIRECTOR: DATE

Please respond to the following six questions without exceeding the word limit given for each answer. The questions should guide but not limit your response. Include any pertinent information. Do not attach any supplemental material to your responses. Include the text of each question immediately before each response.

1. **Describe the program. Please emphasize its creative and novel elements. What is the innovation? (400 words)**

2. **What problem(s) does your innovative program address? (250 words)**

3. **Cite the best verifiable evidence of the most significant achievements of the program. (250 words)**

4. **Who are the current and potential beneficiaries of your program? What are the direct or indirect benefits to citizens? (200 words)**

5. **How replicable is the program or aspects thereof? What obstacles might others encounter? (250 words)**

6. **For your current operating budget, list all current funding sources, with dollar and percentage contributions for each source. If applicable, include separate subtotals for public and private funds and sources. Provide details of any unusual financial features not described elsewhere. (200 words)**

SEND YOUR APPLICATION TO:

INNOVATIONS
John F. Kennedy School of Government
Harvard University
79 John F. Kennedy Street
Cambridge, MA 02138
(617) 495-0558

Please note: The electronic application is available at the Innovations website (www.innovations. harvard.edu). This is the only acceptable electronic format.

Submitting the Completed Application

> **Check** to be sure you have answered all questions and have enclosed an original, signed copy of the data sheet, with the signature of the agency director.

> Enclose the original and **ten individually stapled photocopies** of the signed data sheet and program description for evaluation purposes. The photocopies should be double-sided and on three-hole punched, 8.5 by 11 inch paper.

> Enclose a **self-addressed, stamped postcard** that will be returned to you in acknowledgment of our receipt of your application. (A detachable card is provided on the back cover of this application brochure.)

> Be received in our office by **5 p.m., Friday, January 12, 2001**. If you choose to file electronically, the electronic application must be received by **5 p.m., Friday, January 19, 2001**.

FEDERAL GOVERNMENT

Brownfields Economic Redevelopment Initiative, Environmental Protection Agency

The Brownfields Initiative empowers citizens and encourages innovative methods of cleaning and safely reusing blighted

Privatization of Federal Investigations, Office of Personnel Management

The privatization of investigations was the first model for transforming a money-losing federal operation into a profitable employee-owned company. This innovation occurred with no service disruption, created significant

Gainsharing Program, Baltimore County, Maryland

Gainsharing in Baltimore County is a pay-for-performance program capitalizing on the premise that frontline employees know their jobs better than anyone else. When teams of frontline employees identify cost savings that maintain or enhance customer service and maintain or enhance employ

NOMINATION FORM:

Send us this card to let us know about an innovative program other than one already applying. We will send that program an application.

NOMINATOR'S NAME: ORGANIZATION:

ADDRESS:

CITY: STATE ZIP

TELEPHONE:

Please provide as much information as possible about the program you are nominating.

NAME OF PROGRAM: CONTACT PERSON:

TITLE: DEPARTMENT/DIVISION:

ADDRESS:

CITY: STATE ZIP

TELEPHONE:

NOTE: NOMINATIONS ARE NOT NEEDED IN ORDER TO APPLY FOR AN INNOVATIONS AWARD.

ACKNOWLEDGMENT OF RECEIPT OF APPLICATION

Innovations in American Government 2001 Awards Program

PROGRAM NAME:

The application number for the above-named program is:.....

Please refer to this number in any correspondence or communications regarding your application. Thank you for submitting an application to the 2001 Innovations Awards Program. You will receive notification regarding selection of semifinalists in late March.

Best wishes,

The Innovations Program

Enclose this stamped card with your completed 2001 Application. We will return it to you with your application number before February 23, 2001.

INNOVATIONS

John F. Kennedy School of Government

Harvard University

79 John F. Kennedy Street

Cambridge, MA 02138

place stamp HERE

NAME:

ADDRESS:

CITY: STATE ZIP CODE:

Acknowledgment of Receipt of Application

place stamp HERE

INNOVATIONS

John F. Kennedy School of Government

Harvard University

79 John F. Kennedy Street

Cambridge, MA 02138

Mental Hospital Seclusion and Restraint Reduction, Commonwealth of Pennsylvania

The Pennsylvania Department of Public Welfare has introduced innovations that have safely and significantly reduced the use of seclusion and restraint in its nine state mental hospitals. Seclusion and restraint techniques, historically used to control potentially harmful patient behavior, have been associated with a high risk of patient injury and death.

CQI and Forensic Coordinator
Bureau of Hospital Operations
Office of Mental Health & Substance Abuse Services
Beechmont Bldg, 1st Fl.
Harrisburg State Hospital
Harrisburg, PA 17110
Tel: (717)705-8159
Fax: (717)705-8165

Metro Commute Partnerships, King County, Washington

King County Metro Transit succeeds in getting commuters out of their cars by working collaboratively with employers. Metro's Commute Partnerships help employers jump-start subsidy programs for their employees' alternative commutes.

Supervisor
Market Development Group
King County Metro Transit
400 Yesler Way, YES-TR-0600
Seattle, WA 98104-2615
Tel: (206)684-1620
Fax: (206)684-2058
Website: http://transit.metrokc.gov/programs_info/employer/empcommute.html

Natural Gas Services: Innovations in Risk Management, State of California

California's Natural Gas Program cuts taxpayer costs by managing financial risk. Its innovative portfolio-based buying strategy protects agencies from market extremes, while quick, precise bidding procedures respond to price volatility within the confines of public procurement law.

Energy Resources Specialist II
Real Estate Services, Energy Assessments
California Department of General Services
717 K Street, Suite 409
Sacramento, CA 95814-3408
Tel: (916)322-9838
Fax: (916)322-5377
Website: http://www.resd.dgs.ca.gov/Energy/naturalgas.asp

Oil Program, Kern County, California

The Kern County Used Oil Program changed the opinion and behavior of consumers toward oil recycling by convincing them that a recycled oil product was as good as or better than virgin oil. Once assured of the quality of re-refined oil, consumers recognized that recycling used oil was the most beneficial option for both themselves and the local environment.

Solid Waste Management Specialist
Community Education and Outreach Section
Kern County Waste Management Department
2700 M Street, Ste 500
Bakersfield, CA 93301
Tel: (661)862-8980
Fax: (661)862-8901
Website: http://www.co.kern.ca.us/wmd/wmd.htm

Partnerships for Parks, City of New York, New York

The core innovation is having a government agency play an aggressive, creative, and central role in starting and supporting neighborhood-based groups that will simultaneously serve as partners, advocates, and gadflies, especially in struggling neighborhoods.

Director
Partnership for Parks
New York City Dept of Parks & Recreation
The Arsenal, Central Park
830 Fifth Avenue, Rm. 310
New York, NY 10021
Tel: (212)360-1310
Fax: (212)360-1350
Website: http://www.partnerships.org

Performance Based Contracting, State of Illinois

The Performance Contracting initiative in Illinois has dramatically boosted the number of children moved from temporary care placements through a renewed focus on specific outcomes and financial incentives for providers.

Project Manager
Illinois Dept of Children and Family Services
100 W. Randolph Street, Suite 6-2000
Chicago, IL 60601
Tel: (312)814-1711
Fax: (312)814-3255
Website: http://www.state.il.us/dcfs

Perritech, Perry Local Schools, Ohio

Perry High School's Perritech program, by providing students with industry recognized technology certification programs, has provided firsthand evidence that American students can compete at world-class standards in the classroom and on the job.

Principal
Perry High School
Perry Public Schools
4326 Manchester Avenue
Perry, OH 44081
Tel: (440)259-9300
Fax: (440)259-9290
Website: http://www.perry-lake.k12.oh.us

Public Health Model for Corrections, Hampden County, MA

The Hampden County Correctional Center, through unique relationships with community partners, provides inmate medical care at community standards and assures continuing health care after release from jail. The system benefits the community by decreasing disease, providing financial savings, and enhancing public safety.

Director
Health Services
Hampden County Sheriff's Department
627 Randall Road
Ludlow, MA 01056
Tel: (413)547-8000
Fax: (413)589-0912

Public Works and Fire/Rescue, Town of Bristol, Wisconsin

Employees of the Town of Bristol Public Works Department are cross trained to answer fire and rescue incidents for the town during the day. This enables the town to have full-time fire and rescue coverage in a very efficient and effective manner.

Public Works Director
Department of Public Works
Town of Bristol
8101 195th Avenue
Bristol, WI 53104
Tel: (262)857-9371
Fax: (262)857-7029

Risk Focused Policing, City of Redlands, California

In implementing Risk Focused Policing, the Redlands Police Department is the first in the country to fully embrace a research-based, prevention framework focusing on the risk and protective factors in the community, school, family, and peer group 'domains' of youths' lives which place them at risk for substance abuse, delinquency, violence, teen pregnancy, and dropping-out of school. Risk Focused Policing is defined as a 'data and results-driven, community-oriented policing and problem solving strategy which focuses on those factors in a community which place its youth and their families most at-risk for criminal and other problem behaviors.'

Chief of Police
Redlands Police Department
30 Cajon Street
Redlands, CA 92373
Tel: (909)798-7661
Fax: (909)798-7675
Website: http://www.ci.redlands.ca.us

Smart Growth and Neighborhood Conservation, State of Maryland

The Smart Growth initiative is the nation's first statewide, incentive-based, comprehensive effort to discourage sprawl. It uses the State's $19 billion budget as an incentive to encourage less costly, more environmentally sensitive, and better-planned growth.

Special Assistant for Smart Growth
Office of the Governor
Department of Natural Resources
Tawes State Office Building, C-4
580 Taylor Avenue
Annapolis, MD 21401
Tel: (410)260-8112
Fax: (410)260-8111
Website: http://www.op.state.md.us/smartgrowth

Total Efficiency Accountability Management System, City of New York, New York

The Total Efficiency Accountability Management System is a management system that mandates accountability and performance efficiency. It has severed the old culture of status quo and replaced it with a performance-driven workforce.

Deputy Commissioner
Public Information
New York City Department of Correction
60 Hudson Street, 6th Fl., Rm. 608
New York, NY 10013
Tel: (212)266-1055
Fax: (212)266-1597