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	<b>3. Originating Office: Children's Bureau</b> <b>Office on Child Abuse and Neglect</b>	
	<b>4. Key Words:</b> <b>Community-Based Family Resource and Support Grant</b>	

**PROGRAM INSTRUCTION**

- TO** : Offices of the Governors; Community-Based Family Resource Program Grantees; State Children's Trust and Prevention Funds; State Agencies Administering or Supervising the Administration of Titles IV-B and IV-E of the Social Security Act; Safe and Stable Families Grantees, National Parent Mutual Support Network Grantees
- SUBJECT** : Availability of Fiscal Year 2003 Funds under the Community-Based Family Resource and Support Grants program created by Title II of the Child Abuse Prevention and Treatment Act Amendments of 1996 (Pub.L.104-235).
- LEGAL AND RELATED REFERENCES** : Title II of the Child Abuse Prevention and Treatment Act (CAPTA) (42 U.S.C. 5116 et. seq.), as amended by Pub. L. 104-235, enacted October 3, 1996; Subtitle F of Title VII of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11481 et seq., now repealed); Temporary Child Care for Children with Disabilities and Crisis Nurseries Act of 1986, as amended (now repealed).
- PURPOSES** : The purposes of this Program Instruction are to (1) set forth the requirements for recipients of Community-Based Family Resource and Support Grant awards for fiscal year 2003, and (2) provide guidance and instructions for the preparation and submission of the application.

## TABLE OF CONTENTS

<b>PART I:</b>	<b><u>INTRODUCTION and VISION STATEMENT</u></b> .....	3
	A. Background .....	3
	B. Use of Funds .....	4
	C. Availability & Distribution of Funds .....	5
	D. Coordination & Collaboration with Existing Organizations .....	6
	E. Definitions .....	10
<b>PART II:</b>	<b><u>ELIGIBILITY REQUIREMENTS</u></b> .....	11
	A. Overview of Eligibility Requirements for FY 2003 .....	11
	B. State Eligibility .....	11
	C. Lead Agency Eligibility .....	12
<b>PART III:</b>	<b><u>APPLICATION INSTRUCTIONS</u></b> .....	13
	A. Preparation and Format of Application. ....	13
	B. Submission Letter .....	14
	C. Lead Agency Identifying Information .....	14
	D. Federal Fiscal Year Statement .....	15
	E. State CEO Documentation .....	15
	F. Lead Agency Documentation .....	15
	G. Documentation of Leveraged Funds .....	16
	H. Assurances. ....	16
	I. Additional Application Requirements .....	18
	J. Certifications .....	21
	K. Submission of Application .....	21
<b>PART IV:</b>	<b><u>ADDITIONAL INFORMATION</u></b> .....	22
	A. Closing Date for Receipt of Applications .....	22
	B. Grant Administration Regulations. ....	22
	C. Expenditure of Funds .....	22
	D. Reporting Requirements .....	23
	E. Intergovernmental Review .....	25
	F. Paperwork Reduction Act .....	25
	G. Inquiries .....	25
	H. Effective date .....	25
<b>PART V</b>	<b><u>ATTACHMENTS</u></b> .....	27

## **PART I: INTRODUCTION**

### **VISION FOR A NETWORK OF FAMILY RESOURCE AND SUPPORT SERVICES**

The enactment of the Community-Based Family Resource and Support Grants (CBFRS) legislation, Title II of CAPTA, on October 3, 1996, provided States with additional incentives to create Statewide networks for ensuring the safety of children in their families and neighborhoods. This legislation has a rich history, beginning with the Child Abuse Prevention Federal Challenge Grants Act in 1984 -- the first law to direct Federal funds specifically to assist State efforts in preventing child abuse and neglect. Amendments to the law in 1992 and 1994 broadened the earlier legislation to include the provision of community-based child abuse prevention activities and family resource services.

The 1996 CBFRS legislation recognizes that individual child abuse and neglect prevention programs cannot stand alone. The most effective way to meet the challenge of preventing child abuse and neglect is for all child abuse prevention and treatment programs - public and private - to work together in partnership to achieve their common goals.

The CBFRS legislation includes provisions requiring that lead agencies have the capacity to establish Statewide networks of family support programs that (1) are based on State and community interagency partnerships, and (2) are implemented through an interdisciplinary, collaborative public-private structure that includes parents as full partners. Another prevailing theme of this legislation is that lead agencies are to seek innovative approaches to coordinating funding streams and leveraging additional resources to augment the Federal funds.

The Administration has established key priority areas which include promoting responsible fatherhood, healthy marriages, strengthening families, and outreach to faith and community-based organizations. The CBFRS program provides opportunities to advance these areas within the field of child abuse prevention. Emphasis should be placed on identifying ways to incorporate these priorities into CBFRS programs in the States.

The CBFRS grantees are in a unique position of leadership as they assume responsibility for directing the network of public-private partnerships and continuum of preventive services for children and families. Our children's safety and well-being will be best ensured when Federal, State, and community agencies work collaboratively to better coordinate programs and services and be responsive to the needs of all families.

\* \* \* \* \*

## **A. BACKGROUND**

On October 3, 1996, the President signed the CAPTA Amendments of 1996 (Pub. L. 104-235). This legislation, among other things, amended Title II of CAPTA to create a new Community-Based Family Resource and Support Grants program by combining the authorities for: (1) the Community-Based Family Resource Programs (established under Title IV of the Human Services Amendments of 1994); (2) applicable programs under the Temporary Child Care for Children with Disabilities and Crisis Nurseries Act of 1986; and (3) the Family Support Program (Subtitle F of Title VII of the McKinney Homeless Assistance Act).

The purposes of the CBFRS program are: (1) to support State efforts to develop, operate, expand, and enhance a network of community-based, prevention-focused, family resource and support programs that coordinate resources among a range of existing public and private organizations; and (2) to foster understanding, appreciation, and knowledge of diverse populations in order to effectively prevent and treat child abuse and neglect.

A copy of Title II of the CAPTA Amendments of 1996, together with excerpts relating to the CBFRS program from (1) the Senate Report on those amendments (Senate Report 104-117), and (2) the September 25, 1996 *Congressional Record* (comments by Congressman Goodling) are included as Attachment 1.

## **B. USE OF FUNDS**

Section 201(b) of the Act provides that funds made available to States under the CBFRS program must be used for:

- (1) Developing, operating, expanding, and enhancing Statewide networks of community-based, prevention-focused, family resource and support programs that --
  - (A) Offer assistance to families;
  - (B) Provide early, comprehensive support for parents;
  - (C) Promote the development of parenting skills, especially in young parents and parents with very young children;
  - (D) Increase family stability;
  - (E) Improve family access to other formal and informal resources and opportunities for assistance available within communities;
  - (F) Support the additional needs of families with children with disabilities through respite care and other services; and
  - (G) Decrease the risk of homelessness. (Note: This provision has been removed from proposed bills in both the House and the Senate, but it is not yet law.)
- (2) Fostering the development of a continuum of preventive services for children and families through State and community-based public and private partnerships.

- (3) Financing the start-up, maintenance, expansion, or redesign of a variety of specific family resource and support program services that have been identified as unmet needs, and integrated with the network of community-based family resource and support programs, to the extent practicable.
- (4) Maximizing funding for establishing, operating, or expanding a Statewide network of community-based, prevention-focused, family resource and support programs.
- (5) Financing public information activities that focus on the healthy and positive development of parents and children and promotion of child abuse and neglect prevention activities.

### C. AVAILABILITY AND DISTRIBUTION OF FUNDS

The appropriation act enacted by the Congress makes \$33.2 million available for the CBFRS program in Federal fiscal year 2003.

A certain amount must be set aside for specific legislative purposes, including: (1) one percent of the total appropriation "to make allotments to Indian tribes and tribal organizations and migrant programs;" (§203(a)) and (2) continued funding for a National Resource Center for CBFRS, and (3) continued funding for program support.

The remainder of the 2003 appropriation will be distributed to the States and Territories, as described below:

#### 1. Grants to States:

A State<sup>1</sup> is eligible for a grant under the CBFRS program if, in accordance with the eligibility requirements of §202, the State's Chief Executive Officer (CEO) has designated a lead entity to administer funds under this program and provided certain assurances. (The eligibility requirements are described in detail in Part II of this PI.)

Section 203(b)(1) provides that the funds available for distribution to the States under the CBFRS program will be allotted as follows:

- (a) **Seventy percent (70%)** of the funds will be allotted proportionately among the States based on the number of children under age 18 residing in each State<sup>2</sup>, "except that no State shall receive less than \$175,000.."; and

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<sup>1</sup> In the absence of a definition in Title II, we have interpreted "STATE" as having the meaning given the term in CAPTA, §111 (5) [42 USC 5106g (5)], (i.e., "State" means each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.)

- (b) **Thirty percent (30%)** of the funds will be allotted proportionately among the States based on the amount leveraged by the State from private, State, or other non-Federal sources and directed through the State lead agency in the preceding fiscal year (i.e., 10/1/01 to 9/30/02). If the aggregate of the amounts of leveraged funds claimed by the States exceeds 30% of the amount appropriated under §210, that part of the grant award will be reduced for each State on a pro rata basis. The requirements for leveraged funds are discussed in Part III-G.

2. **Grants to Territories:**

The following Territories are eligible to receive funds under the CBFRS program: the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands. These Territories are eligible to submit either: (1) a consolidated grant application in accordance with 45 CFR Part 97, **OR** (2) an independent application that meets all of the requirements set forth in this Program Instruction.

Consolidated Application: If a Territory chooses to submit a consolidated grant application, it need not submit an application under this Program Instruction. An eligible Territory that applies for a consolidated grant will receive the base amount of \$175,000 authorized under the CBFRS program. These grant funds will be included in the Territory's consolidated grant.

Independent Application: If an eligible Territory submits an independent application that meets the requirements of this Program Instruction, the Territory is also eligible to submit a claim for its leveraged funds in accordance with §203(b)(1)(B) above, and receive its proportionate share of those funds, in addition to receiving the base amount of \$175,000 for its population. If a Territory's independent application is approved, the designated lead agency of the Territory must ensure that the CBFRS grant funds it receives will be used only for the purposes set forth in Part I of this Program Instruction.

**D. COORDINATION AND COLLABORATION WITH EXISTING ORGANIZATIONS**

The CBFRS program is specifically authorized to foster the development of a continuum of preventive services for children and families through State and community-based collaborations and public-private partnerships. States have already established a broad range of Federal, State, and locally funded programs to support the prevention of child abuse and neglect and to provide community-based (and in several States, faith-based) resources to families. It is the responsibility of the lead agency to use the funds awarded

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<sup>2</sup> The calculation of that portion of a State's award under paragraph (A) of the formula will be computed by ACYF, using the most current population data provided by the Bureau of the Census, Department of Commerce.

under this authority to direct the networking effort that will integrate existing services and identify unmet needs that may be addressed by programs such as those described below:

◆ **Temporary Child Care For Children with Disabilities and Crisis Nurseries**

The Temporary Child Care for Children with Disabilities and Crisis Nurseries Act of 1986, as amended, authorized demonstration grants to States to assist public and private agencies in developing (1) temporary child care (**Respite Care**) programs for children with disabilities, and (2) **Crisis Nurseries** for children at risk of child abuse and neglect. These programs are intended to maintain and support the family unit and strengthen the parent-child bond. Below is a description of these programs:

**Respite Care.** Respite Care programs are designed to alleviate social, economic, and financial stress among families of children with disabilities or children who are chronically or terminally ill. They provide short-term, in-home or out-of-home nonmedical child care. Respite care provides families or primary caregivers with periods of temporary relief from the pressures of demanding child care routines and lessens the intensity of severe family stress. Respite care programs generally provide 24-hour services, access to medical services, referral to counseling and therapy, staff training including child abuse/neglect reporting responsibilities, and public awareness efforts. (For information about these programs in your State contact: Linda Baker at 1-800-604-9655 or visit the ARCH National Respite and Resource Center website at: [www.archrespite.org](http://www.archrespite.org)).

**Crisis Nurseries.** Crisis Nurseries are child care facilities that provide a safe environment when the chance of neglect or abuse in the home increases. The programs offer parents the option of "time out," as a preventive measure to reduce the likelihood of child maltreatment. They are designed to: (1) offer a safe environment as a resource for children at risk of abuse; (2) deliver non-punitive, non-threatening services as a resource to care-givers of at-risk children, and (3) utilize existing community-based services to further diminish the potential for the mal-treatment of children in families experiencing crisis. (For information about programs in your State, please contact: Linda Baker at 1-800-604-9655 or email/website: [www.archrespite.org](http://www.archrespite.org))

Final grant awards under the Temporary Child Care for Children with Disabilities and Crisis Nursery Programs were made in September 1998. These services, however, continue to be an important component of a full continuum of child abuse prevention and family resource services, and are included as services for funding under the CBFERS program. (See §207(3), §209(3)(B) and (c)(v)&(5).)

◆ **Community-Based Family Resource Programs**

The Community-Based Family Resource Program (CBFRP), created by Title IV of the Human Services Amendments of 1994, awarded Federal funding in all 50 States and the District of Columbia through Federal fiscal year 1996. The CBFRP programs continue to be administered by a variety of public and private entities for the purpose of preventing child abuse and neglect through the development and implementation of community-based family resource services. These programs are supported by innovative funding mechanisms and provided in collaboration with other agencies within the State. (For further information contact: Melissa Lim Brodowski at (202) 205-2629.)

◆ **Promoting Safe and Stable Families** (formerly the Family Preservation and Support Program)

Title IV B, subpart 2, Promoting Safe and Stable Families (PSSF), provides funds to State child welfare agencies for prevention services (Family Support Programs), services to families at risk or in crisis (Family Preservation Programs, Time-Limited Family Reunification services, and Adoption Promotion and Support services). Funding for these programs is directed toward assessing available services and making changes in State and local child welfare service delivery in order to achieve improved well-being for vulnerable children and their families, particularly those experiencing or at risk for abuse and neglect. Recent legislation amending PSSF highlighted the use of funds to support healthy marriages and strengthen families. (For further information contact: Vicki Wright at (202) 401-0406, email: [vwright@acf.dhhs.gov](mailto:vwright@acf.dhhs.gov)).

◆ **Family Support Center Programs**

The Family Support Center Programs were formerly supported by Subtitle F of Title VII of the Stewart B. McKinney Homeless Assistance Act. They have infrastructures in place that are demonstrating innovative approaches to building on individual and community strengths and increasing family self-sufficiency to prevent the threat of homelessness. These programs have components to assist in transitioning poor families from welfare to meaningful work. (For further information contact: Sheldon Shalit at (202) 401-4807, email: [sshalit@acf.dhhs.gov](mailto:sshalit@acf.dhhs.gov)).

◆ **Child Care Program**

The Child Care and Development Fund (CCDF), established as a result of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Pub. L. 104-193) assists low-income families and those transitioning off welfare to obtain child care so they can work or attend training and education programs. This program provides subsidized child care services to eligible parents as long as the



child care providers meet basic health and safety requirements set by States and Tribes, including the prevention and control of infectious diseases, environmental safety, and minimum health and safety training. (For further information about these programs in your State, please contact: Aylanda Cameron at (202) 205-8713, email: [acameron@acf.dhhs.gov](mailto:acameron@acf.dhhs.gov)).

◆ **Head Start Program**

Head Start is a Federal program for infants, toddlers, and preschool children from low-income families. The Head Start program is operated by a variety of faith and community-based agencies, including Community Action Agencies, non-profit organizations, and school systems. These programs provide comprehensive services to meet the educational, emotional, social, health, nutritional, and psychological needs of our most vulnerable children, including children with disabilities. An essential component of every Head Start program is the involvement of parents in parent education, program planning, and other administrative and managerial activities. (For further information about these programs in your State, please contact: Carmen Bovell-Chester at (202) 205-8085, email: [cbovell-chester@acf.dhhs.gov](mailto:cbovell-chester@acf.dhhs.gov)).

◆ **Various Community-Based Parent Education, Mutual Support and Self Help, Outreach, Referral, Adoption Counseling, Early Childhood Development, and Peer Counseling Programs**

These programs range from national models implemented broadly in States, to unique local agency programs with a long history of service to their communities. They are funded from diverse sources and contribute to a network that provides a full continuum of community-based family resource services. A few examples of such programs are:

**Home Instruction Program for Preschool Youngsters (HIPPY).** HIPPY is an early childhood instruction program for educationally disadvantaged parents to use with their preschool children. Paraprofessional home visitors from the community instruct parents in the use of HIPPY materials. (For more information about programs in your State, contact Elisabet Eklind (212) 532-7730, email: [info@hippyusa.org](mailto:info@hippyusa.org)).

**Parents As Teachers (PAT).** PAT is a home-school-community partnership for parents of children 0-3 that is designed to help parents give their children the best possible start in life by providing timely information on child development and ways to encourage learning. (For more information about programs in your State, contact: Barb Kushar at (314) 432-4330, email: [barb.kushar@patnc.org](mailto:barb.kushar@patnc.org)).

**Parents Anonymous.** Parents Anonymous is a national organization that oversees a network of accredited organizations and the operation of approximately 1,000 Parents Anonymous Programs which offer mutual support and self help services to

alleviate the stresses of parenting, build self-esteem, teach new parenting skills, and promote parent leadership. (To find out about PA chapters in your State, please visit [www.parentsanonymous.org](http://www.parentsanonymous.org)).

**State and Local Chapters of Prevent Child Abuse America (PCA).** PCA is a national organization with State and local chapters in every State. Their mission is to provide information, public education and awareness, and various services for the prevention of child abuse and neglect. (To find out about PCA chapters in your State, contact: Phyllis Medrano at (312) 663-3520, email: [pmedrano@preventchildabuse.org](mailto:pmedrano@preventchildabuse.org)). In addition, PCA now operates a National Network of Parent Mutual Support activities. (To find out about these specific activities, contact Cynthia Savage at (312) 663-3520, email: [csavage@preventchildabuse.org](mailto:csavage@preventchildabuse.org)).

**The Administration on Developmental Disabilities (ADD).** ADD is the lead agency within the U.S. Department of Health and Human Services, Administration for Children and Families, responsible for planning and carrying out programs which promote the self-sufficiency and protect the rights of persons with developmental disabilities. ADD's major goal is to work in partnership with State governments, local communities and the private sector to increase the social and economic integration of individuals with developmental disabilities. (To find out about ADD programs in your State, please contact: June Wyman at (202) 690-6589, email: [jwyman@acf.dhhs.gov](mailto:jwyman@acf.dhhs.gov)).

These examples of programs are not meant to be all-inclusive. A strategic plan for the development of a network of family resource programs should include existing education, vocational rehabilitation, disability, health, mental health, job readiness, self-sufficiency, child and family development, community action, juvenile justice, domestic violence prevention and intervention, housing, faith and community-based, and other human service organizations within the State.

## **E. DEFINITIONS**

The following terms used in this Program Instruction have the same meaning given those terms in §209 of the Act: (1) "children with disabilities"; (2) "community referral services"; (3) "family resource and support program"; (4) "outreach services"; and (5) "respite care services". (See Attachment 1.)

It is expected that lead agencies will require local service providers to describe their services and programs according to these definitions so that there are common frames of reference within and across States in the implementation of this program.

## **PART II: ELIGIBILITY REQUIREMENTS**

### **A. OVERVIEW OF ELIGIBILITY REQUIREMENTS FOR FEDERAL FISCAL YEAR (FFY) 2003**

Each State applying for a grant under the CBFRS program for FFY 2003 must:

- (1) Meet the State eligibility requirements described in Part II-B of this Program Instruction;
- (2) Meet the lead agency eligibility requirements described in Part II-C;
- (3) Provide non-Federal funds equal to not less than 20% of the amount the State will receive under the FFY 2003 CBFRS grant award;
- (4) Submit an application that meets the requirements described in Part III; and
- (5) Participate in at least one Federally-initiated CBFRS conference each year that the State grant is in effect.

### **B. STATE ELIGIBILITY**

#### Designation of a Lead Entity:<sup>3</sup>

Before a State can apply for a FFY 2003 grant under the CBFRS program, the CEO of the State must designate a lead entity<sup>4</sup> to administer the funds for the implementation of a Statewide network of community-based, prevention-focused, family resource and support programs. (§202(1)(A))

The designation of a lead entity by the CEO should be based on a determination that the entity is the most appropriate organization to accomplish both the child abuse and neglect

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<sup>3</sup> The term "entity" is used with respect to a CEO's designation of a State entity to administer the CBFRS program. Once an entity has been designated, and for purposes of meeting the application requirements, the term "agency" (or "lead agency") will be used in lieu of "entity" or "lead entity".

<sup>4</sup> Section 202(1) (C) & (D) provides that, in determining which entity to designate, the CEO of the State should "give priority consideration equally to a trust fund advisory board of the State or to an existing entity that leverages Federal, State, and private funds ..." Section 202(1) (D) provides that, "in the case of a State that has designated a State trust fund advisory board to be the lead entity... and in which one or more entities that leverages Federal, State and private funds... exist, the [CEO] shall designate the lead entity only after full consideration of the capacity and expertise of all entities desiring to be designated [as lead agency]."

prevention activities and the family resource and support goals of the CBFRS program. That determination should be based on the demonstrated ability of the entity to (1) integrate family resource and support services and (2) leverage and blend State, Federal and private funds at the local level for family resource programs.

### C. LEAD AGENCY ELIGIBILITY

#### 1. Lead Entity Requirements:

As required by §202(1)(B), the lead entity must:

- (a) Be an existing public, quasi-public, or nonprofit private entity;<sup>5</sup>
- (b) Demonstrate the ability to work with other State and community-based agencies to provide training and technical assistance; and
- (c) Demonstrate the capacity to ensure the meaningful involvement of parents who are consumers and who can provide leadership in the planning, implementation, and evaluation of programs and policy decisions of the lead agency in achieving the outcomes of the program.

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<sup>5</sup> The designated agency is not required to have been established pursuant to State legislation, executive order, or other written authority of the State.

## PART III: APPLICATION INSTRUCTIONS

The information presented in this section is intended to summarize the submission and review process for a CBFRS application, and to describe the content and documentation that must be provided with the application. These requirements include specific materials necessary to establish the eligibility of the lead agency to submit the application and of the leveraged funds to be matched by Federal funds.

### SIMPLIFIED PROCEDURES UNDER CERTAIN CONDITIONS

For any State submitting an application in which there have been no changes in one or more of the following areas since the State submitted its Federal fiscal year (FFY) 2002 application, that State may, if it so chooses, make the following simplifications to its application:

1. If there has been no change in the CEO of the State, AND the lead agency designation has not changed since the FFY 2002 application was submitted, the application letter may include a statement to that effect with a copy of the original designation letter from the State's CEO. (See page 15, E.(a).)
2. If there has been no change in the CEO of the State, AND the lead agency designation has not changed since the FFY 2002 application was submitted, the application letter may include a statement to that effect with a copy of the original State Assurance Statement signed by the State's CEO. (See page 15, E.(b) and page 16-17, H.1.(a)&(b).)
3. If the lead agency has not changed, AND there has been no change in the lead agency's administrative personnel authorized to sign the State Lead Agency Assurance Statement since the FFY 2002 application was submitted, the application letter may include a statement to that effect with a copy of the original Lead Agency Assurance Statement. (See page 15, F. and page 18, 2. (A)-(D).)
4. If the non-Federal match money in the budget submitted with the application is equal to or greater than 20% of the final grant award, the lead agency is not required to submit a post-award budget amendment. (See page 19, #2)

#### A. PREPARATION AND FORMAT OF APPLICATION

##### 1. Preparation:

The application must be prepared and submitted by the lead agency designated by the CEO of the State to (1) administer funds provided under this grant, and (2) assume responsibility for implementation and oversight of the network of family resource and support programs and other child abuse and neglect prevention activities. (§201(f))

2. Format:

States are not required to submit a Standard Form 424, "Application for Financial Assistance" (although a State may use this form if it chooses). Applications may be submitted in formats best suited to the needs of the applicant. States are strongly encouraged, however, to follow the content outline suggested in Part III, B-J of this Program Instruction.

3. Accompanying Documents:

The application must be accompanied by the appropriate certifications, assurances, and other required documentation described throughout this Program Instruction.

**B. SUBMISSION LETTER**

Each application must be accompanied by a Submission Letter that is addressed to the Commissioner, Administration on Children, Youth and Families, and signed by an appropriate official of the lead agency designated by the CEO to act for the State in administering the funds and assuming the obligations imposed by the terms and conditions of the grant award. The letter that officially transmits the application must include a description of the lead agency that will be responsible for the administration of funds and the oversight of programs funded through the Statewide network of community-based, prevention-focused, family resource and support programs. (§205(1))

The description of the lead agency must include information that:

- (1) Describes the interdisciplinary, collaborative, public-private structure, including its representation from private and public sector parents and service providers, that will direct the network of community-based family resource and support programs, and how the structure will direct the Network; (§202(2)(B))
- (2) Describes the peer review process the State will conduct under this program; (§207(7)) and
- (3) Describes the activities the lead agency will coordinate or participate in, and the Network's role in the promotion and observance of Child Abuse Prevention Month during April 2004.

**C. LEAD AGENCY IDENTIFYING INFORMATION<sup>6</sup>**

Each application must include the following information:

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<sup>6</sup> It is incumbent upon the lead agency to provide timely notification to the Federal program officer if there are any changes in the following lead agency information during the grant award period.

- (1) The name, mailing address, internet address, and FAX number of the lead agency.
- (2) The lead agency's Employer Identification Number (EIN).
- (3) The name and telephone number of the program specialist responsible for the CBFRS grant program.
- (4) The name and telephone number of the fiscal agent responsible for the CBFRS grant program.

**D. FEDERAL FISCAL YEAR STATEMENT**

Each application must include a statement that the fiscal year for which State, private, and other non-Federal funds were leveraged for the purpose of submitting a claim under the CBFRS program for FFY 2003 is Federal Fiscal Year 2002 (i.e., **October 1, 2001 - September 30, 2002**). This statement should be included in the submission letter. (§203(b)(1)(B))

**E. STATE CEO DOCUMENTATION**

Each application for FFY 2003 funding under the CBFRS program must include the following documentation by the State's CEO:<sup>7</sup>

- (a) The original signed letter from the CEO of the State that (1) designates the lead agency to receive the funds, and (2) contains a statement that the lead agency was designated only after giving full and equal consideration to the capacity and expertise of all entities desiring to be the lead agency; (§202(1)(A)(C)&(D)) and
- (b) The official signed "State Chief Executive Officer's Assurance Statement". (§202(2)&(3)) A copy of the CEO Assurance Statement is included as Attachment 3 in this Program Instruction.<sup>8</sup>

**F. LEAD AGENCY DOCUMENTATION**

Each application must contain the Lead Agency information described under Part III-B, C, and D above. In addition, the application must include the official signed "Lead Agency Assurance Statement"<sup>9</sup> included in this Program Instruction as Attachment 4.

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<sup>7</sup> See exceptions in the box on page 13, #1 and #2.

<sup>8</sup> To simplify procedures for the applicant, all statutory assurances contained in this Program Instruction are consolidated into two separate Assurance Statements, for signature by the State official who is responsible for making such assurances (i.e., the CEO of the State, or the appropriate lead agency administrator). These Assurance Statements are included as Attachments 3 and 4.

<sup>9</sup> See exception in the box on page 13, #3.

The Assurance Statement must be signed by an authorized official of the agency designated by the CEO to act for the State in administering the CBFRS funds and assuming the obligations imposed by the terms and conditions of the grant award. (§205(3),(5),(6)&(13))

## G. DOCUMENTATION OF LEVERAGED FUNDS FOR FEDERAL MATCHING FUNDS

The following documentation of leveraged funds must be provided to receive CBFRS funds available for distribution under §203(b)(1)(B), (i.e., 30% of the total allotment to States that is based on the leveraging of non-Federal funds):

### 1. Leveraged Funds that May Be Claimed:

Funds claimed as leveraged funds by a State under §203(b)-(1)(B) may include any funds that were:

- (a) Leveraged by the State from private, State, or other **non-Federal** sources during **FFY – 2002 (October 1, 2001 - September 30, 2002)**;
- (b) Directed through the CBFRS lead agency for FFY 2002; and
- (c) Budgeted during **FFY 2002** for use in supporting a network of community-based, prevention-focused, family resource and support programs<sup>10</sup>.

Only funds that have not been used to leverage additional Federal funds under any other program may be claimed as leveraged funds for this program.

### 2. Completion of Leveraged Funds Worksheet:

In order for a State to document funds claimed as leveraged funds, the application must contain a completed copy of the Leveraged Funds Worksheet (see Attachment 5), which includes (1) an itemization of the funds being claimed, and (2) an assurance statement that is to be signed by the responsible lead agency administrator and fiscal authority for the lead agency verifying the authenticity of the submitted claim.

## H. ASSURANCES

Each application must contain all assurances required in Title II of Pub. L. 104-235, as set out below, including (1) State CEO assurances, and (2) lead agency assurances.

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<sup>10</sup> Leveraged funds that may be submitted for Federal matching funds are those non-Federal funds which, in the preceding fiscal year, were controlled by the CBFRS lead agency submitting the application, and were used to provide the types of services and activities for which the current CBFRS Federal funds may be used, as specified by the legislation and described under the Use of Funds section of this Program Instruction.



**Note:** The Assurance Statements, included as Attachments 3 and 4, should be (1) removed from the Program Instruction and completed, (2) signed, as indicated (i.e., by either the State CEO or lead agency official), and (3) submitted with the State's application.

1. **State CEO's Assurances Regarding the Lead Agency:**

- (a) **Responsibility for Network of Programs.** Section 202(2) requires the State CEO to provide assurances that the lead agency will provide or be responsible for providing--
- (1) A network of community-based family resource and support programs composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from private and public sector members, parents, and public and private nonprofit service providers and individuals and organizations experienced in working in partnership with families with children with disabilities; (§202(2)(A))
  - (2) Direction to the network through an interdisciplinary, collaborative, public-private structure with balanced representation from private and public sector members, parents, and public sector and private nonprofit sector service providers; (§202(2)(B)) and
  - (3) Direction and oversight to the network through identified goals and objectives, clear lines of communication and accountability, the provision of leveraged or combined funding from Federal, State and private sources, centralized assessment and planning activities, the provision of training and technical assistance and reporting and evaluation functions. (§202(2)(C))
- (b) **Lead Agency Commitment and Capacity.** Section 202(3) further requires the State CEO to provide assurances that the lead agency --
- (1) Has a demonstrated commitment to parental participation in the development, operation, and oversight of the Statewide network of community-based, prevention-focused, family resource and support programs; (§202(3)(A))
  - (2) Has a demonstrated ability to work with State and community-based public and private nonprofit organizations to develop a continuum of preventive, family centered, comprehensive services for children and families through the Statewide network of community-based; prevention-focused, family resource and support programs; (§202(3)(B))

- (3) Has the capacity to provide operational support (both financial and programmatic) and training and technical assistance, to the Statewide network of community-based prevention-focused, family resource and support programs, through innovative, interagency funding and interdisciplinary service delivery mechanisms; (§202(3)(C)) and
- (4) Will integrate its efforts with individuals and organizations experienced in working in partnership with families with children with disabilities and with the child abuse and neglect prevention activities of the State, and demonstrate a financial commitment to those activities. (§202(3)(D))

2. **Lead Agency Assurances:**

The authorized official of the Lead Agency designated by the CEO to administer funds under the CBFRS program and assume the obligations imposed by the terms and conditions of the grant award must provide the following assurances:

- (A) An inventory of current family resource programs, respite care, child abuse and neglect prevention activities, and other family resource services operating in the State, and a description of current unmet needs, will be incorporated into the Annual Performance Report submitted **on or before December 31, 2004**; (§205(3))
- (B) Funds received under this title will supplement, not supplant, other State and local public funds designated for the Statewide network of community-based, prevention-focused, family resource and support programs; (§205(5))
- (C) The State has the capacity to ensure the meaningful involvement of parents who are consumers and who can provide leadership in the planning, implementation, and evaluation of the programs and policy decisions of the applicant agency in accomplishing the desired outcomes for such efforts; (§205(6)) and
- (D) The applicant agency will provide the Secretary with reports at such time and containing such information as the Secretary may require **not later than December 31, 2004** (§205(13)).

**I. ADDITIONAL APPLICATION REQUIREMENTS**

Section 205 of the Act provides that each State's application must contain information specified by the Secretary as essential to carrying out the provisions of this program, including the following:

1. Network Operation. Each application must include a description of how the network of community-based, prevention-focused, family resource and support programs will operate and how family resource and support services provided by public and private, nonprofit organizations, including those funded by programs consolidated under this Act, will be integrated into a developing continuum of family centered, holistic, preventive services for children and families; (§205(2))
2. Budget, Including State's 20% Cash Match. Each State application must include a budget for the development, operation and expansion of the State's network of community-based, prevention-focused, family resource and support programs that verifies that the State will expend in non-Federal funds an amount equal to not less than 20 percent of the amount received under this title (**in cash, not in-kind**) for activities under this title; (§205(4))

**NOTE 1:** The budget should be presented in a format that clearly displays line item expenditures for both the Federal and non-Federal funds.

**NOTE 2:** Federal funds available under the CBFRS grant are for the provision of a network of community-based, prevention-focused, family resource and support programs. In order to achieve this objective, up to 20% of available funds may be budgeted for administrative purposes. (This does not apply to such program costs as necessary to provide Network Coordination, Training and Technical Assistance, and Evaluation.) States are authorized to include a budget item to cover expenses for two CBFRS representatives to attend a Federally initiated national or regional CBFRS conference. (See Part II: Eligibility Requirements #(5), page 11.)

**NOTE 3:** The nature of the formula provision is such that States claiming leveraged funds will not know what their total grant award will be when the application is submitted. Consequently, a State with a leveraged funds claim will not know what will constitute its 20% match. Therefore, for application purposes, the 20% match should be determined based on the population-only portion of the formula. Attachment 6 includes a table showing an estimate of the amount each State will receive based on population. Within 30 days of receipt of the Grant Award Letter, the lead agency must submit an amended Budget to reflect a 20% match of the full amount of the grant award.<sup>11</sup>

3. Criteria for Funded Programs. Each application must include a description of the criteria that the lead agency will use to develop, or select and fund, individual community-based, prevention-focused, family resource and support programs as part of network development, expansion or enhancement; (§205(7))

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<sup>11</sup> See exception in the box on page 13, #4.

**NOTE:** This requirement may be met in whole or in part by the inclusion of the State's current announcement of the priority for local grant awards or Request for Proposals (RFP) for CBFRS funds.

4. **Outreach Activities for Special Populations.** Each application must include a description of outreach activities that the lead agency and the community-based, prevention-focused, family resource and support programs will undertake to maximize the participation of racial and ethnic minorities, children and adults with disabilities, homeless families, and members of other under-served or under-represented groups; (§205(8))

**NOTE:** Parents with mild to moderate disabilities are frequently underserved and should also be considered a target population for this outreach. Research has demonstrated the importance of fathers in the healthy development of children. Fathers are an often-overlooked population and care should be taken to include them in the planning of outreach activities.

5. **Plan for Support, Training, and Technical Assistance.** Each application must include a plan for providing operational support, training and technical assistance to community-based prevention-focused, family resource and support programs for development, operation, expansion and enhancement of activities; §205(9))

**NOTE 1:** These plans should include training and technical assistance to foster understanding, appreciation, and knowledge of diverse populations in order to effectively prevent and treat child abuse and neglect. Plans should also include training and technical assistance to foster the promotion of strong families.

**NOTE 2:** This Plan should indicate the training and technical assistance (T/TA) to be provided in the coming fiscal year, as opposed to an accounting of the T/TA provided in the prior fiscal year.

6. **Evaluation.** Each application must include a description of how the lead agency's activities, and those of the network and its members, will be evaluated; (§205(10)) and
7. **Actions to Advocate Systemic Changes.** Each application must include a description of the actions that the lead agency will take to advocate systemic changes in State policies, practices, procedures and regulations to improve the delivery of prevention-focused, family resource and support program services to children and families. (§205(11))

**NOTE:** This description should not be a report of actions accomplished, but a description or approach to be implemented in the coming fiscal year to identify and advocate for systemic change. It would be especially appropriate to include Network activities and support for the proposed actions.

## J. CERTIFICATIONS

### 1. Anti-Lobbying Certification and Disclosure Form

Pursuant to 45 CFR Part 93, the Anti-Lobbying Certification and Disclosure Form (see Attachment 7) must be signed and submitted with the State's CBFRS program application. If applicable, a Standard Form LLL, which discloses lobbying payments, also must be submitted.

### 2. Other Certifications (Attachment 7)

The signature on the State's CBFRS Program application by an authorized official attests to the applicant's intent to comply with each of the following other certifications:

- (a) Certification Regarding Drug-Free Work Place;
- (b) Debarment certification; and
- (c) Certification Regarding Environmental Tobacco Smoke.

## K. SUBMISSION OF APPLICATION

### 1. Three Copies to the Office on Child Abuse and Neglect (OCAN)

The signed original and two copies of the complete application, including all attachments, must be submitted to the CBFRS grant officer at the Office on Child Abuse and Neglect **within 60 days from the issuance date (due June 9, 2003)**.

Applications sent to OCAN by regular mail, commercial delivery, or by hand should be addressed to:

Community-Based Family Resource & Support Grant Program  
Office on Child Abuse and Neglect  
Attention: Melissa Lim Brodowski  
330 C Street, S.W.  
Switzer Building, Room 2417  
Washington, D.C. 20447

### 2. One Copy to Regional Office

One copy of the grant application, including all attachments, must be submitted to the Federal Regional Office (RO) that serves the applicant's State. An RO contact list is included as Attachment 8.

Regional Office staff will conduct an initial review of the application and submit their findings and recommendations to OCAN.

In addition to participation in application reviews, the RO staff will be active in the administration of this program. The review of a State's application will enable the RO staff to become familiar with the State's CBFRS program, and, to the extent appropriate, facilitate linkages with other programs in the State. Additionally, the RO staff will be able to provide technical assistance to lead agencies, as requested, and otherwise be a resource to the lead agency.

## **PART IV: ADDITIONAL INFORMATION**

### **A. CLOSING DATE FOR RECEIPT OF APPLICATIONS**

The closing date for receipt of all applications under Title II of the CAPTA Amendments of 1996 (Pub. L. 104-235) for the Community-Based Family Resource and Support Grant program is **60 days from the issuance date (June 9, 2003)**.

### **B. GRANT ADMINISTRATION REGULATIONS**

The regulations that apply to the administration of these grants are contained in 45 CFR Part 92, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." (See Attachment 2 for a copy of the 45 CFR Part 92 revised regulations.)

### **C. EXPENDITURE OF FUNDS**

A State must obligate these Federal funds not later than **three** years after the end of the Federal fiscal year in which the funds are allocated, and they must be liquidated by the year 2008. This means that these FFY 2003 funds must be obligated by September 30, 2006, and liquidated by September 30, 2008. The Office of Administration, Office of Grants Management, in cooperation with the Administration on Children, Youth and Families (ACYF), will review the State's financial reports, and if the State does not fully obligate these funds within the three-year period, all unobligated funds will be recouped for return to the Treasury.

If it is not possible for a State to obligate all of the FY 2003 CBFRS funds by September 30, 2006, the lead agency may submit a written request for a no-cost extension, not to exceed 12 months, to obligate the remaining funds. The letter should be addressed to the Federal project office not-later-than June 30, 2006, and should include the following information:

- a. The amount of funds requested to be extended;

- b. The amount of time necessary to obligate the funds;
- c. The reason the funds will not be obligated by September 30, 2006; and
- d. The purpose for which the extended funds will be used.

## **D. REPORTING REQUIREMENTS**

Under the provisions of CFR Part 92, each State receiving a grant under the CBFRS program must provide both a financial report and a program report. These reports are required annually and are due 90 days after the close of each Federal fiscal year, (i.e., on or before December 31 of 2004, 2005, and 2005). A grant year runs 12 months from the date of issuance of the award. The project period for the CBFRS grant is 36 months with an additional 24 months to liquidate.

### **1. Financial Reports:**

Total expenditures under the CBFRS program (**including the 20% match**) are to be reported by the lead agency, using the Financial Status Report (Standard Form 269A). Each financial report must cover an entire 12-month period. The annual financial status reports are due no later than 90 days after September 30 of each year. Final Financial Status Reports **are due 90 days after the end of the grant period** (i.e., December 31, 2008). Financial reports are to be mailed concurrently to the State's ACF Regional Administrator (see Attachment 8), and to:

Administration for Children and Families  
Office of Administration  
Office of Grants Management  
ATTENTION: Doris Lee  
Switzer Building, Room 2421  
330 C Street, SW  
Washington, DC 20447

### **2. State Program Report:**

- a. **General Requirement.** Each State's annual program report should (1) document activities conducted during the grant award period on which the report is based, and (2) provide specific information to demonstrate compliance with the requirements for these funds:
- b. **Performance Measures.** Section 207 of the Act provides that any State receiving a grant under the CBFRS program shall, through reports provided to the Secretary, do the following:
  - (1) Demonstrate (through contracts, interagency agreements, and other means) the effective development, operation and expansion of a Statewide network of community-based, prevention-focused, family

resource and support programs that meets the requirements of the CBFRS program. (§207(1))

- (2) Provide the inventory and description of the services provided to families by local programs that meet identified community needs, including core and optional services as described in §202 of this legislation; (207(2))
- (3) Provide evidence demonstrating the establishment of new respite care and other specific new family resource services, and the expansion of existing services that address unmet needs identified by the inventory and description required by §205(3) of this legislation; (§207(3))
- (4) Include a description of the number of families served, noting and including families with children with disabilities, and the involvement of a diverse representation of families in the design, operation, and evaluation of the network of programs that are part of the Statewide network funded under this legislation; (§207(4))
- (5) Demonstrate (through evaluation data) a high level of satisfaction among families who have used the services of the CBFRS program; (§207(5))
- (6) Demonstrate (through information and documentation) the establishment or maintenance of innovative funding mechanisms, at the State or community level, that blend Federal, State, local and private funds, and innovative, interdisciplinary service delivery mechanisms for the development, operation, expansion and enhancement of the Statewide network of CBFRS programs;
- (7) Provide a description of the results of the peer review process conducted under the State program; (§207(7)) and
- (8) Provide an implementation plan that ensures the leadership of parents in the on-going planning, implementation, and evaluation of CBFRS programs. (§207(8))

c. **Final Program Report.** The final program report must include:

- (1) All of the information listed above; and
- (2) A statement indicating how the lead agency, in conjunction with the collaborative network, plans to continue to improve its system of child abuse and neglect prevention and the delivery of family resource services.



- d. **Submission of Program Reports.** One copy of the Program Reports should be mailed to the State's ACF Regional Administrator and three (3) copies of the Report should be mailed to:

Office on Child Abuse and Neglect  
ATTENTION: Melissa Lim Brodowski  
Switzer Building, Room 2417  
330 C Street, SW  
Washington, DC 20447

**E. INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS  
(EXECUTIVE ORDER 12372)**

This program has been excluded from the provisions of Executive Order 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities" (52 FR 161).

**F. PAPERWORK REDUCTION ACT**

An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid Office of Management and Budget (OMB) Control Number. Public reporting burden for this collection of information is estimated to average 40 hours per Application response, and 24 hours per Annual Program Report response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

In accordance with the Paperwork Reduction Act of 1995 (Pub. L.104-13), the information collection requirements in this Program Instruction have been approved through **April 30, 2005** by the Office of Management and Budget under **OMB Control Number:** 0970-0155.

**Catalog of Federal Domestic Assistance # 93.590**

**G. ADDRESS INQUIRIES TO**

Melissa Lim Brodowski  
Office on Child Abuse and Neglect  
Switzer Building; Room 2417  
330 C Street, SW  
Washington, DC 20447  
Office: (202) 205-2629; FAX: (202) 205-8221  
INTERNET: [mbrodowski@acf.hhs.gov](mailto:mbrodowski@acf.hhs.gov)

**H. EFFECTIVE DATE**

Upon Issuance

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Joan E. Ohl  
Commissioner  
Administration on Children, Youth  
and Families

Attachments

## **PART V: ATTACHMENTS**

**Attachment 1: Legislative Documents**

**Attachment 2: 45 CFR Part 92**

**Attachment 3: State Chief Executive Officer Assurance Statement**

**Attachment 4: Lead Agency Assurance Statement**

**Attachment 5: Leveraged Funds Worksheet**

**Attachment 6: State Grants Based on Population-Only Portion of the  
CBFRS Funds**

**Attachment 7: Certifications**

**Attachment 8: Regional Offices Contact List**

**Attachment 9: Community-Based Family Resource and Support  
Program Contact Lists**