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PROGRAM INSTRUCTION

TO: Offices of the Governors; Community-Based Child Abuse Prevention Program Grantees; State Agencies Administering or Supervising the Administration of titles IV-B and IV-E of the Social Security Act

SUBJECT: Availability of Fiscal Year (FY) 2007 Funds under the Community-Based Grants for the Prevention of Child Abuse and Neglect program created by title II of the Child Abuse Prevention and Treatment Act as amended by P.L. 108-36.

REFERENCES: The Keeping Children and Families Safe Act of 2003; title II of the Child Abuse Prevention and Treatment Act (CAPTA) (42 U.S.C. 5116 et seq.), as amended by P.L. 108-36, enacted June 25, 2003.

PURPOSES: The purpose of this Program Instruction is to (1) set forth the requirements for recipients of Community-Based Grants for the Prevention of Child Abuse and Neglect awards for FY 2007, and (2) provide guidance and instructions for the preparation and submission of the application.

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PART I: INTRODUCTION

A VISION FOR A COMMUNITY-BASED APPROACH TO CHILD ABUSE AND NEGLECT PREVENTION

The reauthorization of the Community-Based Family Resource and Support program (CBFRS) legislation, title II of the Child Abuse Prevention and Treatment Act (CAPTA), on June 25, 2003, as part of the Keeping Children and Families Safe Act 2003, presented a unique opportunity to build upon the strong foundation of the program developed by the States over the last several years. During the reauthorization, the CBFRS program was renamed “Community-Based Grants for the Prevention of Child Abuse and Neglect.” For our administrative convenience, this title II program is now referred to as the Community-Based Child Abuse Prevention (CBCAP) program.

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 amendments provided States with additional incentives to create statewide networks for ensuring the safety of children in their families and neighborhoods, and to support activities designed to prevent the occurrence, as well as the reoccurrence, of child maltreatment.

The changes in 2003 placed an emphasis on supporting community-based efforts to develop, operate, expand, enhance, and, where appropriate, to network, initiatives aimed at the prevention of child abuse and neglect, and to support networks of coordinated resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect. There was also a strong emphasis on demonstrating a meaningful commitment to parent leadership, including parents of children with disabilities, parents with disabilities, racial and ethnic minorities, and members of other underrepresented or underserved groups.

The legislation builds upon the previous program by maintaining many of the core provisions of the CBFRS program, while also emphasizing some additional elements to strengthen and support the health and well-being of families and to build the capacity of the State lead agencies. Although the emphasis on the statewide network is no longer mandatory in the CBCAP program, the lead agency’s role in maintaining and supporting the prevention network in the State is still considered a critically important function. The new legislation includes provisions requiring that lead agencies have the capacity to support community-based and prevention-focused programs and activities 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, which has been maintained, is that lead agencies are to seek innovative approaches to coordinating funding streams and leveraging additional resources to augment the Federal funds. The legislation continues to recognize that individual child abuse and neglect prevention

programs cannot stand alone: they are part of a larger statewide and national system of care for families, of which prevention is a key component.

The reauthorization of the program comes at a time when the Children's Bureau is also working to help States improve child welfare services. This is done by examining outcomes for children and families who receive services and assessing the systemic factors that affect a State's ability to achieve positive outcomes for children and families. Through the Child and Family Services Reviews (CFSR), the Children's Bureau is promoting practice principles believed to support improved outcomes for children and families. These principles include family-centered social work practice, community-based services, individualized services that respond to the unique needs of children and families, and strengthening parental capacity to protect and provide for their children. Findings from the reviews indicate that many States and communities lack adequate prevention and community-based services for families. There is also a need for comprehensive family assessments and for greater engagement of parents in the case planning process. Since the provision of prevention services and the emphasis on parent engagement have always been strong components of the CBCAP program, coordination between the State's child welfare agency and the CBCAP program can greatly contribute to overall child welfare system improvement.

The Administration has developed several major initiatives in areas that it feels will benefit children, adults, and society and help to strengthen families. The Department's Healthy Marriages, Responsible Fatherhood, Positive Youth Development, and Faith-based and Community initiatives are consistent with the overall goals of improving the safety, permanency and well-being of children. The CBCAP 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 CBCAP programs in the States. (See Attachment 4 for an overview of these initiatives.)

The CBCAP program has been actively working to improve the evaluation capacity of the States and to promote the use of evidence-based and evidence-informed programs and practices. Over the last year, the Children's Bureau has worked closely with the CBCAP and PART Outcomes workgroups on a larger effort to articulate national outcome and efficiency measures for the CBCAP program. The CBCAP conceptual framework provides an overview of the primary purposes of the legislation, the relationship between the underlying conditions the program seeks to address and the main activities funded (direct and indirect), the outputs, and the short-term, intermediate and long-term outcomes for the program. (See Attachment 1)

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 with families and other disciplines such as social services, health and mental health, child care, early childhood, education, law enforcement and other advocacy groups in the community to achieve their common goals.

The CBCAP grantees are in a unique position of leadership as they assume responsibility for directing, leading and evaluating the network of public-private partnerships and the continuum of preventive services for children and families in their States. Our children's safety and well-being

will be best ensured when Federal, State, and faith-based and community agencies collaborate to better coordinate programs and services and be responsive to the needs of all families.

A. LEGISLATIVE BACKGROUND

On June 25, 2003, President George W. Bush signed the bill to reauthorize CAPTA through the Keeping Children and Families Safe Act of 2003 (P.L. 108-36). This legislation, among other things, amended title II of CAPTA and reauthorized and re-named the program previously known as the Community-Based Family Resource and Support (CBFRS) Grants program. The program is now known as Community-Based Grants for the Prevention of Child Abuse and Neglect or, for administrative purposes, the Community-Based Child Abuse Prevention (CBCAP) program.

The purposes of the CBCAP program are: (1) to support community-based efforts to develop, operate, expand, and enhance and, where appropriate, to network, initiatives aimed at the prevention of child abuse and neglect; (2) to support networks of coordinated resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect; and (3) to foster understanding, appreciation and knowledge of diverse populations in order to effectively prevent and treat child abuse and neglect.

A weblink to title II of CAPTA, as amended by P.L. 108-36, is included in Attachment 1.

B. USE OF FUNDS

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

- (1) Developing, operating, expanding, and enhancing community-based, prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate) that are accessible, effective, and culturally appropriate, and build upon existing strengths 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;

- (G) Demonstrate a commitment to meaningful parent leadership, including among parents of children with disabilities, parents with disabilities, racial and ethnic minorities, and members of underrepresented and underserved groups; and
 - (H) Provide referrals to early health and developmental services.
- (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 community-based and prevention-focused programs and activities that have been identified as unmet needs, and integrated with the network of child abuse prevention and family support programs in the State, to the extent practicable.
 - (4) Maximizing funding through leveraging of funds for establishing, operating, or expanding community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect.
 - (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

At this time, the continuing resolution maintains all program funding at Fiscal Year (FY) 2006 levels. Thus, \$42.4 million available for the CBCAP program in Federal Fiscal Year (FFY) 2007. The Children’s Bureau will provide updated information on these amounts when it is available.

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;” (section 203(a)); (2) continued funding for a National Resource Center for CBCAP; and (3) continued funding for program support.

The remainder of the FY 2007 appropriation will be distributed to the States and Territories, as described below:

1. Grants to States:

A State¹ is eligible for a grant under the CBCAP program if, in accordance with the eligibility requirements of section 202, the State’s Chief Executive Officer (CEO) has designated a lead entity to administer funds under this program and

¹ In the absence of a definition in title II, we have interpreted “STATE” as having the meaning given the term in CAPTA, section 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.)

provided certain assurances. The eligibility requirements are described in detail in Part II of this Program Instruction.

Section 203(b)(1) provides that the funds available for distribution to the States under the CBCAP 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 State², “except that no State shall receive less than \$175,000.”

NOTE: Given the increase in the FY 2005 appropriation, a decision was made to set the minimum grant for this 70% portion to \$200,000 so that all States may benefit from the increase. Future-year minimum grants will depend on the availability of funds appropriated annually for this program, “except that no State shall receive less than \$175,000.”

- (b) **Thirty percent (30%)** of the funds will be allotted proportionately among the States based on the amount of private, State or other non-Federal funds leveraged and directed through the currently designated State lead agency in the preceding fiscal year (i.e., FY 2006, 10/1/05 to 9/30/06). If the aggregate of the amounts of leveraged funds claimed by the States exceeds 30% of the amount appropriated, 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-F.

2. **Grants to Territories:**

The following Territories are eligible to receive funds under the CBCAP 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 \$200,000 authorized under the CBCAP 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

² 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.

section 203(b)(1)(b) above, and receive its proportionate share of those funds, in addition to receiving the base amount of \$200,000 for its population. If a Territory's independent application is approved, the designated lead agency of the Territory must ensure that the CBCAP 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 PREVENTION ORGANIZATIONS

The CBCAP 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 under this authority to support programs and activities designed to strengthen and support families for the prevention of child abuse and neglect. Funds can also be used to provide leadership for networks of coordinated resources that will integrate existing services to address unmet needs that have been identified in the State. There are a range of programs that CBCAP may want to coordinate and integrate as part of their prevention network. Given the limited funding available for prevention services, lead agencies are strongly encouraged to find ways to partner with other public and private organizations serving the same populations and sharing the same goals and objectives. Please see Attachment 2 for a listing of some of these programs and initiatives.

The examples of programs are not meant to be all-inclusive. A strategic plan for the development of a network of prevention and family support programs should include existing child welfare, early childhood, child care, education, vocational rehabilitation, disability, health, mental health, job readiness, self-sufficiency, child and family development, community action, juvenile justice, domestic violence prevention, youth development, teen pregnancy prevention, housing, faith- and community-based programs, fatherhood and healthy marriage programs, and other human service organizations within the State.

E. COORDINATION WITH THE IV-B CHILD AND FAMILY SERVICES PLANS AND THE CHILD AND FAMILY SERVICES REVIEWS/PROGRAM IMPROVEMENT PLANS

Title IV-B, subpart 1, Child Welfare Services and subpart 2, Promoting Safe and Stable Families (PSSF), provide funds to State child welfare agencies for prevention services. PSSF, in particular, provides for community-based family support programs, services to families at risk or in crisis (family preservation programs and time-limited family reunification services), and adoption promotion and support services. Funds for these programs are directed toward 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. In addition, States are required to develop a

strategic plan with goals and objectives for a continuum of care in a five-year comprehensive Child and Family Services Plan (CFSP) with annual updates on their progress. The plans must include:

- Current State information on the well-being of children and families, the needs of children and families, and the nature, scope and adequacy of existing child and family and related social services.
- An extensive consultation process with a wide array of representatives of State, local and tribal governments, and both public and private community-based agencies and organizations (this may also include faith-based organizations), with experience in administering programs for infants, children, youth, adolescents and families.
- A description of the ongoing service coordination process to improve access and deliver a range of services to children and families.
- Descriptions of training, technical assistance, evaluation and quality assurance activities.

Every year, States need to submit an Annual Performance and Services Report (APSR) to ACF. CBCAP programs can play a key role in providing input into this process.

The Child and Family Services Review (CFSR) process is another area in which CBCAP lead agencies are strongly encouraged to become more actively engaged. The CFSR process is a major effort to improve child welfare systems. All States completed an initial review by March 31, 2004. States are now preparing to start their second round of reviews. This is an opportunity for CBCAP programs to provide input into the Statewide Assessment process that has already started or will be starting soon. The CFSR process measures a State's substantial conformity with the State plan requirements in titles IV-B and IV-E of the Social Security Act. It identifies State performance on outcomes for the safety, permanency and well-being of children and reviews the systemic factors leading to child welfare outcomes. This process includes three major steps: (1) an assessment based on aggregate data and a State self-assessment completed in collaboration with a broad range of stakeholders (many of whom also collaborated on the CFSP); (2) an on-site review of cases and stakeholder interviews conducted with a Federal/State partnership team; and (3) a Program Improvement Plan (PIP), and if necessary, addressing the findings of the on-site review and statewide assessment.

Previous Program Instructions (PI) ACYF-CB-PI-02-05 and ACYF-CB-PI-03-05 discussed the requirement for States to integrate the CFSRs with their CFSP/APSR process. Findings from the States indicate that many States and communities lack adequate prevention and community-based services for families. There is also a need for comprehensive family assessments and for greater engagement of parents in the case planning process.

Since the provision of prevention services and the emphasis on parent engagement have always been strong components of the CBFRS/CBCAP program, greater coordination between the State's CFSR and the CFSP/APSR process and the development and operation of the CBCAP program are greatly encouraged. Please see Attachment 3 for

some suggested ways in which CBCAP lead agencies can work with these other planning efforts.

F. DEFINITIONS

It is expected that lead agencies will require local service providers to describe their services and programs according to the definitions outlined in the legislation so that there are common frames of reference within and across States in the implementation of this program. The following terms used in this Program Instruction have the same meaning given those terms in section 209 of the Act: (1) “children with disabilities”; (2) “community referral services”; (3) “community-based and prevention-focused programs and activities designed to prevent child abuse and neglect”; (4) “outreach services”; and (5) “respite care services”. See Attachment 2 for a link to the Child Abuse Prevention and Treatment Act, as amended by the Keeping Children and Families Safe Act of 2003.

The term “community-based and prevention-focused programs and activities to strengthen and support families to prevent child abuse and neglect” includes organizations such as family resource programs, family support programs, voluntary home visiting programs, respite care programs, parenting education, mutual support programs and other community programs or networks of programs that provide activities that are designed to prevent or respond to child abuse and neglect.

PART II: ELIGIBILITY REQUIREMENTS

A. STATE ELIGIBILITY

Designation of a Lead Entity:³

Before a State can apply for a FFY 2007 grant under the CBCAP program, the Chief Executive Officer (CEO) (i.e. Governor) of the State must designate a lead entity⁴ to administer the funds for the implementation of community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect. (section 202(1)(A))

³ The term “entity” is used with respect to a CEO’s designation of a State entity to administer the CBCAP 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”.

⁴ 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].”

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

B. LEAD AGENCY ELIGIBILITY

1. Lead Entity Requirements:

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

- (a) Be an existing public, quasi-public, or nonprofit private entity that exists to strengthen and support families to prevent child abuse and neglect;⁵
- (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.

⁵ 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 CBCAP 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.

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 administer and oversee the implementation of the programs and activities provided under this grant.

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 below:

- I. Submission Letter
- II. Lead Agency Identifying Information
- III. State CEO Documentation and Assurances
 - Lead Agency Designation Letter
 - Governor's Assurances
- IV. Lead Agency Assurances
- V. Leveraged Claim Form
- VI. Budget
- VII. Description of the Lead Agency and the Operation of the Network of Coordinated Community-based and Prevention-focused Programs and Activities
- VIII. Criteria for Funded Programs
- IX. Outreach Activities for Special Populations
- X. Plans for Parent Leadership and Involvement
- XI. Plan for Support, Training, Technical Assistance and Evaluation Assistance
- XII. Evaluation Plans, Including Plans for Peer Review
- XIII. Plan for Child Abuse Prevention Month, 2008
- XIV. Actions to Advocate for Systemic Change
- XV. Certifications (Lobbying)
- XVI. Attachments (optional)

Information regarding what should be included in the above sections is described in the next sections.

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 Joan E. Ohl, 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 prevention and family support programs funded through this program; (section 205(1)).

C. LEAD AGENCY IDENTIFYING INFORMATION⁶

Each application must include the following information:

- (1) The name, mailing address, email address and fax number of the lead agency.
- (2) The lead agency's Employer Identification Number (EIN) and DUNS⁷ number.
- (3) The name and telephone number of the program specialist responsible for the CBCAP grant program.
- (4) The name and telephone number of the fiscal agent responsible for the CBCAP grant program.

⁶ 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.

⁷ All applicants must have a Dun & Bradstreet number. On June 27, 2003, the Office of Management and Budget published in the *Federal Register* a new Federal Policy applicable to all Federal grant applicants. The policy requires Federal grant applicants to provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number when applying for Federal grants on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (www.Grants.gov). A DUNS number will be required for every application for a new award or renewal/continuation of an award, including applications or plans under formula, entitlement and block grant programs submitted on or after October 1, 2003. Please ensure that your organization has a DUNS number. You may acquire a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711 or you may request a number online at www.dnb.com.

D. STATE CEO DOCUMENTATION AND ASSURANCES

Each application for FFY 2007 funding under the CBCAP program must include the following documentation by the State's Chief Executive Officer (CEO) or Governor:

- (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 (sections 202(1)(A)(C)&(D)) and
- (b) The official signed "State Chief Executive Officer's Assurance Statement"; (sections 202(2)&(3)). A copy of the CEO Assurance Statement is included as Attachment 6 in this Program Instruction.⁸

State CEO's Assurances Regarding the Lead Agency:

Section 202(2) and section 202(3) require the State CEO to provide assurances that the lead agency will provide or be responsible for providing:

- 1) Community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate) 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; (section 202(2)(A))
- 2) Direction to an interdisciplinary, collaborative, public-private structure with balanced representation from private and public sector members, parents, including those with disabilities, and public sector and private nonprofit sector service providers; (section 202(2)(B))
- 3) Direction and oversight 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, technical assistance, evaluation assistance and reporting and evaluation functions; (section 202(2)(C))
- 4) A demonstrated commitment to parental participation in the development, operation, and oversight of the community-based and prevention-focused programs and

⁸ 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 6 and 7.

- activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate); (section 202(3)(A))
- 5) 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; (section 202(3)(B))
 - 6) Operational support (both financial and programmatic) and training, technical assistance and evaluation assistance to community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect, through innovative, interagency funding and inter-disciplinary service delivery mechanisms; (section 202(3)(C)) and
 - 7) Integration of its efforts with individuals and organizations experienced in working in partnership with families with children with disabilities, parents with disabilities and with the child abuse and neglect prevention activities of the State, and a financial commitment to those activities; (section 202(3)(D))

Please note that a **new** Governor's letter and assurance statement must be included every year as part of the CBCAP application.

E. LEAD AGENCY ASSURANCES

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

- 1) A description of the inventory of current unmet needs and current community-based and prevention-focused programs and activities to prevent child abuse and neglect, and other family resource services operating in the State, will be incorporated into the Annual Performance Report submitted **on or before December 31, 2008**; (section 205(3))
- 2) Funds received under this title will supplement, not supplant, other State and local public funds designated for the startup, maintenance, expansion, and redesign of community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 205(5))
- 3) The State has the capacity to ensure the meaningful involvement of parents who are consumers, including those with disabilities, 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; (section 205(6)) and

- 4) 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, 2008**; (section 205(13)).

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 CBCAP funds and assuming the obligations imposed by the terms and conditions of the grant award. A form for this assurance statement is included in this program instruction as Attachment 6 (sections 205(3),(5),(6)&(12)).

F. DOCUMENTATION OF LEVERAGED FUNDS FOR FEDERAL MATCHING FUNDS

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 CBCAP program for FFY 2007 is FFY 2006 (i.e., **October 1, 2005 - September 30, 2006**).

The following documentation of leveraged funds must be provided to receive CBCAP funds available for distribution under section 203(b)(1)(B), (i.e., 30 percent 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 section 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 2006 (October 1, 2005 - September 30, 2006)**;
- (b) Directed through the CBCAP lead agency for FFY 2006; and
- (c) Budgeted and spent during **FFY 2006** for use in supporting community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect⁹.

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. For purposes of this application, State and non-federal funds that are being used to meet the maintenance of effort, match or other cost-sharing requirements for other Federal funding are **not** eligible to be claimed.

⁹ 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 CBCAP lead agency submitting the application, and were spent to provide the types of services and activities for which the current CBCAP Federal funds may be used, as specified by the legislation and described under the Use of Funds section of this Program Instruction.

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 8), 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.

G. ADDITIONAL APPLICATION REQUIREMENTS

1. Budget, Including State's 20 percent Cash Match. Each State application must include a budget for the development, operation and expansion of the community-based and prevention-focused programs and activities 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; (section 205(4)). The budget should be presented in a format that clearly displays line-item expenditures for both the Federal and non-Federal funds.

The budget must allocate sufficient funds to provide for at least two representatives from the State to attend an annual 3-5 day Federally initiated CBCAP grantees conference. **Attendance at this meeting is a grant requirement.**

Up to 20 percent of available funds may be budgeted for administrative purposes. This does not apply to such program costs as necessary to provide training, technical assistance, evaluation assistance, evaluation, parent leadership and coordination for the prevention network.

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 percent match. Therefore, for application purposes, the 20 percent match should be determined based on the population-only portion of the formula. Attachment 8 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 percent match of the full amount of the grant award.

Note: If the non-Federal match money in the budget submitted with the application is equal to or greater than 20 percent of the final grant award, the lead agency is not required to submit a post-award budget amendment.

2. Description of the lead agency. This section describes the interdisciplinary, collaborative, public-private structure, including its representation from private and public sector parents and service providers, that will direct and support networks of

coordinated child abuse prevention resources and activities to better strengthen and support families, and how the structure will direct the network; (section 202(2)(B)).

This section should also include a description of how programs and activities will operate; and how community-based and prevention-focused programs and activities provided by public and private, nonprofit organizations, including faith-based programs and those funded by programs under this Act, will be integrated into a developing continuum of family-centered, holistic, preventive services for children and families; (section 205(2)).

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, community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 205(7)).

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 CBCAP funds.

4. Outreach Activities for Special Populations. Each application must include a description of outreach activities that the lead agency and the community-based and prevention-focused programs and activities will undertake to maximize the participation of parents, racial and ethnic minorities, children and adults with disabilities and members of other underserved or underrepresented groups; (section 205(8)).

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. States are encouraged to describe any other special populations that they include in their outreach plans to meet local needs.

5. Plan for Parent Leadership and Involvement. Each application must include a description about how the Lead Agency will implement activities and training to enhance parent participation and leadership in the upcoming year. Plans can include a description of how parents are involved in the planning, implementation and evaluation of funded programs and the network.
6. Plan for Support, Training, Technical Assistance and Evaluation Assistance. Each application must include a plan for providing operational support, training, technical assistance and evaluation assistance to community-based, prevention-focused programs and activities for the development, operation, expansion and enhancement of such activities; (section 205(9)).

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. This training may also focus on enhancing cultural competence across all funded programs and activities. Plans should also include training and technical assistance to foster the promotion of strong families. Plans should include a description of how the lead agency will provide assistance to their funded programs on developing evaluation plans which may include quantitative and qualitative methods. States are encouraged to identify training and technical assistance efforts that link with the CFSR/PIP and CFSP/APSR processes, as appropriate.

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.

7. Evaluation. Each application must include a description of how the lead agency's activities, and those of the network and its members, where appropriate, will be evaluated; (section 205(10)). States are encouraged to include evaluation activities which assess culturally competent practices and parent leadership across all funded programs and activities. This section should describe an overall evaluation plan and approach which includes the peer review process the State will conduct under this program; (section 207(7)). States are strongly encouraged to develop evaluation plans which incorporate quantitative and qualitative data collection methods.

States must include plans for meeting the reporting requirements regarding the OMB Program Assessment Rating Tool (PART) and the national outcomes for the CBCAP program, as appropriate. At a minimum, States must provide data about the percentage of CBCAP total funding used to support evidence-based and evidence-informed programs and practices.

States which have allocated a large portion of their CBCAP for network support/development are strongly advised to develop strategies and methods to evaluate the effectiveness of their network and its activities, as well as their funded programs.

8. Child Abuse Prevention Month, 2008. Each application must include a description of 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 2007.
9. Actions to Advocate for 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 community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 205(11)).

If the lead agency is actively involved in the CFSR/PIP or IV-B planning process, please describe the extent of the involvement and other relevant information. Please also include other actions that involve other statewide public and private interagency systems change efforts.

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.

H. CERTIFICATIONS

1. Certification Regarding Lobbying and Disclosure of Lobbying Activities Forms

Pursuant to 45 CFR Part 93, the Certification Regarding Lobbying Form (see Attachment 10) must be signed and submitted with the State's CBFRS program application. If applicable, a Standard Form LLL, which discloses lobbying activities, also must be submitted.

2. Other Certifications (Attachment 10)

The signature on the State's CBCAP Program application by an authorized official attests to the applicant's intent to comply with the following other certification:

- (a) Certification Regarding Environmental Tobacco Smoke

No additional forms are needed for the certification listed above.

I. SUBMISSION OF APPLICATION

1. An original and one copy to the Office on Child Abuse and Neglect (OCAN)

The signed original, including all attachments, must be submitted to the CBCAP Federal Project Officer at the Office on Child Abuse and Neglect **by May 15, 2007.**

The Federal Government is continually striving to promote efficiency in the management of its programs. As such, states are strongly encouraged to submit the application electronically. If the State submits the application electronically, it must include the appropriate electronic signatures from authorized officials. Electronic applications should be sent by email to: cbcaphhs.gov by the due date. Applications must be submitted in Microsoft Word or Adobe Acrobat format.

However, if a State chooses to submit the application to OCAN by regular mail, commercial delivery, or by hand, it should be addressed to:

Community-Based Child Abuse Prevention Program
Office on Child Abuse and Neglect
Attention: Melissa Lim Brodowski
1250 Maryland Ave., S.W.
8th Floor, # 8127
Portals Building
Washington, D.C. 20024
Phone: 202-205-2629
Email: Melissa.brodowski@acf.hhs.gov

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. This copy may be submitted electronically to the RO contact. An RO contact list is included as Attachment 11.

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, RO staff will be active in the administration of this program. The review of a State's application will enable RO staff to become familiar with the State's CBCAP program, and, to the extent appropriate, facilitate linkages with other programs in the State. Additionally, 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 CAPTA for the Community-Based Grants for the Prevention of Child Abuse and Neglect program is **May 15, 2007.**

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 1 for a weblink to 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 no later than two years after that. This means that the FY 2007 funds must be obligated by September 30, 2010 and liquidated by September 30, 2012. 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. If the State does not fully obligate or liquidate these funds within the required time periods, all unobligated and unliquidated funds will be recouped for return to the Treasury.

D. REPORTING REQUIREMENTS

Under the provisions of CFR Part 92, each State receiving a grant under the CBCAP 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 FFY (i.e., on or before December 31, of 2008, 2009 and 2010). A grant year runs 12 months from the date of issuance of the award. The project period for the CBCAP grant is 36 months with an additional 24 months to liquidate.

1. **Financial Reports:**

Total expenditures under the CBCAP program (**including the 20 percent 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, 2012). Financial reports are to be mailed concurrently to the State's ACF Regional Administrator (see Attachment 10), and to:

Administration for Children and Families
Office of Administration
Office of Grants Management
Division of Mandatory Grants
Attention: Rachel Hickson
370 L'Enfant Promenade, SW
Washington, D.C. 20447
Phone: 202-401-4569
Email: rachel.hickson@acf.hhs.gov

CPCAP grantees can also submit their financial status reports (SF-269) using the Internet-based On Line Data Collection (OLDC) system. The web address for OLDC is <https://extranet.acf.hhs.gov/oldc/>.

Access to the system is requested by using the Request for OLDC Access form, available on the OLDC Help/FAQ site at <https://extranet.acf.hhs.gov/oldcdocs/materials.html>. Each staff person who will play a role in OLDC needs a request form. Access is controlled by user names, passwords, and job types as well as user roles. Completed forms can be faxed (202-401-5644) or e-mailed (rachel.hickson@acf.hhs.gov) to Rachel Hickson in the Division of Mandatory Grants. Some personnel reporting CBCAP financial information may already use or have access to the OLDC system for other grant programs.

2. **State Program Report:**

- a. **General Requirement.** Each State's annual program report (due December 31st) 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 CBCAP 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 community-based and prevention-focused programs and activities that meets the requirements of the CBCAP program; (section 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 section 202 of this legislation; (section 207(2))
 - (3) Demonstrate that they have addressed the unmet needs identified by the inventory and description required by section 205(3) of this legislation; (section 207(3))
 - (4) Include a description of the number of individuals and families served, noting and including families with children with disabilities, parents with disabilities and the involvement of a diverse representation of families in the design, operation and evaluation of community-based and prevention-focused programs and activities funded under this legislation; (section 207(4)). The participant numbers should be included for all individuals who received direct preventative services. Parents and children with disabilities who received direct preventative services should be reported as a subset of the total number of individuals served. The numbers for

individuals who received public awareness or public education activities should be counted separately. States can also choose to report the number of individuals who received training and technical assistance from the Lead Agency as a separate total. (See Attachment 3)

- (5) Include a description of the actual outreach activities for special populations conducted by the lead agency during the reporting period;
- (6) Describe the lead agency's activities to ensure the leadership of parents in the ongoing planning, implementation, and evaluation of CBCAP programs; (section 207(8))
- (7) Include a description of the training, technical assistance and evaluation assistance activities conducted or sponsored by the lead agency during the reporting period;
- (8) Include a description of the Child Abuse Prevention Month activities conducted during the reporting period;
- (9) Provide evaluation data on the outcomes of programs and activities funded under this program. This should include the following:
 - data regarding the OMB PART reporting requirements and the national outcomes for the CBCAP program, as appropriate;
 - for the efficiency measure, provide data on the percentage of total funding that supports evidence-based (EBP) and evidence-informed programs (EIP) and practices. More information about these requirements is included in the document, "Guidelines for CBCAP Lead Agencies on EBP EIP." For more information, see www.friendsnrc.org
 - a demonstration of the high level of satisfaction among families who have used the services of the CBCAP program; (section 207(5));
 - a description of the results of the peer review process conducted under the State program; (section 207(7)).
 - evaluation data, where appropriate and available, on the effectiveness of funded programs, the lead agency, and the network;
- (10) 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 CBCAP programs;

- (11) Describe the lead agency's actions to advocate for systemic change during the reporting period. Include the lead agency's involvement in statewide systemic change efforts such as the CFSR/PIP, IV-B plans, and other related interagency collaboration activities, as appropriate.

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.**

States are strongly encouraged to submit the Annual Report electronically. If the State submits the application electronically, it must include the appropriate electronic signatures from authorized officials. Electronic submissions should be sent by email to: cbcaphhs@acf.hhs.gov by December 31, 2008. Applications must be submitted in Microsoft Word or Adobe Acrobat format.

In addition, one copy of the Program Reports should be sent electronically or mailed to the State's ACF Regional Administrator.

If a State chooses to submit the Annual Report to OCAN by regular mail, commercial delivery, or by hand, it should be addressed to:

Community-Based Child Abuse Prevention Program
Office on Child Abuse and Neglect
Attention: Melissa Lim Brodowski
1250 Maryland Ave., SW
8th Floor, #8127
Portals Building
Washington, D.C. 20024
Phone: 202-205-2629
Email: Melissa.brodowski@acf.hhs.gov

**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 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 (P.L. 104-13), the information collection requirements in this Program Instruction have been approved through **June 30, 2008** by the Office of Management and Budget under **OMB Control Number: 0970-0155**.

Catalog of Federal Domestic Assistance # 93.590

G. ADDRESS INQUIRIES TO:

Community-Based Child Abuse Prevention Program
Office on Child Abuse and Neglect
Attention: Melissa Lim Brodowski
1250 Maryland Ave., SW
8th Floor, #8127
Portals Building
Washington, D.C. 20024
Phone: 202-205-2629
Email: mbrodowski@acf.hhs.gov

H. EFFECTIVE DATE

Upon Issuance

_____/s/_____
Joan E. Ohl
Commissioner

Attachments

PART V: ATTACHMENTS

- Attachment 1: CBCAP Conceptual Framework**
- Attachment 2: Links to Various Resource Materials**
- a) **Keeping Children and Families Safe Act 2003
Child Abuse Prevention and Treatment Act 2003
Title II, Community-Based Grants for the Prevention of
Child Abuse and Neglect, 2003**
 - b) **45 CFR Part 92**
 - c) **Community-Based Grants for the Prevention of Child
Abuse and Neglect Contact Lists**
 - d) **Guidelines for CBCAP Lead Agencies on Evidence-
Based and Evidence Informed Programs and Practices
(PART efficiency measure guidelines)**
- Attachment 3: CBCAP Annual Report Participant Numbers Guidelines**
- Attachment 4: List of Programs for Potential Coordination and Collaboration
With CBCAP**
- Attachment 5: Coordination and Collaboration with the CFSR/PIP and
CFSP/APSR Processes**
- Attachment 6: Overview of the HHS/ ACF Healthy Marriage, Responsible
Fatherhood, Positive Youth Development, Rural, Faith-Based
and Community Initiatives**
- Attachment 7: State Chief Executive Officer Assurance Statement**
- Attachment 8: State Lead Agency Assurance Statement**
- Attachment 9: Leveraged Funds Worksheet**
- Attachment 10: State Grants Based on Population-Only Portion of the
CBCAP Funds**
- Attachment 11: Certifications**
- Attachment 12: Regional Offices Contact List**