

<b>ACF</b>  <b>Administration</b>  <b>for Children</b>  <b>and Families</b>	<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b> <b>Administration on Children, Youth and Families</b>	
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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 Grants for the Prevention of Child Abuse and Neglect or Community-Based Child Abuse Prevention</b>	

**PROGRAM INSTRUCTION**

**TO:** Offices of the Governors; Community-Based Child Abuse Prevention Program Grantees (CBCAP); 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) 2011 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 Public Law (P.L.) 111-320.

**REFERENCES:** The CAPTA Reauthorization Act of 2010; Title II of the Child Abuse Prevention and Treatment Act (CAPTA) (42 U.S.C. 5116 et seq.), as amended by P.L. 111-320, enacted on December 20, 2010.

**PURPOSES:** The purpose of this Program Instruction (PI) is to: (1) set forth the requirements for recipients of Community-Based Grants for the Prevention of Child Abuse and Neglect awards for FY 2011; 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 CAPTA 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 Community-Based Family Resource and Support (CBFRS) program legislation, Title II of the Child Abuse Prevention and Treatment Act (CAPTA), reauthorized 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.

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 built upon many of the core provisions of the CBFRS program, while 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. The 2003 legislation included 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 the 2003 legislation is that lead agencies were required to seek innovative approaches to coordinating funding streams and leveraging additional resources to augment the Federal funds.

The new updates in the CAPTA Reauthorization Act of 2010; Title II of the Child Abuse Prevention and Treatment Act (CAPTA) (42 U.S.C. 5116 et seq.), as amended by P.L. 111-320, enacted on December 20, 2010, include an emphasis on providing services to unaccompanied homeless youth and adult former victims of domestic violence or child abuse or neglect;

involving parents in the planning and program implementation of the lead agency and entities carrying out local programs; and adding to the list of prevention programs that CBCAP leads fund, the opportunity to provide substance abuse treatment services and domestic violence services. 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 must be a key component.

The Children's Bureau (CB) supports State efforts at systems change and reform for child welfare services. Through the Child and Family Services Reviews (CFSR), CB 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.

In addition, CB is actively involved in a number of Federal interagency collaborative efforts which are all striving to support State efforts at systems integration and systems change to improve outcomes for families and communities. CB is a key partner for the implementation of the new Maternal, Infant and Early Childhood Home Visiting Program and working closely with the Maternal and Child Health Bureau and other agencies at ACF and HHS on this new program. There are a number of Federal agencies participating in the Federal Interagency Workgroup on Child Abuse and Neglect and the Prevention Subcommittee. In addition, CB has been a key partner in other Federal interagency early childhood systems efforts. CBCAP lead agencies have an opportunity to promote collaboration and coordination across these related efforts at the State and local level.

The CBCAP program has been actively working to improve the evaluation capacity of the States and to promote and support the use of evidence-based and evidence-informed programs and practices. 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, substance abuse treatment services, domestic violence, 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, local community agencies, and stakeholders collaborate to better coordinate programs and services and be responsive to the needs of all families.

**A. LEGISLATIVE BACKGROUND**

On December 20, 2010, President Barack Obama signed the bill to reauthorize CAPTA through the CAPTA Reauthorization Act of 2010 (Public Law 111-320). This legislation amended Title II of CAPTA and reauthorized the (CBCAP) program.

The purposes of the CBCAP program are: (1) to support community-based efforts to develop, operate, expand, enhance, and coordinate initiatives, programs, and activities to prevent child abuse and neglect and to support the coordination of resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect; and (2) 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 Public Law 111-320, is included in Attachment 2.

**B. USE OF FUNDS**

Section 201(a)(1)(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, and prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect 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, including access to such resources and opportunities for unaccompanied homeless youth;
  - (F) support the additional needs of families with children with disabilities through respite care and other services;
  - (G) demonstrate a commitment to involving parents in the planning and program implementation of the lead agency and entities carrying out local programs funded under this Title, including meaningful involvement of 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, including unaccompanied homeless youth, through State and community-based collaborations and partnerships, both public and private;
- (3) financing the start-up, maintenance, expansion, or redesign of specific family resource and support program community-based child abuse and neglect prevention program services (such as respite care services, child abuse and neglect prevention activities, disability services, mental health services, substance abuse treatment services, domestic violence services, housing services, transportation, adult education, home visiting and other similar services) identified by the inventory and description of current services required under section 204(a)(3) as an unmet need, and integrated with the network of community-based family resource and support child abuse and neglect prevention program to the extent practicable given funding levels and community priorities;
- (4) Maximizing funding through leveraging of funds for the financing, planning, community mobilization, collaboration, assessment, information and referral, startup, training and technical assistance, information management and reporting, reporting and evaluation costs 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; and
- (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.

In general, these funds should be used to support primary prevention (a.k.a., universal) programs and strategies which are available to all families, as well as secondary (a.k.a., targeted) prevention efforts, which target children and families at risk for abuse or neglect.

## **C. AVAILABILITY AND DISTRIBUTION OF FUNDS**

The 2011 Continuing Resolution makes \$41,689,000 million available for the CBCAP program in Federal Fiscal Year (FFY) 2011.

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 FFY 2011 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 CBCAP program if, in accordance with the eligibility requirements of section 202, the Governor 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 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 State<sup>2</sup>, "except that no State shall receive less than \$175,000."

NOTE: Since 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 2010, 10/1/09 to 9/30/10). 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

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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, section 3 (7), (i.e., "State" means each of the several States, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.)

<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.

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 PI, the Territory is also eligible to submit a claim for its leveraged funds in accordance with 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 PI.

#### **D. COORDINATION AND COLLABORATION WITH RELATED PREVENTION EFFORTS**

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 coordination of 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 system. 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. States are strongly encouraged to build upon existing interagency collaborative efforts with similar goals as CBCAP. 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, substance abuse treatment services, 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 other health and human service organizations within the State.

In 2010, the Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program was established (Legislative Authority: *Social Security Act, Title V, Section 511 (42 U.S.C. 701)*, as amended by the Patient Protection and Affordable Care Act of 2010 (ACA) (P.L. 11-148)). One intent of this program is to develop a coordinated system of early childhood home visiting, which has the capacity to provide infrastructure and support to assure high-quality, evidence-based practice, in every State. This program is also intended to play a crucial role in the national effort to build quality, comprehensive State and community-wide early childhood systems for pregnant women,



parents and caregivers, and young children and, ultimately, to improve health and development outcomes. As part of the application process, eligible entities were required to provide a letter of support/concurrence from the Director of the State's agency for Title II of CAPTA. This program provides an opportunity for CBCAP lead agency contacts to participate at the State level, in the development of the coordinated system for delivering comprehensive services through home visiting programs. CBCAP lead agency contacts are highly encouraged to coordinate with the designated ACA Maternal, Infant and Early Childhood Home Visiting program agency in their State. Please see Attachment 4 for a listing of program descriptions for potential CBCAP partnerships including the ACA Maternal, Infant and Early Childhood Home Visiting initiative.

**E. COORDINATION WITH THE TITLE 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 family support services. Funds for these programs are directed toward State and local child welfare services 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 on-going 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. States have now completed

the second round of reviews. CBCAP programs have the opportunity to provide input on States' Program Improvement Plans (PIP) that have 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 PIP, and if necessary, addressing the findings of the on-site review and statewide assessment.

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 CFSR and the CFSP/PSR process and the development and operation of the CBCAP program are greatly encouraged. Please see Attachment 5 for some suggested ways in which CBCAP lead agencies can work with these 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 PI have the same meaning given those terms in section 208 of the Act: (1) "community referral services"; (2) "community-based and prevention-focused programs and activities designed to prevent child abuse and neglect"; and (3) "respite care services". See Attachment 2 for a link to the Child Abuse Prevention and Treatment Act, as amended by the CAPTA Reauthorization Act of 2010.

The term "community-based and prevention-focused programs and activities to strengthen and support families to prevent child abuse and neglect" includes 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:<sup>3</sup>

Before a State can apply for a FY 2011 grant under the CBCAP program the Governor of the State must designate a lead entity<sup>4</sup> to administer the funds for the implementation of community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect. (section 202(1)(A))

The designation of a lead entity by the Governor 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;<sup>5</sup>
- (b) Demonstrate the ability to work with other State and community-based agencies to provide training and technical assistance; and

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<sup>3</sup> The term "entity" is used with respect to a Governor'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".

<sup>4</sup> Section 202(1)(C)&(D) provides that, in determining which entity to designate, the Governor 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 Governor shall designate the lead entity only after full consideration of the capacity and expertise of all entities desiring to be designated [as lead agency]."

<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.

- (c) Demonstrate the commitment to involving 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.

### **PART III: APPLICATION AND ANNUAL PROGRAM REPORT INSTRUCTIONS**

The information presented in this section is intended to summarize the submission and review process for a CBCAP application and annual program report, and to describe the content and documentation that must be provided. The application 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 Governor 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. Governor 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 Child Abuse and Neglect Prevention Programs and Activities
- VIII. Actions to Advocate for Systemic Change
- IX. Collaboration and Coordination
- X. Criteria for Funded Programs
- XI. Outreach Activities for Special Populations

- XII. Plans for Parent Leadership and Involvement
- XIII. Plan for Support, Training, Technical Assistance and Evaluation Assistance
- XIV. Evaluation Plans
- XV. Plan for Child Abuse Prevention Month and Public Awareness Activities, 2012
- XVI. Challenges and Opportunities
- XVII. Certifications (Lobbying)
- XVIII. 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 PI. The document should also include the Annual Report for activities that were conducted in the previous year.

**B. SUBMISSION LETTER**

Each application must be accompanied by a submission letter that is addressed to:

Mr. Bryan Samuels  
 Commissioner  
 Administration on Children, Youth and Families  
 1250 Maryland Ave., S.W.  
 Washington, DC 20024

The letter should be signed by an appropriate official of the lead agency designated by the Governor 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 204(1)).

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

Each application must include the following information:

- (1) The name, mailing address, email address and fax number of the lead agency.

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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.

- (2) The lead agency's Employer Identification Number (EIN) and DUNS<sup>7</sup> number.
- (3) The name, telephone number and e-mail of the program specialist responsible for the CBCAP grant program.
- (4) The name, telephone number and e-mail of the fiscal agent responsible for the CBCAP grant program.

#### **D. GOVERNOR DOCUMENTATION AND ASSURANCES**

Each application for FY 2012 funding under the CBCAP program must include the following documentation by the Governor:

- (a) The original signed letter from the Governor 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 "Governor's Assurance Statement"; (sections 202(2) and (3)). A copy of the Governor Assurance Statement is included as Attachment 6 in this PI.<sup>8</sup>

#### **Governor's Assurances Regarding the Lead Agency:**

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

- 1) Community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate) composed of local, collaborative, public-

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<sup>7</sup> 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](http://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](http://www.dnb.com).

<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 (the Governor of the State). These Assurance Statements are included as Attachments 6 and 7.

private partnerships directed by interdisciplinary structures with balanced representation from private and public sector members, parents, adult former victims of child abuse and neglect, 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, adult former victims of child abuse and neglect, public sector and private nonprofit sector service providers, and parents with disabilities; and (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 child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 202(3)(A))
- 5) Developing a comprehensive strategy to provide a continuum of preventive, family-centered, comprehensive services for children and families, especially to young parents, to parents with young children and to parents who are adult former victims of domestic violence or child abuse and neglect through public and private partnerships; (section 202(3)(B))
- 6) Operational support (both financial and programmatic) and training, technical assistance and evaluation assistance to community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect, through innovative, interagency funding and interdisciplinary 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 Governor 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 **with the FY 2012 application (and with each subsequent year's application thereafter)**<sup>9</sup>; (section 204(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 child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 204(5))
- 3) The State has the capacity to involve parents who are consumers, including those with disabilities, family advocates, and adult former victims of child abuse or neglect 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 **with the FY 2012 application (and with each subsequent year's application thereafter)**; (section 204(12)).

The assurance statement must be signed by an authorized official of the agency designated by the Governor 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 PI as Attachment 6.

#### **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 2011 is FFY 2010 (i.e., **October 1, 2009 - September 30, 2010**).

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):

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<sup>9</sup> Starting with the FY2008 application, all Annual Reports will be submitted with the following year's application. This provides the opportunity for the Children's Bureau to review the activities completed the prior year with planned activities for the next year at the same time.



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 2010 (October 1, 2009 - September 30, 2010)**;
- (b) Directed through the CBCAP lead agency for FFY 2009; and
- (c) Budgeted and spent during **FFY 2010** for use in supporting community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect<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. 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.

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 204(4)). The budget should be presented in a format that clearly displays line-item expenditures for both the Federal and non-Federal funds.

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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 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.

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 9 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's leadership role in State prevention activities

This section describes the role of the Lead Agency and how it is leading the child maltreatment prevention activities in the State. 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 204(1)).

This section should also include a description of how programs and activities will operate including how community-based child abuse and neglect prevention 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 204(2)).

## 3. Actions to Advocate for Systemic Change

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 child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 204(11)).

States are strongly encouraged to describe their efforts to conduct strategic, long-term, and outcome focused planning for their CBCAP program that will promote sustainable, systems change for child maltreatment prevention. This section should describe how the State is conducting their planning efforts and how it is integrated with other strategic planning efforts in child welfare, early childhood, or other related systems. If the lead agency is actively involved in the CFSR/PIP or IV-B planning process and/or Maternal, Infant and Early Childhood Home Visiting Program, 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 of the plans 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.

#### 4. Collaboration and Coordination

Collaboration and coordination with other child and family systems are critical for CBCAP Lead Agencies. In this section, States should describe the extent and nature of their partnerships and collaborations with other Federal, State, local, or private efforts that intersect with their child maltreatment prevention programs and activities. States are encouraged to highlight how their work may be anchored and connected to more established prevention and promotion activities in public health or other human services. Please see the Introduction section of the CBCAP PI and Attachments 4 and 5 for a list of potential Federal, State and local programs who may be strong partners for child maltreatment prevention.

#### 5. Needs assessment and 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 evidence-informed or evidence-based community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 204(7)). This description must include information on how the current inventory of unmet needs and the current array of community-based child abuse and neglect prevention programs and activities will be used to inform the criteria for funding new programs and activities for the upcoming year.

This requirement may be met 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.

#### 6. 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, homeless families and those at risk of homelessness, unaccompanied homeless youth, adult

former victims of child abuse and neglect or domestic violence, and members of other underserved or underrepresented groups; (section 204(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.

#### 7. Plan for Parent Leadership and Family 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. This section should also describe the training and technical assistance related to parent leadership and family involvement.

#### 8. 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 204(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. Plans can also include efforts to assist programs with implementing and sustaining evidence-based or evidence-informed programs and practices. States are encouraged to identify training and technical assistance efforts that link with the CFSR/PIP and CFSP/APSRS processes, Maternal, Infant and Early Childhood Home Visiting Program, or early childhood systems integration, 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.

#### 9. 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 204(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 results of evaluation, or the outcomes of monitoring, conducted under the State program to demonstrate the effectiveness of activities conducted under this title in meeting the purposes or program (section 206(7)). States are strongly encouraged to develop evaluation plans which incorporate a continuum of evaluation approaches including quantitative and qualitative data collection methods. This evaluation plan can include a peer review process.

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.

#### 10. Child Abuse Prevention Month and Public Awareness Activities, 2011

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 2011. This section should also describe other public awareness and education efforts planned for the upcoming year.

#### 11. Challenges, Barriers and/or Opportunities (optional section)

This section should describe any important contextual factors that may impact the ability of the CBCAP Lead Agency to implement their proposed plans for the upcoming year. This section can provide information about State budget issues, staffing issues, or other factors that may impacted the work during the reporting period. This section should describe the potential nature of the challenge or barrier and how the Lead Agency plans to try and address issues as they arise. The State may also identify areas where they may need more support or technical assistance. Lead agencies may also provide information about other potential opportunities that were not described in the previous sections that will impact CBCAP in the upcoming year.

### **H. ANNUAL PROGRAM REPORT REQUIREMENTS**

**General Requirement.** Each State's annual program report (due with the following year's application) should: (1) document activities conducted during the grant award in the previous year, and (2) provide specific information to demonstrate compliance with the requirements for these funds. For the FY2011 application, the annual program report will be due at the same time as the FY 2012 application.

**Performance Measures.** Section 206 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. Describe the Statewide child maltreatment prevention leadership activities conducted by the Lead Agency in the past reporting period.
2. Describe the lead agency's actions to advocate for systemic change during the reporting period. This should include a description of the following:
  - a. The lead agency's involvement in statewide systemic change efforts such as the CFSR/PIP, IV-B plans, early childhood systems building, and other related interagency collaboration activities, as appropriate.
  - b. 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;
3. Describe the nature and extent of collaborations and partnerships and its impact on the CBCAP program in the past reporting period.
4. Describe the status of the State's prevention service array:
  - a. Demonstrate how the CBCAP lead agency has assessed the unmet needs in the State and community.
  - b. Demonstrate that they have addressed the unmet needs identified by the inventory and description required by section 204(3) of this legislation; (section 206(3))
  - c. 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 204(2)) and the description shall specify whether those services are supported by research
  - d. 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 206(1))
  - e. 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 child abuse and neglect prevention programs and activities funded under this legislation; (section 206(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 and cultural competence efforts conducted by the lead agency during the reporting period;
6. Describe the lead agency's activities and implementation plan to ensure the continued leadership and involvement of parents in the ongoing planning, implementation, and evaluation of CBCAP programs; (section 206(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. Provide evaluation data on the outcomes of programs and activities funded under this program. This should include the following:
  - a. 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](http://www.friendsnrc.org).
  - b. a demonstration of the high level of satisfaction among families who have used the services of the CBCAP program; (section 206(5));
  - c. a description of the results of evaluation, or the outcomes of monitoring, conducted under the State program to demonstrate the effectiveness of activities in meeting the purposes of the program (this may include a peer review process); (section 206(7)).
  - d. evaluation data, where appropriate and available, on the effectiveness of funded programs, the lead agency, and the network;
9. Include a description of the Child Abuse Prevention Month and public awareness activities conducted during the reporting period;
10. Include a description of the challenges, barriers, and opportunities and how these were addressed in the last reporting period. (Optional Section)

## **I. 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.

**J. SUBMISSION OF APPLICATION AND ANNUAL PROGRAM REPORTS**

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

The signed original FY 2011 application, including all attachments, must be submitted to the CBCAP Federal Project Officer at the Office on Child Abuse and Neglect by **June 6th, 2011**. The annual program report should be included with the FY 2012 application.

The Federal government is continually striving to promote efficiency in the management of its programs. As such, states should submit the application and subsequent annual program reports electronically. If the State submits the application electronically, it must include the appropriate electronic signatures from authorized officials. Electronic applications and program reports should be sent by email to: [cbcap@acf.hhs.gov](mailto:cbcap@acf.hhs.gov) by the due date. Applications and annual program reports must be submitted in Microsoft Word or Adobe Acrobat format.

However, if a State chooses to submit the application or annual program reports 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  
Children's Bureau  
Attention: Rosie Gomez  
1250 Maryland Ave., S.W.  
8<sup>th</sup> Floor  
Portals Building  
Washington, D.C. 20024  
Phone: 202-205-7403  
Email: [Rosie.gomez@acf.hhs.gov](mailto:Rosie.gomez@acf.hhs.gov)



2. One Copy to Regional Office

One copy of the grant application and annual program report, 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.

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

In addition to participation in application and report 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 **June 6th, 2011.**

**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 and liquidate these Federal funds no later than **three** years after the end of the Federal fiscal year in which the funds are allocated. This means that the FY 2011 funds must be obligated AND liquidated by September 30, 2013. 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 period, 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. The fiscal reports are due at the end of each FFY. The program reports are required annually and are due with the subsequent year's application. For the FY 2011 Annual Report, this will be due at the same time as the FY 2012 application. A grant year runs 12 months from the date of issuance of the award. The project period for the CBCAP grant is 36 months.

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 425A). 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 FFY grant period (i.e., December 31<sup>st</sup> of each year)**. Financial reports are to be mailed concurrently to the State's ACF Regional Administrator (see Attachment 11), and to:

Administration for Children and Families  
Office of Administration  
Office of Grants Management  
Division of Mandatory Grants  
Attention: Nathaniel West  
370 L'Enfant Promenade, SW  
Washington, D.C. 20447  
Phone: 202-401-1230  
Email: [nathaniel.west@acf.hhs.gov](mailto:nathaniel.west@acf.hhs.gov)

CPCAP grantees can also submit their financial status reports (SF-425) 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 ([nathaniel.west@acf.hhs.gov](mailto:nathaniel.west@acf.hhs.gov)) to Nathaniel West 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. **Annual Program Reports:** Please refer to Part III, Section H for the required elements to include in the report. The program report for the FY 2011 application will be due with the FY 2012 application.

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

This program has been excluded from the provisions of E.O. 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 PI have been approved through **July 31, 2011** 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  
Children's Bureau  
Attention: Rosie Gomez  
1250 Maryland Ave., SW  
8<sup>th</sup> Floor  
Portals Building  
Washington, D.C. 20024  
Phone: 202-205-7403  
Email: Rosie.gomez@acf.hhs.gov

**H. EFFECTIVE DATE  
Upon Issuance**

  
Bryan Samuels  
Commissioner

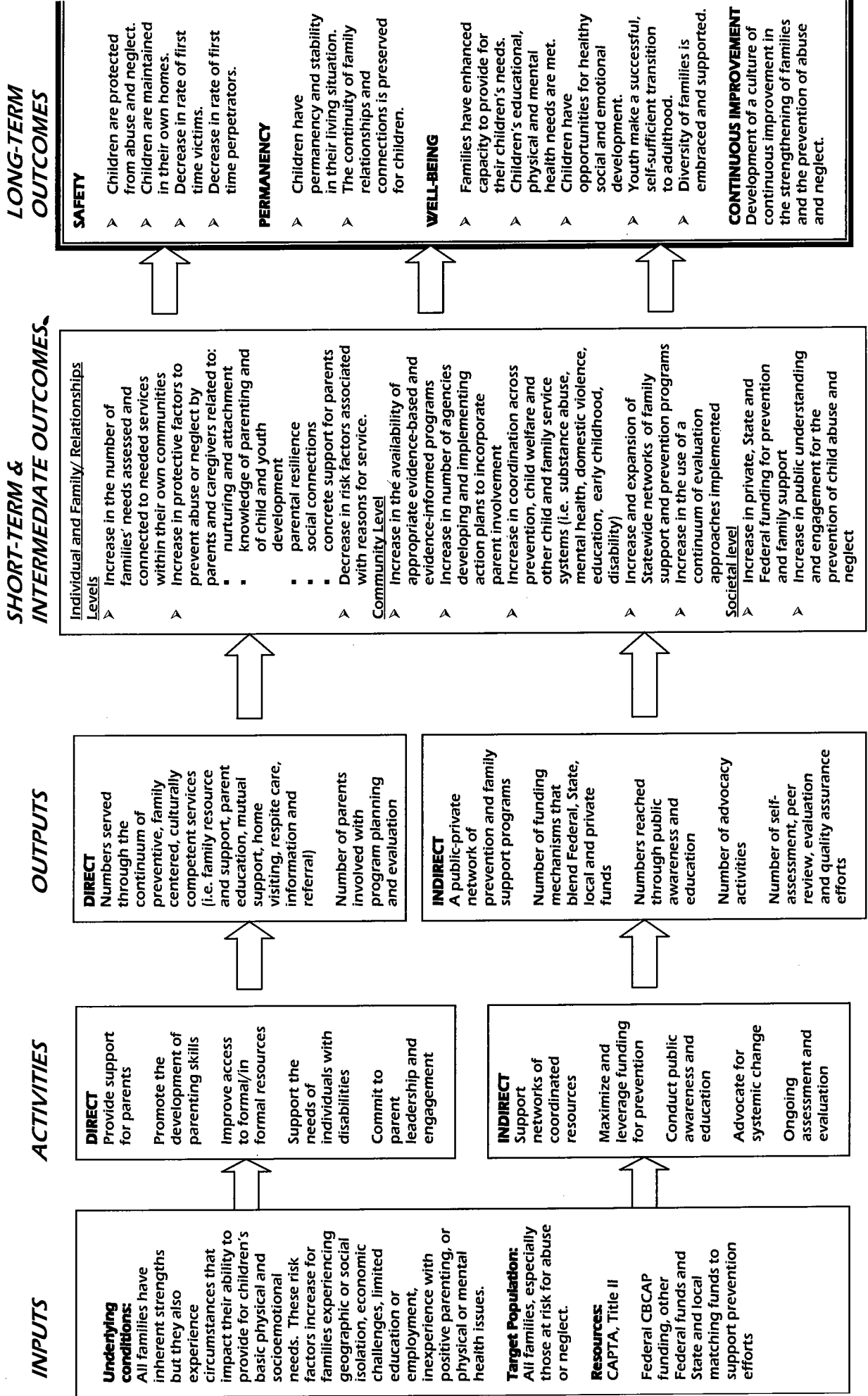
Attachments

## **PART V: ATTACHMENTS**

- Attachment 1: CBCAP Conceptual Framework**
- Attachment 2: Links to Various Resource Materials**
- a) **CAPTA Reauthorization Act of 2010  
Child Abuse Prevention and Treatment Act  
Title II, Community-Based Grants for the Prevention of  
Child Abuse and Neglect,**
  - b) **45 CFR Part 92**
  - c) **Links to ACF Fiscal Reporting Forms and HHS Grants  
Policy Statement**
  - d) **Community-Based Grants for the Prevention of Child  
Abuse and Neglect Contact Lists**
  - e) **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: Governor Assurance Statement**
- Attachment 7: State Lead Agency Assurance Statement**
- Attachment 8: Leveraged Funds Worksheet**
- Attachment 9: State Grants Based on Population-Only Portion of the  
CBCAP Funds**
- Attachment 10: Certifications**
- Attachment 11: Regional Offices Contact List**

# ATTACHMENT 1: CBCAP CONCEPTUAL FRAMEWORK (revised 1/31/11)

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.



## **Attachment 2:**

### **Links to Various Resource Materials**

Please visit the websites listed below to download the relevant resource materials for this Program Instruction.

- a) CAPTA Reauthorization Act of 2010  
Child Abuse Prevention and Treatment Act,  
Title II Community-Based Grants for the Prevention of Child Abuse and Neglect  
<http://www.gpo.gov/fdsys/pkg/BILLS-111s3817enr/pdf/BILLS-111s3817enr.pdf>
  
- b) 45 CFR Part 92: UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS  
AND COOPERATIVE AGREEMENTS TO STATE, LOCAL AND TRIBAL  
GOVERNMENTS  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/45cfr92\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/45cfr92_03.html)
  
- c) Links to ACF Fiscal Reporting Forms and HHS Grants Policy Statement  
[http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html)
  
- d) Community-Based Child Abuse Prevention Program Lead Agency Contacts  
<http://www.friendsnrc.org/state-lead-agency-contacts>
  
- e) Guidelines for CBCAP Lead Agencies on Evidence-based and Evidence-informed  
Programs and Practices (OMB PART Efficiency measure reporting)  
<http://www.friendsnrc.org/cbcap-priority-areas/evidence-base-practice-in-cbcap/part>.

## Attachment 3: CBCAP Annual Report Numbers Guidelines

CBCAP Annual Report Participant Numbers Reporting Guidelines	
	DATA
<b>Table</b>	<b>Children, Parents/ Caregivers and Families Who Received Preventive Direct Services</b>
<b>I.</b>	From the State During the Year - FFY2011 Community-Based Child Abuse Prevention Program (CBCAP) Grant
SUMMARY DATA DEFINITION	
<p>Preventive direct services under CBCAP are beneficial activities aimed at preventing child abuse and neglect. Such activities may be directed at the general population or specific populations identified as being increased risk of abusing or neglecting their children. The primary focus of these activities are to better strengthen and support families by increasing protective factors and reducing the risk factors that can reduce the likelihood of abuse or neglect. The five primary protective factors to be increased by the preventive direct services include: nurturing and attachment, parental resilience, knowledge of parenting and of child and youth development, social connections, and concrete supports for parents. The primary risk factors that may be addressed include caregiver problems with mental health, substance abuse, and family and community violence, and other negative conditions in the child and family's life situation. Ultimately, the goals of these activities are to increase the strength and stability of families, to increase parents' confidence and competence in their parenting abilities, to afford children a stable and supportive environment and to increase the safety, permanency and well-being of children and families. Such activities do not include information and referral, one-time public education events, or public awareness campaigns.</p>	
INSTRUCTIONS / ERROR CONDITIONS	
<p>This is the number of children and number of families who received services aimed at preventing child abuse and neglect during the year. These services may be directed at specific populations identified as being at increased risk of becoming abusive or they may provide direct services to the general population. Direct services means that the services must be provided to an individual or family and the <u>planned</u> duration of the services should be more than a one-time event. Some examples of preventative direct services include: voluntary home visiting, parenting programs, parent mutual support, respite care, family resource centers, or other family support programs. If the participant only attends the direct service for one-time and drops out, they should still be counted in this category since the planned duration was for more than one-time.</p> <p>The data should reflect recipients of direct services funded by the CBCAP program. Direct services funded by CBCAP should reflect the Federal CBCAP funds plus the amount for the State's required 20% match as reflected in their application for this year's funding. (Note: Some States include more than a 20% match in their application). Since a number of States blend the CBCAP with other Federal, State and local funding, these States will need to indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of the total.</p> <p>The data should not include recipients of information and referral services, one-time public education events, and other public awareness campaigns. The recipients of these activities should be counted <u>separately</u> as part of Public Awareness Activities (see Table III).</p> <p>The items in this section request data on recipients of preventive direct services under the CBCAP program. Data on the number of children, parents and the number of families receiving these services is requested. The three possibilities are provided since some programs report by "family," "parent/ caregiver" and others report by "child." In answering these questions, to the extent possible, you should NOT duplicate your counts.</p> <p>This is the number of children, parents/ caregivers, and families who received services aimed at preventing child abuse and neglect during the year funded by a Community-Based Child Abuse Prevention Program (CBCAP) Grant. The total number should also include the number of adults/ children with disabilities who are receiving direct services.</p>	
STATE DATA	

Can the State provide data for this item? (Y=Yes, N=No) [ ]

Total Number of Children who received preventative direct services:

Total Number of Parents/ caregivers who received preventative direct services:

Total Number of Families who received preventative direct services:

**STATE COMMENTARY / CONSTRUCTION LOGIC**

The State should provide additional information about the numbers being reported above and the primary source of the data. If multiple funding sources are included in the recipient numbers, please indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of that total. If no data is available, the State should provide an explanation why the data cannot be reported.

**CBCAP Annual Report Participant Numbers Reporting Guidelines**

**DATA**

**CHARACTERISTICS**

<b>Table II.</b>	<b>Children, Parents/ Caregivers with Disabilities Who Received Preventive Direct Services</b> From the State During the Year - FFY2011 Community-Based Child Abuse Prevention Program (CBCAP) Grant
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**SUMMARY DATA DEFINITION**

Preventive direct services under CBCAP are beneficial activities aimed at preventing child abuse and neglect. Such activities may be directed at the general population or specific populations identified as being increased risk of abusing or neglecting their children. The primary focus of these activities are to better strengthen and support families by increasing protective factors and reducing the risk factors that can reduce the likelihood of abuse or neglect. The five primary protective factors to be increased by the preventive direct services include: nurturing and attachment, parental resilience, knowledge of parenting and of child and youth development, social connections, and concrete supports for parents. The primary risk factors that may be addressed include caregiver problems with mental health, substance abuse, and family and community violence, and other negative conditions in the child and family's life situation. Ultimately, the goals of these activities are to increase the strength and stability of families, to increase parents' confidence and competence in their parenting abilities, to afford children a stable and supportive environment and to increase the safety, permanency and well-being of children and families. Such activities do not include information and referral, one-time public education events, or public awareness campaigns.

**INSTRUCTIONS / ERROR CONDITIONS**



This is the number of children and adults/ caregivers with disabilities who received services aimed at preventing child abuse and neglect during the year. These services may be directed at specific populations identified as being at increased risk of becoming abusive or they may provide direct services to the general population. Direct services means that the services must be provided to an individual or family and the planned duration of the services should be more than a one-time event. Some examples of preventative direct services include: voluntary home visiting, parenting programs, parent mutual support, respite care, family resource centers, or other family support programs. If the participant only attends the direct service for one-time and drops out, they should still be counted in this category since the planned duration was for more than one-time.

The data should reflect recipients of direct services funded by the CBCAP program. Direct services funded by CBCAP should reflect the Federal CBCAP funds plus the amount for the State's required 20% match as reflected in their application for this year's funding. (Note: Some States include more than a 20% match in their application). Since a number of States blend the CBCAP with other Federal, State and local funding, these States will need to indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of the total.

The data should not include recipients of information and referral services, one-time public education events, and other public awareness campaigns. The recipients of these activities should be counted separately as part of Public Awareness Activities (see Table III).

The items in this section request data on recipients (adults/ children) of preventive direct services under the CBCAP program who also have a disability. The definition of a person with disability has the same meaning for a child or adult with disability under the Individuals with Disabilities Education Act (IDEA) Parts B and C.

Data on the number of children and/ or parents with disabilities receiving these services is requested. **The numbers for Table II should be a subset of the total numbers from Table I.**

This is the number of children and/or parents/ caregivers with disabilities who received direct services aimed at preventing child abuse and neglect during the year funded by a Community-Based Child Abuse Prevention Program (CBCAP) Grant.

**STATE DATA**

Can the State provide data for this item? (Y=Yes, N=No) [ ]

Total Number of Children with disabilities who received preventative direct services:

Total Number of Parents/ caregivers with disabilities who received preventative direct services:

**STATE COMMENTARY / CONSTRUCTION LOGIC**

The State should provide additional information about the numbers being reported above and the primary source of the data. If multiple funding sources are included in the recipient numbers, please indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of that total. If no data is available, the State should provide an explanation why the data cannot be reported.

**CBCAP Annual Report Participant Numbers Reporting Guidelines****DATA****CHARACTERISTICS****Table III. Individuals Who Received Public Awareness or Public Information Activities**

From the State During the Year - FFY2011

Community-Based Child Abuse Prevention Program (CBCAP) Grant

**SUMMARY DATA DEFINITION**

Public awareness or public education activities under CBCAP are beneficial activities that focus on the healthy and positive development of parents and the promotion of child abuse and neglect prevention activities. These activities can include public education and outreach, information and referral regarding community and social services that are available for families, and public awareness campaigns. Such activities are usually directed at the general population but may also be targeted for specific populations or communities identified at increased risk of abuse or neglect. The primary focus of these activities are to better strengthen and support individuals, families, the community and society by providing information about available family support and prevention resources in the community, increasing the public understanding of the importance of the prevention of child abuse and neglect and increasing community ownership and involvement in prevention activities. Over the long term, it is anticipated that these activities contribute to increasing the safety, permanency and well-being of all children and families.

**INSTRUCTIONS / ERROR CONDITIONS**

This is the number of individuals received public awareness or public education activities aimed at preventing child abuse and neglect during the year. These services may be directed to the general population or at specific populations identified as being at increased risk of abuse or neglect. These activities may be a one-time event or a series of public education and information sessions. These activities may also include provide information and referral to the community through the telephone, in-person, or through a mail out or website. Some examples of public awareness, public education or information and referral activities include: Blue Ribbon or other Child Abuse Prevention Month campaigns, conducting a public information fair at a local festival, presenting information about child abuse prevention to various agencies or the general public, television or radio ads, newsletter mailing, parent support hotlines, information and referral websites, etc.

The data should reflect the individuals who received or were exposed to the public awareness or public education activities funded by the CBCAP program. Direct services funded by CBCAP should reflect the Federal CBCAP funds plus the amount for the State's required 20% match as reflected in their application for this year's funding. (Note: Some States include more than a 20% match in their application). Since a number of States blend the CBCAP with other Federal, State and local funding, these States will need to indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of the total.

The items in this section request data on recipients of public awareness or public education activities conducted under the CBCAP program. Data on the number of individuals receiving or exposed to these activities is requested. Since it is difficult to provide an exact number of individuals who may have received the public awareness or public education activities, States are advised to provide the most accurate estimate based on the number of participants that reasonably received these activities. For example, the total can include the number of participants in public education session or workshop, the number of newsletters mailed out, the number of individuals who called a parent support line, the number of people exposed to the television or radio ads, etc.

This is the number of individuals who received public awareness and/or public education activities aimed at preventing child abuse and neglect during the year funded by a Community-Based Child Abuse Prevention Program (CBCAP) Grant.

**STATE DATA**

Can the State provide data for this item? (Y=Yes, N=No) [ ]

Total number of individuals who received or were exposed to public awareness or public education activities:

**STATE COMMENTARY / CONSTRUCTION LOGIC**

The State should provide additional information about the numbers being reported above and the primary source of the data. If multiple funding sources are included in the recipient numbers, please indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of that total. If no data is available, the State should provide an explanation why the data cannot be reported.

## **ATTACHMENT 4**

### **List of Programs for Potential Coordination and Collaboration with CBCAP**

#### **Child Care Programs**

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 more information, please visit the National Child Care Information Center at: <http://nccic.org/>

#### **Head Start Programs**

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, nonprofit 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 more information, visit the Early Childhood Learning and Knowledge Center at: <http://eclkc.ohs.acf.hhs.gov/hslc>

#### **Early Head Start Programs**

Early Head Start (EHS) is a Federally-funded community-based program for low-income families with infants and toddlers and pregnant women. Its mission is simple: 1) to promote healthy prenatal outcomes for pregnant women; 2) to enhance the development of very young children; and 3) to promote healthy family functioning. EHS evolved out of Head Start's long history of providing services to infants and toddlers through Parent Child Centers, Comprehensive Child Development Centers (CCDPs) and Migrant Head Start programs. Recent advances in the field of infant development make this an especially exciting time to have Head Start formally expand its family to include the provision of Early Head Start services. For more information visit, the Early Head Start National Resource Center at: <http://ehsnrc.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.

ADD funds Family Support 360 grantees which are used to support one-stop centers to provide family support services for families of individuals with disabilities. There are currently 21 grantees across the country funded for this purpose and CBCAP Lead Agencies are strongly encouraged to collaborate with these entities when they are present in their States. For more information on this program, visit: <http://www.acf.hhs.gov/programs/add/pns/pnsfs360.html>

For more information about ADD, visit their website at: <http://www.acf.hhs.gov/programs/add/>

### **Early Intervention Programs through IDEA Part C**

The Program for Infants and Toddlers with Disabilities (Part C of IDEA) is a Federal grant program that assists States in operating a comprehensive statewide program of early intervention services for infants and toddlers with disabilities, ages birth through age 2 years, and their families. In order for a State to participate in the program it must assure that early intervention will be available to every eligible child and its family. Also, the Governor must designate a lead agency to receive the grant and administer the program, and appoint an Interagency Coordinating Council (ICC), including parents of young children with disabilities, to advise and assist the lead agency. Currently, all States and eligible territories are participating in the Part C program. For more information, visit the National Early Childhood Technical Assistance Center funded by the Department of Education, Office of Special Education Programs at: <http://www.nectac.org/default.asp>

### **Child Support Enforcement Access and Visitation Programs**

Funds are provided to enable States to create programs which support and facilitate access and visitation by non-custodial parents with their children. Activities may include mediation, counseling, education, development of parenting plans, visitation enforcement and development of guidelines for visitation and alternative custody arrangements. For more information, please visit the ACF Office of Child Support Enforcement at: <http://www.acf.hhs.gov/programs/cse/>.

### **Temporary Assistance to Needy Families (TANF)**

The TANF program, which is time limited, assists families with children when the parents or other responsible relatives cannot provide for the family's basic needs. The Federal government provides grants to States to run the TANF program. States have broad flexibility to carry out their programs. The States, not the Federal government, decide on the design of the program, the type and amount of assistance payments, the range of other services to be provided, and the rules for determining who is eligible for benefits. For more information, visit: <http://www.acf.hhs.gov/programs/ofa>

### **Maternal and Child Health Bureau (MCHB)**

#### **Title V Program**

The specific purpose of the title V Block Grants to the States is the creation of Federal-State partnerships to develop service systems in our nation's communities that can meet the critical challenges facing maternal and child health, including (partial list): significantly reducing infant mortality; providing comprehensive care for women before, during, and after pregnancy and childbirth; providing preventive and primary care services for children and adolescents; providing comprehensive care for children and adolescents with special health care needs;

preventing injury and violence; and putting into community practice national standards and guidelines (e.g., prenatal care; healthy and safe child care; and health supervision of infants, children, and adolescents). For more information, visit: <http://mchb.hrsa.gov/programs/blockgrant/overview.htm>

**Early Childhood Comprehensive Systems (ECCS) Program.** The MCHB launched the State Maternal and Child Health Early Childhood Comprehensive Systems Initiative (ECCS) to implement the MCHB Strategic Plan for Early Childhood Health. The purpose of ECCS is to support States and communities in their efforts to build and integrate early childhood service systems that address the critical components of access to comprehensive health services and medical homes; social-emotional development and mental health of young children; early care and education; parenting education and family support. The first ECCS grants were issued in 2003. Since that time 49 States, the District of Columbia, Guam, the Republic of Palau and the Commonwealths of Puerto Rico and the Mariana Islands have participated in ECCS. Almost all of these grantees have now developed a plan for building a comprehensive system for young children. For more information, visit: <http://www.state-eccs.org/>

**Project Linking Actions for Unmet Needs in Children's Health (Project LAUNCH)**

The purpose of Project LAUNCH is to promote the wellness of young children, birth to 8 years of age. Project LAUNCH defines wellness as a state of positive physical, emotional, social and behavioral health. For this program behavioral health includes mental health and positive development free from substance abuse and other negative behaviors. The goal is to create a shared vision for the wellness of young children that drives the development of Federal, State, Territorial, Tribal and locally-based networks for the coordination of key child-serving systems and the integration of behavioral and physical health services.

For more information, visit: <http://projectlaunch.promoteprevent.org/>

**Affordable Care Act (ACA) Maternal, Infant and Early Childhood Home Visiting Program**

The primary purpose of the ACA Maternal, Infant, and Early Childhood Home Visiting Program is (1) to strengthen and improve the programs and activities carried out under Title V of the Social Security Act; (2) to improve coordination of services for at risk communities; and (3) to identify and provide comprehensive services to improve outcomes for families who reside in at risk communities. The funds are intended to assure effective coordination and delivery of critical health, development, early learning, child abuse and neglect prevention, and family support services to these children and families through home visiting programs. This new program plays a crucial role in the national effort to build quality, comprehensive Statewide early childhood systems for pregnant women, parents and caregivers, and children from birth to 8 years of age and, ultimately, to improve health and development outcomes. For more information, visit: <http://mchb.hrsa.gov/> and <http://supportingebhv.org/resources/related-federal-resources/miechv-home-visiting-program>

**Supporting Evidence-based Home Visiting (EBHV) Programs.** On September 30, 2008, the Children's Bureau (CB) within the Administration for Children and Families (ACF) funded 17 cooperative agreements in 15 States to support the State and local infrastructure needed for the high quality implementation of existing evidence-based home visiting programs to prevent child maltreatment. Grantees will leverage these grants with other funding sources to develop state

and local funding, workforce, and policy infrastructures to support the use of evidence-based home visiting programs and practices. For more information, visit:  
<http://www.supportingebhv.org>

### **Regional Partnerships Grants (RPG).**

The Child and Family Services Improvement Act of 2006 reauthorized the Promoting Safe and Stable Families program and provided funding over a five-year period to implement a targeted grant program to 53 regional partnerships for the purpose of improving permanency outcomes for children affected by methamphetamine or other substance abuse. The Regional Partnership Grant (RPG) program supports a host of activities and services to address these barriers, including the creation or expansion of family treatment drug courts, improvement of system-wide collaboration, expanded access to comprehensive family-centered treatment, use of evidence-based practice approaches such as motivational enhancement therapy, parent advocates, and recovery management approaches to drug treatment monitoring. For more information, contact: Elaine Voces Stedt at [Elaine.stedt@acf.hhs.gov](mailto:Elaine.stedt@acf.hhs.gov)

### **Faith-based and community organizations** (often referred to as FBO/CBOs).

These organizations are a vitally important resource in our communities. They demonstrate care and compassion to those most in need by providing a rich diversity of programs, small and large. Faith-based and community organizations have unique strengths that government cannot duplicate. They often operate very close to the daily lives of individuals and families in need and thus can reach needy individuals and families that government cannot. For more information about the HHS Center for Faith-Based and Neighborhood Partnerships, visit:  
<http://www.hhs.gov/fbci/>.

### **Various Prevention and Family Support Programs**

There are a variety of prevention and family support programs existing across the country. The report, *Emerging Practices in the Prevention of Child Abuse and Neglect* provides an overview of the landscape of prevention programs. A copy of the report is available at:  
<http://www.childwelfare.gov/preventing/programs/whatworks/report/report.pdf>

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:

#### **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, visit the ARCH National Respite and Resource Center website at: <http://www.archrespite.org>)

Respite services 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 CBCAP program. (See sections 205(3)(A) and 208(3)).

### **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 maltreatment of children in families experiencing crisis. For information about programs in your State, visit the website at: <http://www.archrespite.org>

**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, visit their website at: <http://www.hippyusa.org/>

**Nurse Family Partnership (NFP).** NFP is a home visiting program that uses public health nurses, to help improve the health and social functioning of low income, first-time mothers, their babies, and families. For more information, visit their website at: <http://www.nursefamilypartnership.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, visit their website at: <http://www.parentsasteachers.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 their website at: <http://www.parentsanonymous.org>

**Prevent Child Abuse America (PCA) and Healthy Families America (HFA).** 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. For more information about PCA chapters in your

State, visit their website at: <http://www.preventchildabuse.org/>. For more information about HFA, visit: <http://www.healthyfamiliesamerica.org/home/index.shtml>  
In addition, PCA collaborates with Circle of Parents, a national network of parent mutual support programs. For more information, visit: <http://www.circleofparents.org>

**Strengthening Families.** Across the country, early care and education programs, child welfare departments, and others are using the Strengthening Families approach to build five Protective Factors in families: 1) Parental resilience; 2) Social connections; 3) Knowledge of parenting and child development; 4) Concrete support in times of need; 5) Children's social and emotional development. This initiative is led by the Center for the Study of Social Policy. For more information, visit: <http://www.strengtheningfamilies.net/>

## **ATTACHMENT 5**

### **Coordination and Collaboration with the Child and Family Services Review (CFSR)/Program Improvement Plan (PIP) and the Child and Family Services Plan (CFSP)/Annual Progress and Services Report (APSR) Processes**

Below are some suggested ways in which the CBCAP programs can work more closely with the child welfare agencies in their States:

- CBCAP lead agency contacts and/or members of their prevention network can become more active participants in various stakeholder meetings and planning committees related to the CFSR/Program Improvement Plan (PIP) and Child and Family Services Plan (CFSP)/Annual Progress and Services Report (APSR). Review the goals and objectives of the CFSR/PIP and CFSP/APSR and identify which of them are related to child abuse prevention, family support and family strengthening. Schedule meetings with representatives from the child welfare agency to discuss ways to collaborate and coordinate efforts. The ACF Regional Office is also available to help facilitate this process.
- CBCAP lead agencies can provide consultation to child welfare agencies around strategies for infusing family support and prevention principles into on-going child welfare practice.
- CBCAP lead agencies can use the relevant sections of the CFSR Statewide Assessment, PIP and/or CFSP that pertains to prevention programs as part of the required description of the inventory of unmet needs in the State.
- Prepare the CBCAP plan by incorporating the relevant goals and objectives contained in the State's CFSR/PIP and CFSP/APSR. Lead agencies may choose to place a stronger emphasis on prevention-related goals identified in these two processes as part of their CBCAP program plans. For example, if the CFSR finds that the lack of prevention resources is a prime concern, and the State child welfare agency is required to redirect its resources to address this area, the CBCAP program may identify specific programs and activities that will be focused on those issues.
- CBCAP lead agencies can work with the child welfare agency to pool the IV-B prevention and family support funding with their CBCAP funds and issue a joint Request for Proposals to fund programs that meet the shared goals and objectives of the two programs.
- CBCAP lead agencies can work with the State's child protective services (CPS) system to plan and develop triage procedures and differential/alternative response systems to refer children not at imminent risk of harm to community organizations or voluntary

preventive services. Developing triage procedures is a provision of the Basic State Grant for CPS agencies outlined in the Child Abuse and Treatment Act, 2003 requirements.

For more information about the Child Welfare Services and Promoting Safe and Stable Families programs, contact: Catherine Heath at: [catherine.heath@acf.hhs.gov](mailto:catherine.heath@acf.hhs.gov).

For more information about the Child and Family Services Reviews, please visit the Children's Bureau website at: <http://www.acf.hhs.gov/programs/cb>

**ATTACHMENT 6**  
**GOVERNOR**  
**ASSURANCE STATEMENT**

**COMMUNITY-BASED GRANTS FOR THE PREVENTION OF  
CHILD ABUSE AND NEGLECT PROGRAM  
(TITLE II OF THE CAPTA AMENDMENTS OF 2010 (P.L. 111-320))**

**GOVERNOR'S ASSURANCE STATEMENT**

As Governor of the State of \_\_\_\_\_, I am providing the following assurance that I have designated to be the lead agency, administer the funds, and assume the obligations imposed by the terms and conditions of the Community-Based Grants for the Prevention of Child Abuse and Neglect award. I further assure that the lead agency will provide or will be responsible for providing--

- (A) Community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect 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;
- (B) Direction to 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;
- (C) 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, technical assistance, evaluation assistance and reporting and evaluation functions.
- (D) A demonstrated commitment to parental participation in the development, operation, and oversight of the community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect;
- (E) 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;
- (F) The capacity to provide operational support (both financial and programmatic) and training, technical assistance, and evaluation assistance to community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect, through innovative, interagency funding and interdisciplinary service delivery mechanisms; and
- (G) 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 demonstrate a financial commitment to those activities.

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(Signature of Governor)

(Date)

**ATTACHMENT 7**

**STATE LEAD AGENCY  
ASSURANCE STATEMENT**

**COMMUNITY-BASED GRANTS FOR THE PREVENTION OF  
CHILD ABUSE AND NEGLECT PROGRAM  
(TITLE II OF THE CAPTA AMENDMENTS OF 2010 (P.L. 111-320))**

**STATE LEAD AGENCY ASSURANCE STATEMENT**

**STATE:**

**LEAD AGENCY:**

On behalf of the above named agency, which has been designated by the Governor of the State to be the Lead Agency responsible to administer the funds and assume the obligations imposed by the terms and conditions under the Community-Based Grants for the Prevention of Child Abuse and Neglect award, the following assurances are provided:

- (A) 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 included with the Annual Performance Report (and subsequent year's reports);
- (B) Funds received under this title will supplement, not supplant, other State and local public funds designated for the start-up, maintenance, expansion, and redesign of community-based and prevention-focused programs and activities to strengthen and support families to prevent child abuse and neglect;
- (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; and
- (D) The lead agency will provide the Secretary with reports at such time and containing such information as the Secretary may require (and every year on the same date for the life of the grant).

\_\_\_\_\_  
(Signature of Responsible Lead Agency Administrator)

\_\_\_\_\_  
(Typed Name and Title of Administrator)

\_\_\_\_\_  
(Date)



**ATTACHMENT 8**

**Leveraged Funds Worksheet  
With Example Worksheet and Guidance for Differentiation Between  
Leveraged and Match Funds**

# LEVERAGED FUNDS WORKSHEET for FY 2011 APPLICATION

STATE: \_\_\_\_\_

LEAD AGENCY: \_\_\_\_\_

AMOUNT OF CLAIM	DATE(S) FUNDS WERE RECEIVED AND BUDGETED BY LEAD AGENCY ----- BUDGETED/SPENT	SOURCE OF FUNDS BEING CLAIMED	PURPOSE FOR WHICH FUNDS WERE BUDGETED AND SPENT
\$			
\$			
\$			
\$			
\$			
\$			

STATE: \_\_\_\_\_

LEAD AGENCY: \_\_\_\_\_

Page \_\_\_ of \_\_\_

<b>AMOUNT OF CLAIM</b>	<b>DATE(S) FUNDS WERE RECEIVED AND BUDGETED BY LEAD AGENCY</b> ----- <b>BUDGETED/SPENT</b>	<b>SOURCE OF FUNDS BEING CLAIMED</b>	<b>PURPOSE FOR WHICH FUNDS WERE BUDGETED AND SPENT</b>
\$			
\$			
\$			
\$			
\$			

AMOUNT OF CLAIM	DATE(S) FUNDS WERE RECEIVED AND BUDGETED BY LEAD AGENCY ----- BUDGETED/SPENT	SOURCE OF FUNDS BEING CLAIMED	PURPOSE FOR WHICH FUNDS WERE BUDGETED AND SPENT
\$			
\$			
\$			

**INCENTIVE CLAIM ASSURANCE:** All amounts figured into this claim are non-Federal monies that have been leveraged by the State, directed through the CBCAP lead agency submitting the application, and budgeted and spent in FFY 2010 (i.e. 10/1/09 – 9/30/10) to support community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect, as defined in the legislation, that coordinate resources among a range of existing public and private organizations for the purposes defined under this Title. No funds claimed here have been claimed to leverage any other source of Federal funds. 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.

**TOTAL CLAIM**

\$

**PREPARED BY:**  
(Fiscal Agent) (Date)

**SUBMITTED BY:**  
(Lead Agency Authority) (Date)

## LEVERAGED FUNDS - EXAMPLE WORKSHEET

STATE: \_\_\_\_\_

LEAD AGENCY: \_\_\_\_\_

AMOUNT OF CLAIM	DATE(S) FUNDS WERE RECEIVED AND BUDGETED BY LEAD AGENCY ----- BUDGETED/ SPENT		SOURCE OF FUNDS BEING CLAIMED	PURPOSE FOR WHICH FUNDS WERE BUDGETED AND SPENT
\$ 37,948.00	Monthly Instal. May'09- Sept'09	10/1/08	Tax Checkoffs/Pvt. Contributions	3 respite care programs for rural communities in XXX county, XXX county, and XXX county, to expand services available through our Inter-agency Agreement with "Child Care Services".
\$ 1,500,000.00	7/1/09	9/1/09	State Appropriation	129 (one per county) School-based Parent Education programs for young & single parents
\$ 50,000.00	11/9/08	5/19/09	Foundation Gift (United Way)	5 training programs (one in each geographic region) to recruit & train parents as community interagency leaders/partners.

**INCENTIVE CLAIM ASSURANCE:** All amounts figured into this claim are non-Federal monies that have been leveraged by the State, directed through the CBCAP lead agency submitting the application, and budgeted and spent in FFY 2010 (i.e. 10/1/09 – 9/30/10) to support community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect, as defined in the legislation, that coordinate resources among a range of existing public and private organizations for the purposes defined under this Title. No funds claimed here have been claimed to leverage any other source of Federal funds. 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.

**TOTAL CLAIM**

**\$ 1,587,948.00**

**PREPARED BY:**

(Fiscal Agent)

(Date)

**SUBMITTED BY:**

(Lead Agency Authority)

(Date)

## DIFFERENTIATING BETWEEN LEVERAGED AND MATCH FUNDS FOR PURPOSES OF THE CBCAP PROGRAM

**Leveraged Funds are those funds that were received by the CBCAP lead agency from private, State, or other non-Federal sources during the prior Federal Fiscal Year (FFY), and obligated and spent by the CBCAP lead agency during that same time frame to provide the types of services and activities for which the actual CBCAP Federal funds may be used.**

All funds leveraged by your State and claimed when submitting the CBCAP application must have been:

- **Leveraged** by your State from private, State, or other **non-Federal** sources during the prior Federal Fiscal Year.
- **Directed** through the CBCAP lead agency submitting the application. (**Note:** Leveraged funds must be controlled by the CBCAP lead agency submitting the application. If the State lead agency has changed and the current lead agency submitting the application is not the same lead agency through which the leveraged funds were directed and obligated or spent in the prior Federal Fiscal Year, the current lead agency cannot submit a leveraged funds claim. In that case, your total grant award would be the amount determined by population of children under 18 years of age).
- **Budgeted and spent** (spent, obligated, restricted) during the prior Federal Fiscal Year in supporting services and activities consistent with a network of community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect.
- **Used** (spent, drawn down) during the prior Federal Fiscal Year to support services and activities for which the actual CBCAP Federal grant funds may be used.

**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. 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.**

**Match funds are those funds from non-Federal sources that are included in the current application budget to supplement the Federal portion of the grant and must amount to at least 20% (in cash, not in-kind) of the current application grant award for activities under this title.**

All Funds included as match funds in the current application budget **must** be:

- **Received** by the CBCAP lead agency from private, State, or other **non-Federal** sources for use during the current Federal Fiscal Year in which the application is being submitted.
- **Budgeted** for the current Federal Fiscal Year in supporting a network of community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect.
- **Used** during the Federal Fiscal Year in which it was applied to supplement the Federal portion of the grant to support services and activities for which the CBCAP Federal grant funds may be used.
- **In cash, not in-kind**, and amount to at least 20% of the grant award. (**Note:** There is no requirement to include more than a 20% match of non-Federal funds in the budget. However, if the State has a sizeable leveraged funds claim that ensures their grant award will be greater than the population allocation, the State may wish to figure in a higher percentage for match so that they do not have to submit a budget amendment in October.

**The State may claim the money that it used for match in Federal Fiscal Year 2010 as part of their leveraged funds claim for their Federal Fiscal Year 2011 application, as long as this money is not leveraged to claim for any other source of Federal funds, the funds were directed through the lead agency, and the lead agency has remained the same for FY 2010 and FY 2011.**

**ATTACHMENT 9**

**State Grants Based on Population-Only  
Portion of the CBCAP Funds**

**TENTATIVE POPULATION ALLOCATION OF CBCAP FUNDS - FY 2011**

**IMPORTANT NOTE:** The following figures represent our best estimate of what each State, Puerto Rico, and the District of Columbia will receive for the population portion of their grant award allocation. These figures are based on a 70% formula figure, census figures available; and an assumption that each of the Territories will receive the base allowance of \$200,000. These figures could change if census figures are updated, if there are additional set-asides in the appropriation, or if State participation differs from what is predicted at this time. The amount of funds available and population fluctuations have impacted the population distribution amounts for most of the states over last year's estimated allocation. NOTE: The base allowance has been increased as a result of the increase in the overall appropriation for the CBCAP Program in FY2005. Future years' base allowances will be subject to the availability of funds.

For purposes of submitting the application, each State may use this amount when calculating its budget and determining the 20% matching funds obligation as set forth in section III-G-1 of the Program Instruction. Since this amount is only tentative, each State must submit a revised budget to OCAN, to complete the application, not later than October 31, 2011. The revised budget must be based on the actual amount awarded to the State, as verified in the Grant Award letter. For those States providing matching funds in excess of 20%, if the excess amount meets the 20% requirement of the final grant award, such States do not need to submit budget amendments.

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ALABAMA	\$ 382,430	MONTANA	\$ 200,000
ALASKA	\$ 200,000	NEBRASKA	\$ 200,000
AMERICAN SAMOA	\$ 200,000	NEVADA	\$ 227,643
ARIZONA	\$ 581,964	NEW HAMPSHIRE	\$ 200,000
ARKANSAS	\$ 239,464	NEW JERSEY	\$ 697,988
CALIFORNIA	\$3,192,217	NEW MEXICO	\$ 200,000
COLORADO	\$ 411,493	NEW YORK	\$1,502,621
CONNECTICUT	\$ 276,870	NORTH CAROLINA	\$ 764,833
DELAWARE	\$ 200,000	NORTH DAKOTA	\$ 200,000
DC	\$ 200,000	N. MARIANA ISLANDS	\$ 200,000
FLORIDA	\$1,364,991	OHIO	\$ 930,741
GEORGIA	\$ 868,859	OKLAHOMA	\$ 308,853
GUAM	\$ 200,000	OREGON	\$ 295,742
HAWAII	\$ 200,000	PENNSYLVANIA	\$ 941,522
IDAHO	\$ 200,000	PUERTO RICO	\$ 334,841
ILLINOIS	\$1,083,758	RHODE ISLAND	\$ 200,000
INDIANA	\$ 540,192	SOUTH CAROLINA	\$ 363,460
IOWA	\$ 242,918	SOUTH DAKOTA	\$ 200,000
KANSAS	\$ 238,784	TENNESSEE	\$ 504,029
KENTUCKY	\$ 343,633	TEXAS	\$2,292,707
LOUISIANA	\$ 377,690	UTAH	\$ 289,627
MAINE	\$ 200,000	VERMONT	\$ 200,000
MARYLAND	\$ 456,983	VIRGINIA	\$ 621,500
MASSACHUSETTS	\$ 486,452	VIRGIN ISLANDS	\$ 200,000
MICHIGAN	\$ 817,780	WASHINGTON	\$ 525,362
MINNESOTA	\$ 427,688	WEST VIRGINIA	\$ 200,000
MISSISSIPPI	\$ 261,362	WISCONSIN	\$ 448,062
MISSOURI	\$ 484,556	WYOMING	\$ 200,000



# **ATTACHMENT 10**

## **CERTIFICATIONS**

Information and required forms for the certifications listed below are available at:  
<http://www.acf.hhs.gov/programs/ofs/forms.htm#c>

**Certification Regarding Lobbying**

**Disclosure of Lobbying Activities**

**Certification Regarding Environmental Tobacco Smoke**

**ATTACHMENT 11**

**Regional Offices Contact List**

**REGIONAL OFFICE**  
**CHILD ABUSE AND NEGLECT CONTACTS FOR CBCAP**

**REGION I**

Bob Cavanaugh  
DHHS/ACF  
Administration for Children and Families  
Department of Health and Human Services  
JFK Federal Building; Room 2000  
Boston, MA 02203  
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Email: [Robert.cavanaugh@acf.hhs.gov](mailto:Robert.cavanaugh@acf.hhs.gov)

Connecticut  
Maine  
Massachusetts  
New Hampshire  
Rhode Island  
Vermont

**REGION II**

Junius Scott, Program Manager  
Youth and Family Services Division  
Administration for Children and Families  
Department of Health and Human Services  
26 Federal Plaza; Room 4114  
New York, NY 10278  
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New Jersey  
New York  
Puerto Rico  
Virgin Islands

**REGION III**

Lisa Pearson  
DHHS/ACF/Child Welfare  
Administration for Children and Families  
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Pennsylvania  
Virginia  
Washington, DC  
West Virginia

**REGION IV**

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Alabama  
Florida  
Georgia  
Kentucky  
Mississippi  
North Carolina  
South Carolina  
Tennessee

## REGION V

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Department of Health and Human Services  
233 Michigan Avenue; Suite 400  
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**Illinois**  
**Indiana**  
**Michigan**  
**Minnesota**  
**Ohio**  
**Wisconsin**

## REGION VI

**June Lloyd, Amy Grissom**  
OSTP/Child Welfare  
Administration for Children and Families  
Department of Health and Human Services  
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**Arkansas**  
**Louisiana**  
**New Mexico**  
**Oklahoma**  
**Texas**

## REGION VII

**Rosslyn Wilson**  
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Administration for Children and Families  
Department of Health and Human Services  
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**Kansas**  
**Missouri**  
**Nebraska**

**Fax: 816-426-2888**

## REGION VIII

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**Colorado**  
**Montana**  
**N. Dakota**  
**S. Dakota**  
**Utah**  
**Wyoming**

**REGION IX**

**Jim Toscano**  
**Administration for Children and Families**  
**Department of Health and Human Services**  
**Room 9-370**  
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**San Francisco, CA 94103**  
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**Fax: 415-437-8436**  
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**Arizona**  
**California**  
**Hawaii**  
**Nevada**

**REGION X**

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**Alaska**  
**Idaho**  
**Oregon**  
**Washington**