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<b>ACF</b>  <b>Administration for Children and Families</b>	<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration on Children, Youth and Families</b>	
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	<b>3. Originating Office: Children's Bureau</b>	
	<b>4. Key Words: 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 (CBCAP) Program Grantees; State Agencies Administering or Supervising the Administration of Titles IV-B and IV-E of the Social Security Act

**SUBJECT:** Availability of Federal Fiscal Year (FFY) 2017 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 (CAPTA) as amended by Public Law (P.L.) 111-320.

**REFERENCES:** The CAPTA Reauthorization Act of 2010; Title II of the 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 FFY 2017; and (2) provide guidance and instructions for the preparation and submission of the application.

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## **PART I: INTRODUCTION**

The Child Abuse Prevention and Treatment Act (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 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 was that lead agencies were required to seek innovative approaches to coordinating funding streams and leveraging additional resources to augment the federal funds.

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, includes new purposes for CBCAP leads such as developing a continuum of prevention services for unaccompanied homeless youth; involving parents in the planning, implementation, planning and improvement of community-based child abuse prevention programs that build on the strengths of families; and the inclusion of substance abuse treatment services and domestic violence services as types of prevention services that can be funded under CBCAP. In addition, the Act amends and adds to the allowable uses of grants, under the local program requirements, the development of a comprehensive strategy to provide services to parents who are adult former

victims of domestic violence or child abuse or neglect; providing for core child abuse and neglect prevention services to now include respite care services; and adds to optional services the inclusion of domestic violence service programs for children and their non-abusing caregivers.

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 to change and reform systems for child welfare services. CB promotes 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. There is also a need for comprehensive family assessments and for greater engagement of parents in the case planning process. Many states and communities lack adequate prevention and community-based services for families. 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 efforts that are striving to support state efforts at systems integration and systems change to improve outcomes for families and communities. Across federal agencies, preventing trauma and mitigating its impact on healthy development is a priority. CBCAP lead agencies have an opportunity to promote collaboration and coordination across 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 (directly and indirectly); the outputs; and the short-term, intermediate, and long-term outcomes for the program (See Attachment 1).

A wealth of research has demonstrated that protective factors are fundamental to resilience, and building them is integral to successful intervention with children, youth, and families. CBCAP state leads are encouraged to fund programs that provide effective interventions to build skills and capacities that contribute to the healthy, positive, and productive functioning of children and youth into adulthood.

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, physical health and mental health, substance abuse treatment services, domestic violence, child care, early childhood, education, law enforcement, and other relevant 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. Children's safety and well-being will be best supported when federal, state, and local community agencies and stakeholders collaborate to better coordinate programs and services, and are responsive to the needs of all families.

## **A. LEGISLATIVE BACKGROUND**

The CAPTA Reauthorization Act of 2010 (P.L. 111-320) amended Title II of CAPTA and reauthorized the Community-Based Child Abuse Prevention (CBCAP) program.

The purposes of the CBCAP program are: (1) to support community-based efforts to develop, operate, expand, 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 Web link to Title II of CAPTA, as amended by P.L. 111-320, is included in Attachment 2.

## **B. USE OF FUNDS**

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

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 205(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**

As of March 2017, the Further Continuing and Security Assistance Appropriations Act of 2017 (P.L. 114-254) made available \$39,564,727 for the CBCAP program in FFY 2017 (however final appropriations have not been made for FFY 2017 and this level may be subject to change).

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) of CAPTA); (2) continued funding for a National Center for CBCAP; and (3) continued funding for program support.

The remainder of the FFY 2017 CBCAP funds 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 FFY 2005 appropriation, a decision was made to set the minimum grant for this 70 percent 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 lead agency in the preceding fiscal year (i.e., FFY 2016, 10/1/15 to 9/30/16). If the aggregate of the amounts of leveraged funds claimed by the states exceeds 30 percent 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.

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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.

Consolidated Application: If a Territory chooses to submit a consolidated grant application, it need not submit an application under this PI. An eligible Territory that applies for a consolidated grant will receive the base amount of \$200,000 authorized under the CBCAP program. These grant funds will be included in the Territory's consolidated grant.

Independent Application: If an eligible Territory submits an independent application that meets the requirements of this 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 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, physical health, mental health, substance abuse treatment services, job readiness, self-sufficiency, child and family development, community action, juvenile justice, domestic violence prevention, youth development, housing, faith- and community-based programs, healthy marriage, fatherhood, and other health and human service organizations within the state. Please see Attachment 4 for a listing of program descriptions for potential CBCAP partnerships



## **E. COORDINATION WITH THE TITLE IV-B CHILD AND FAMILY SERVICES PLANS**

Title IV-B, subpart 1, Child Welfare Services and subpart 2, Promoting Safe and Stable Families (PSSF) of the Social Security Act, 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 include faith-based organizations), with experience in administering programs for infants, children, youth, adolescents, and families;
- A description of the ongoing service coordination process to improve access and deliver a range of services to children and families; and
- Descriptions of training, technical assistance, evaluation, and quality-assurance activities.

Every year, states need to submit an Annual Progress and Services Report (APSR) to ACF. CBCAP programs can play a key role in providing input into this 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 CFSP/APSR 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**

ACF expects 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 Web 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 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 FFY 2017 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:

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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].”

- (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
- (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:

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's Leadership Role in State

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

- VIII. Prevention Activities
- IX. Actions to Advocate for Systemic Change
- X. Collaboration and Coordination
- XI. Criteria for Funded Programs
- XII. Outreach Activities for Special Populations
- XIII. Plans for Parent Leadership and Involvement
- XIV. Plan for Support, Training, Technical Assistance and Evaluation Assistance
- XV. Evaluation Plans
- XVI. Plan for Child Abuse Prevention Month and Public Awareness Activities in 2017
- XVII. Areas for Technical Assistance
- XVIII. Certifications (Lobbying)
- XIX. Attachments (optional)

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

2. Accompanying Documents:

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

**B. SUBMISSION LETTER**

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

Naomi Goldstein  
Acting Commissioner  
Administration on Children, Youth and Families  
330 C Street SW, Room 4035  
Washington, D.C. 20201

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, and email address of the lead agency.
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 FFY 2017 funding under the CBCAP program must include the following documentation by the Governor:

1. 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) and (D)); and
2. 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>

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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.

<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.

## **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 composed of local, collaborative, public-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. An ability to develop 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 **January 30, 2018** (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 204(6)) and
4. The applicant agency will provide the Secretary with reports at such time and containing such information as the Secretary may require and due approximately **120 days after the end of the FFY grant period on January 30<sup>th</sup> 2018** (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 2017 is FFY 2016 (i.e., **October 1, 2015 - September 30, 2016**).

The following documentation of leveraged funds must be provided to receive CBCAP funds available for distribution under section 203(b)(1)(B), (i.e., 30 percent of the total allotment to states that is based on the leveraging of non-federal funds):

1. Leveraged Funds that may be Claimed:

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

- (a) Leveraged by the state from private, state, or other **non-federal** sources during **FFY 2016 (October 1, 2015 - September 30, 2016)**;
- (b) Directed through the CBCAP lead agency for FFY 2015; and
- (c) Budgeted and spent during **FFY 2016** 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>9</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

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<sup>9</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.



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.

The budget must allocate sufficient funds to provide for **at least one representative** from the state to attend an annual 2-5 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 coordinated child abuse prevention resources and activities to better strengthen and support families (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 Program Improvement Plan (PIP) or IV-B planning process, please describe the extent of the involvement and other relevant information. Please also include other actions that involve other statewide public and private interagency systems change efforts.

This description should not be a report of actions accomplished, but a description 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 PIP and CFSP/APSR processes, or early childhood systems integration, as appropriate.

## 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 provide information on how they will collect data on the percentage of CBCAP total funding that supports evidence-based and evidence-informed child abuse prevention programs and practices, and any other national outcomes for the CBCAP program, as appropriate.

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

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 2018. This section should also describe other public awareness and education efforts planned during FFY 2018.

## 11. Areas for Technical Assistance

This section should describe any important contextual factors that may impact the ability of the 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 impact the work. 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, or 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 approximately **120 days after the end of the FFY grant period – January 30, 2018**) 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.

**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 PIP, IV-B plans, CFSR, early childhood systems building, and other related interagency collaboration activities, as appropriate (see Attachment 5);
  - 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)); and

- 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, which should include the following:
  - a. Data 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 and evidence-informed programs and practices;
  - 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)); and
  - 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; and

10. Include a description of the important contextual factors (challenges or barriers) that impacted the ability of the CBCAP lead agency to implement its proposed plans in the last reporting period.

## **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 2 (C)) 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 2 (C))

The signature on the state's CBCAP Program application by an authorized official attests to the applicant's intent to comply with the following 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**

The signed original FFY 2017 application and all attachments must be submitted to the Federal Project Officers by **June 19, 2017**. FFY 2017 annual progress reports must be submitted by **January 30, 2018**. Applications and reports are to be submitted to [CBCAP@acf.hhs.gov](mailto:CBCAP@acf.hhs.gov) with a copy to the assigned Regional Office (see Attachment 10).

## **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 19, 2017**.

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

The regulations that apply to the administration of these grants are contained in 45 CFR PART 75—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR HHS AWARDS. See Attachment 2 for a Web link to the regulations.

## C. EXPENDITURE OF FUNDS

A state must obligate 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 FFY 2017 funds must be obligated by September 30, 2019. The Office of Administration (OA), Office of Grants Management (OGM), in cooperation with ACYF, will review the state's financial reports. If the state does not fully obligate or liquidate these funds as set forth in the Terms & Conditions that will accompany its award, all unobligated and/or unliquidated funds will be subject to being recouped.

## D. REPORTING REQUIREMENTS

Under the provisions of 45 CFR Part 75 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. 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 (SF 425). 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<sup>th</sup> 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).**

Beginning with the FFY 2016 grant awards, the HHS payment management system of separate online reporting will be consolidated into a single reporting system. Starting with these awards, both the cash transactions (Lines 10 a, b and c) and the expenditures, obligations and liquidations (Lines 10 d through 10 o) will be reported through the grantee online accounts with Payment Management System (PMS). This information will no longer be reported separately using Online Data Collection (OLDC) or GrantSolutions.gov.

Please note the following important conditions:

- This pilot project is effective ONLY for FFY 2016 financial reports. Any remaining reports still required, or revised, for FFYs 2015, 2014 or earlier must continue to be submitted through OLDC or GrantSolutions.gov.
- SF-425 reports will continue to be due as frequently as is required in the award terms and conditions. Reports will be due on one of the standard dates by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter as determined by ACF (January 30th, April 30th, July 30th, and October 30th). Every grantee should already have a PMS account to allow access to complete Form SF-



425. If your office needs additional user access, please contact your PMS Liaison Accountant.

- Access to the system is requested by using the Request for OLDC Access form, available on the OLDC Help/FAQ site at: <https://oldc.grantsolutions.gov/oldcdocs/index.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. Some personnel reporting CBCAP financial information may already use or have access to the OLDC system for other grant programs.

For questions related to fiscal reporting, please contact Matthew McMahon at [matthew.mcmahon@acf.hhs.gov](mailto:matthew.mcmahon@acf.hhs.gov)

2. **Annual Program Reports**: Please refer to Part III, Section H for the required elements to include in the report.

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

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

#### **F. PAPERWORK REDUCTION ACT**

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

In accordance with the Paperwork Reduction Act of 1995 (P.L. 104-13), the information collection requirements in this PI have been approved through **August 31, 2018** 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: Julie Fliss  
330 C Street SW - 3<sup>rd</sup> Floor (3418 B)  
Washington, D.C. 20024  
Phone: 202-205-8879  
Email: Julie.Fliss@acf.hhs.gov

**H. EFFECTIVE DATE  
Upon Issuance**

/s/

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Naomi Goldstein

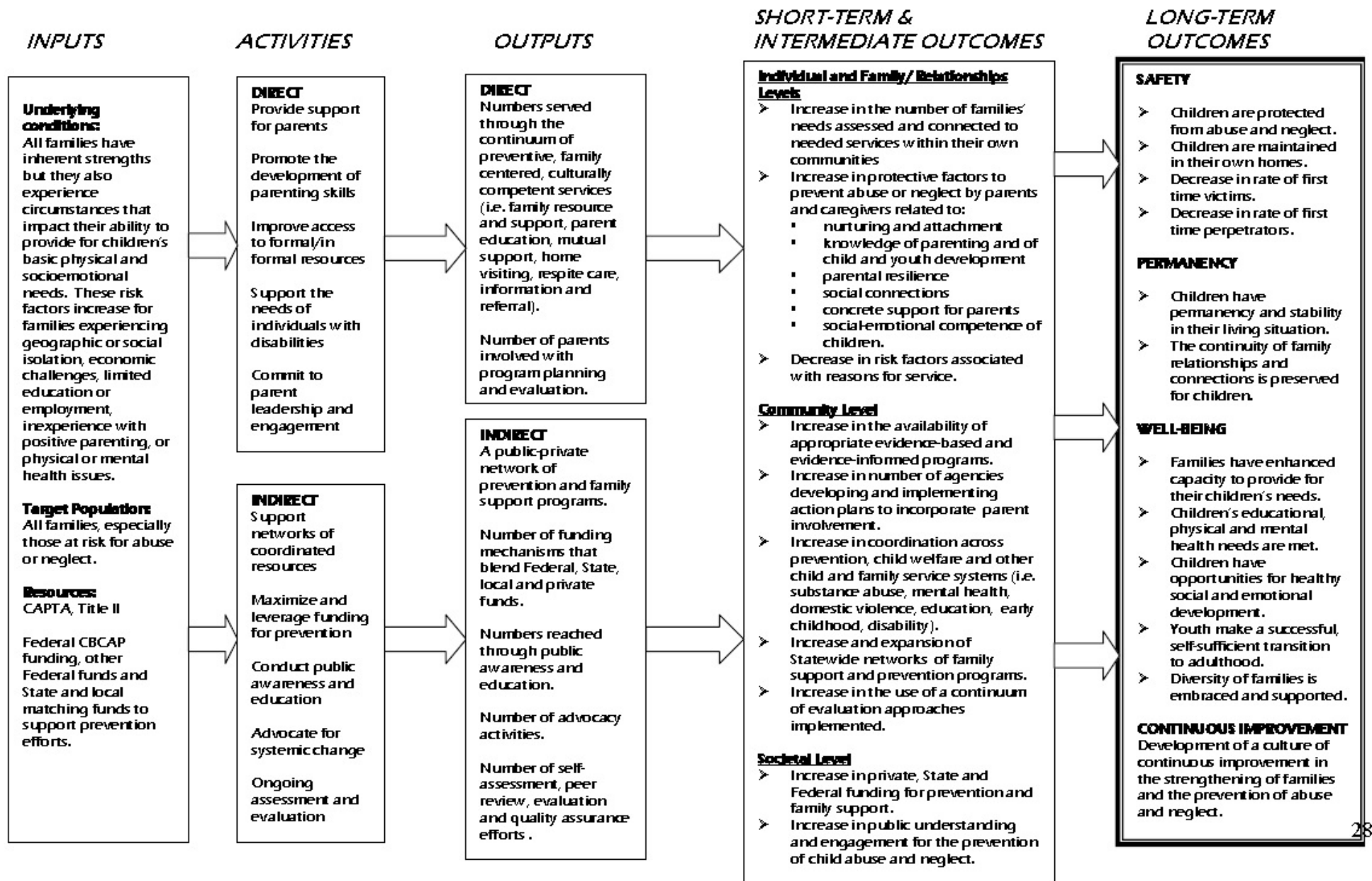
Administration on Children, Youth and Families

## **PART V: ATTACHMENTS**

- Attachment 1: CBCAP Conceptual Framework**
- Attachment 2: Links to Various Resource Materials**
- 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 PIP and CFSP/APSR Processes**
- Attachment 6: Governor Assurance Statement**
- Attachment 7: State Lead Agency Assurance Statement**
- Attachment 8: Leveraged Funds Worksheet**
- Attachment 9: Tentative Population Allocation of CBCAP Funds**
- Attachment 10: Regional Office Contacts for CBCAP**

## ATTACHMENT 1: CBCAP CONCEPTUAL FRAMEWORK

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.



## **ATTACHMENT 2:**

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

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

- a) Child Abuse Prevention and Treatment Act, Title II - Community-Based Grants for the Prevention of Child Abuse and Neglect  
<http://www.acf.hhs.gov/sites/default/files/cb/capta2010.pdf>
- b) 45 CFR Part 75: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards for grants and cooperative agreements to state, local and tribal governments <http://www.ecfr.gov/cgi-bin/text-idx?node=pt45.1.75>
- c) ACF Fiscal Reporting Forms and HHS Grants Policy Statement Forms include: Certification Regarding Lobbying, and Disclosure of Lobbying (if applicable)  
[https://www.acf.hhs.gov/sites/default/files/ocs/certification\\_regarding\\_lobbying\\_.pdf](https://www.acf.hhs.gov/sites/default/files/ocs/certification_regarding_lobbying_.pdf)  
[https://www.acf.hhs.gov/sites/default/files/orr/disclosure\\_of\\_lobbying\\_activities\\_sf\\_111.pdf](https://www.acf.hhs.gov/sites/default/files/orr/disclosure_of_lobbying_activities_sf_111.pdf)
- d) National Center for Community-Based Child Abuse Prevention  
<http://www.friendsnrc.org>

## ATTACHMENT 3: CBCAP Annual Report Numbers Guidelines

CBCAP Annual Report Participant Numbers Reporting Guidelines	
	DATA
CHARACTERISTICS	
<b>Table I.</b>	<p><b>Children, Parents/Caregivers and Families Who Received Preventive Direct Services</b>                      From the State During the Year – FFY2017                      Community-Based Child Abuse Prevention Program (CBCAP) Grant</p>
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 six 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, concrete supports for parents, and social and emotional competence of children. 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	
<p>Can the state provide data for this item? (Y=Yes, N=No) [    ]</p> <p>Total Number of Children who received preventative direct services:</p> <p>Total Number of Parents/caregivers who received preventative direct services:</p> <p>Total Number of Families who received preventative direct services:</p>	
STATE COMMENTARY / CONSTRUCTION LOGIC	
<p>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.</p>	

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 – FFY2017 Community-Based Child Abuse Prevention Program (CBCAP) Grant
<b>SUMMARY DATA DEFINITION</b>	
<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, concrete supports for parents, and social and emotional competence of children. 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>	
<b>INSTRUCTIONS / ERROR CONDITIONS</b>	
<p>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 <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 percent match as reflected in their application for this year's funding. (Note: Some states include more than a 20 percent 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 (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.</p> <p>Data on the number of children and/or parents with disabilities receiving these services is requested. <b>The numbers for Table II should be a subset of the total numbers from Table I.</b></p> <p>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.</p>	
<b>STATE DATA</b>	
<p>Can the state provide data for this item? (Y=Yes, N=No) [   ]</p> <p>Total Number of Children with disabilities who received preventative direct services:</p> <p>Total Number of Parents/ caregivers with disabilities who received preventative direct services:</p>	
<b>STATE COMMENTARY / CONSTRUCTION LOGIC</b>	
<p>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.</p>	

<b>CBCAP Annual Report Participant Numbers Reporting Guidelines</b>	
<b>DATA</b>	<b>CHARACTERISTICS</b>
<b>Table III.</b>	<b>Individuals Who Received Public Awareness or Public Information Activities</b> From the State During the Year – FFY2017 Community-Based Child Abuse Prevention Program (CBCAP) Grant
<b>SUMMARY DATA DEFINITION</b>	
<p>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.</p>	
<b>INSTRUCTIONS / ERROR CONDITIONS</b>	
<p>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.</p> <p>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 percent match as reflected in their application for this year's funding. (Note: Some states include more than a 20 percent 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 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.</p> <p>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.</p>	
<b>STATE DATA</b>	
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:	
<b>STATE COMMENTARY / CONSTRUCTION LOGIC</b>	
<p>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.</p>	



## **ATTACHMENT 4:**

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

#### **Child Care Programs**

Child Care programs support low-income working families by providing access to affordable, high-quality early care and after-school programs. The Office of Child Care (OCC) administers the Child Care and Development Fund (CCDF). The OCC works with state, territory and tribal governments to provide support working families struggling to find child care programs that will fit their needs and that will prepare their children to succeed in school. For more information, visit <http://www.acf.hhs.gov/programs/occ>.

#### **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 nonprofit organizations and school systems. These programs provide comprehensive services to meet the educational, emotional, social, health, nutritional and psychological needs of 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 for pregnant women. Its mission is 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 (CCDCs) and Migrant Head Start programs. For more information, please visit the Early Head Start National Resource Center at <https://eclkc.ohs.acf.hhs.gov/hslc/tta-system/ehsnrc>.

#### **Administration on Intellectual and Developmental Disabilities**

The Administration on Intellectual and Developmental Disabilities (AIDD), within the U.S. Department of Health and Human Services' Administration for Community Living, is responsible for planning and carrying out programs which promote the self-sufficiency and protect the rights of persons with developmental disabilities. The Administration on Intellectual and Developmental Disabilities (AIDD) is dedicated to ensuring that individuals with developmental disabilities and their families are able to fully participate in and contribute to all aspects of community life in the United States and its territories. For more information on this program, visit their website at <http://www.acf.hhs.gov/programs/aidd>.

#### **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, from birth through two years of age, and their families. 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 Early Childhood Technical Assistance Center funded by the U.S. Department of Education Office of Special Education Programs, at <http://ectacenter.org/>.

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

Funds are provided to enable states to create programs that 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 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 but not limited to the following: 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/>.

#### **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 Northern 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 <https://mchb.hrsa.gov/earlychildhoodcomprehensivesystems>

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

The Child and Family Services Improvement and Innovation Act (Pub. L. 112-34) includes a targeted grants program (section 437(f) of the Social Security Act) that directs the Secretary of Health and Human Services (HHS) to reserve a specified portion for Regional Partnership Grants (RPGs), which are designed to improve the well-being of children affected by parental substance use disorders. Since that first round of RPG funding in 2007, federal leaders and policymakers have intensified their focus on evidence-based and evidence-informed practices in budgeting and program decisions. Grantees are required to implement evidence-based practices and do more to attend to children's behavioral, emotional, and social functioning, one component of which is addressing the impact of trauma and its effect on the overall functioning of children and youth. The partnerships will implement varied interventions, such as family drug courts, comprehensive substance abuse treatment, or in-home parenting and child safety support for families. For more information, contact Jean Blankenship at [Jean.Blankenship@acf.hhs.gov](mailto:Jean.Blankenship@acf.hhs.gov).

### **Comprehensive Addiction and Recovery Act of 2016 and Infant Plan of Safe Care**

The Comprehensive Addiction and Recovery Act of 2016 (P.L. 114-198) (CARA) aims to address the problem of opioid addiction in the United States. The law deals with various aspects of substance use disorder, particularly opioid use disorder. Section 503 of CARA (Infant Plan of Safe Care) aims to help states address the effects of substance abuse disorders on infants, children, and families. For more information, visit: <https://www.acf.hhs.gov/cb/resource/im1605>.

### **Faith-based and community organizations** (often referred to as FBOs/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/>.

### **Social Services Block Grant Program**

Social Services Block Grants (SSBGs) assist state and territories to meet the needs of their residents through locally relevant social services. SSBGs support programs that allow communities to reduce dependency and promote self-sufficiency. For more information, visit <http://www.acf.hhs.gov/programs/ocs/programs/ssbg>.

### **Child Welfare Waivers**

Section 1130 of the Social Security Act authorizes the Secretary of Health and Human Services to approve child welfare waiver demonstration projects that involve waiving certain requirements of the federal title IV-E foster care program. The Child Welfare Waiver Demonstration authority provides title IV-E agencies (i.e., states and tribes directly operating the title IV-E program) with an opportunity to use federal funds more flexibly in order to test innovative approaches to child welfare service delivery and financing. Using this option, title IV-

E agencies can design and demonstrate a wide range of approaches to reforming child welfare and improving outcomes in the areas of safety, permanency, and well-being. The following title IV-E agencies have been approved to operate child welfare waiver demonstration projects: Arizona, Arkansas, California, Colorado, Florida, Hawaii, Idaho, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, Nebraska, Nevada, New York, Ohio, Oklahoma, Oregon, Pennsylvania, Port Gamble S’Klallam Tribe, Rhode Island, Tennessee, Texas, Utah, Washington, Washington District of Colombia, West Virginia and Wisconsin. Additional information on the projects can be found at: <https://www.acf.hhs.gov/programs/cb/programs/child-welfare-waivers>.

### **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. 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)).

### **Human Trafficking**

The Administration on Children, Youth and Families (ACYF), continues to focus efforts at the intersection of trafficking and child welfare. Specifically, the Children’s Bureau has developed resources and guidance for states in implementing new mandates under Public Law (P.L.) 113-183: the Preventing Sex Trafficking and Strengthening Families Act. Among the mandates included in this legislation are the following: (1) the addition as a CAPTA state plan requirement the reporting to law enforcement authorities of instances of sex trafficking; (2) the addition as a CAPTA state plan requirement the locating of and responding to children who have run away from foster care; and (3) the inclusion of child sex trafficking data in the Adoption and Foster Care Analysis and Reporting System (AFCARS). Additionally, the Children’s Bureau provides guidance on the implementation of P.L. 114-22, the Justice for Victims of Trafficking Act, which includes mandates for states to include in their CAPTA state plan procedures to identify and assess all children known or suspected to be victims of trafficking and to train child protective services workers on identifying, assessing, and providing services to victims of trafficking and consider any child identified as a victim of sex trafficking as a victim of “child abuse and neglect” and “sexual abuse.” For additional information on these pieces of legislation, please visit: <https://www.childwelfare.gov/topics/systemwide/trafficking/pir/federal/>.

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

There are a variety of prevention and family support programs existing across the country. 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.

## **ATTACHMENT 5:**

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

#### Child and Family Services Plan (CFSP)

States are required to develop a CFSP, a five-year strategic plan that sets forth the vision and the goals to be accomplished to strengthen the states' overall child welfare system. This CFSP was due on June 30, 2014 for fiscal years 2015 - 2019. A primary purpose of the CFSP is to facilitate states' integration of the programs that serve children and families, including title IV-B, subparts 1 and 2 of the Social Security Act (SSA), and the Chafee Foster Care Independence Program (CFCIP) and Education and Training Vouchers (ETV) programs (section 477 of the SSA) for older and/or young adults formerly in foster care, into a continuum of services for children and their families. The CFSP consolidates plans for these programs to help states comprehensively integrate the full array of child welfare services, from prevention and protection through permanency (45 CFR 1357.15(a)). States are required to make these plans available to the public and many of them are located online. In addition, while states are no longer required to submit a new plan for the Child Abuse Prevention and Treatment Act (CAPTA) state grant program every five years, they are required to submit an annual update on their use of CAPTA state grant funds each year and to submit other updates to the CAPTA plan, as needed. These CAPTA plan reports and updates are submitted with the CFSP and Annual Progress and Services Reports each year.

#### Annual Progress and Services Report (APSR)

Each year on June 30th, states are required to submit an APSR, which provides an annual update on the progress made toward accomplishing the goals and objectives in the CFSP. In preparing the APSR, each state must conduct an interim review of the progress made since the last APSR toward accomplishing the goals and objectives in the CFSP based on updated information and current data. The next APSR is due June 30th, 2017.

#### Alignment of CFSP/APSRs with the Child and Family Services Reviews (CFSRs)

The 2015-2019 CFSP was used to align the work conducted under the CFSP with the Child and Family Services Reviews (CFSRs). The CFSR is the process the Children's Bureau uses to conduct periodic reviews of state child welfare systems. After a CFSR is completed, states develop a Program Improvement Plan (PIP) to address areas in their child welfare services that need improvement. The Children's Bureau continues to work with states to align the CFSP/APSR, CFSR and the PIP process, and other program and services to achieve measurable progress to improve outcomes for children and families.

A core component of the CFSP/APSR and CFSR process is the collaboration and coordination by the child welfare agency with partners, tribes, courts and other stakeholders. CBCAP SLA's

should be aware of the overall goals and strategies of the child welfare agency and SLA's may have similar goals that they are developing for their programs.

Additionally, as states develop their CFSR PIP, other CB SLA's might be identified to participate in these program improvements.

The Children's Bureau Regional Office and Central Office staff can assist grantees in making connections to improve collaboration and coordination to improve services for children and families.

In addition, states are now also required to report information on services to specialized populations. CBCAP grantees may be serving or targeting services to a similar population under these requirements:

- *Populations at Greatest Risk of Maltreatment (section 432(a)(10) of the SSA).*  
The child welfare agency must identify the populations at greatest risk of maltreatment. Annually, they must also describe the activities the state has undertaken since the submission of the 2015-2019 CFSP to target services to these populations.
- *Services for Children Under the Age of Five (section 422(b)(18) of the SSA).*  
The child welfare agency must describe the activities the state has undertaken to reduce the length of time that young children under age five are in foster care without a permanent family. (*Note: CB understands this requirement to apply to all children under age 5 in foster care regardless of the child's permanency plan, legal status or placement status.*) While CBCAP focuses on prevention, many states have overarching efforts to provide developmentally appropriate services to all children under the age of 5. CBCAP SLA's can help states describe the activities undertaken to provide developmentally appropriate services to this population.
- *Services for Children Adopted from Other Countries (section 422(b)(11) of the SSA).*  
The child welfare agency must describe the activities that the state has undertaken to support the families of children adopted from other countries and includes the provision post-adoption supports. CBCAP SLA's may be working with this population.
- *Parenting Young Adults in or formerly in Foster Care*  
A significant number of young adults ages 18-22 who were in foster care are pregnant or parenting. Based on youth outcome survey data reported to the National Youth in Transition Database (NYTD), 10 percent of young women reported having given birth to a child by age 17. At age 19, 17 percent of young women reported having had a child within the prior two years. Many CBCAP SLA's may be serving this population of young parents and children youth and these services should be aligned with the states' CFCIP to assure coordination and effective use of resources. Information about the state's plan can be found as part of the 2015-2019 CFSP or subsequent APSRs.

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

- CBCAP SLA's and/or members of their prevention network can become more active participants in various stakeholder meetings and planning committees related to the Child and Family Services Plan (CFSP)/Annual Progress and Services Report (APSR). Review the goals and objectives of the 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. Each ACF Regional Office can facilitate this process.
- CBCAP SLA's can provide consultation to child welfare agencies around strategies for infusing family support and prevention principles into on-going child welfare practice.
- CBCAP SLA's can use the relevant sections of the CFSP that pertains to prevention programs as part of the required description of the inventory of unmet needs in the state.
- CBCAP SLA's can incorporate the relevant goals and objectives contained in the state's CFSP/APSR in their overall prevention plan, as well as encourage a stronger emphasis on prevention-related goals.
- CBCAP SLA's can work with child welfare agencies 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 SLA's 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 or Promoting Safe and Stable Families programs, contact Catherine Heath at [catherine.heath@acf.hhs.gov](mailto:catherine.heath@acf.hhs.gov).

**ATTACHMENT 6: Governor's 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 inter-disciplinary 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.

\_\_\_\_\_  
(Signature of Governor)

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

OMB Control # 0970-0155 (Expires 08/31/2018)



**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 FFY 2017 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
\$				
\$				
\$				
<p><b><u>INCENTIVE CLAIM ASSURANCE:</u></b> 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 <u>budgeted and spent</u> in FFY 2016 (i.e. 10/1/15 – 9/30/16) 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 <u>not</u> eligible to be claimed.</p>				
<b><u>TOTAL CLAIM</u></b>	<p><b>PREPARED BY:</b>                  (Fiscal Agent) (Date)</p> <p><b>SUBMITTED BY:</b>                  (Lead Agency Authority) (Date)</p>			

## 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 Installments (5/2016-9/2016)	9/1/16	Tax Check offs/Private 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	12/1/15	9/1/16	State Appropriation	129 (one per county) School-based Parent Education programs for young & single parents
\$ 50,000.00	11/9/15	5/19/16	Foundation Gift (United Way)	5 training programs (one in each geographic region) to recruit & train parents as community interagency leaders/partners.
<p><b><u>INCENTIVE CLAIM ASSURANCE:</u></b> 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 <b><u>budgeted and spent</u></b> in FFY 2016 (i.e. 10/1/15 – 9/30/16) 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 <b><u>not</u></b> eligible to be claimed.</p>				
<p><b><u>TOTAL CLAIM</u></b></p> <p>\$ 1,587,948.00</p>	<p><b>PREPARED BY:</b> (Fiscal Agent) (Date)</p> <p><b>SUBMITTED BY:</b> (Lead Agency Authority) (Date)</p>			

## 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 date 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 percent (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 percent of the grant award. (**Note:** There is no requirement to include more than a 20 percent 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 2015 as part of their leveraged funds claim for their Federal Fiscal Year 2016 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 FFY 2016 and FFY 2017.**

**ATTACHMENT 9:**

**Tentative Population Allocation of CBCAP Funds – FFY 2017**

**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 percent formula figure, census figures available; and an assumption that each of the Territories will receive the base amount 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 FFY2005. 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 percent 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, 2017. 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 percent, if the excess amount meets the 20 percent requirement of the final grant award, such states do not need to submit budget amendments.

ALABAMA	\$ 353,878	MONTANA	\$ 200,000
ALASKA	\$ 200,000	NEBRASKA	\$ 200,000
AMERICAN SAMOA	\$ 200,000	NEVADA	\$ 214,593
ARIZONA	\$ 520,429	NEW HAMPSHIRE	\$ 200,000
ARKANSAS	\$ 226,181	NEW JERSEY	\$ 640,998
CALIFORNIA	\$2,924,968	NEW MEXICO	\$ 200,000
COLORADO	\$ 403,126	NEW YORK	\$1,350,359
CONNECTICUT	\$ 245,025	NORTH CAROLINA	\$ 734,558
DELAWARE	\$ 200,000	NORTH DAKOTA	\$ 200,000
DC	\$ 200,000	N. MARIANA ISLANDS	\$ 200,000
FLORIDA	\$1,316,466	OHIO	\$ 842,921
GEORGIA	\$ 803,058	OKLAHOMA	\$ 308,284
GUAM	\$ 200,000	OREGON	\$ 276,708
HAWAII	\$ 200,000	PENNSYLVANIA	\$ 862,739
IDAHO	\$ 200,000	PUERTO RICO	\$ 236,473
ILLINOIS	\$ 948,811	RHODE ISLAND	\$ 200,000
INDIANA	\$ 506,513	SOUTH CAROLINA	\$ 350,059
IOWA	\$ 233,716	SOUTH DAKOTA	\$ 200,000
KANSAS	\$ 230,753	TENNESSEE	\$ 480,266
KENTUCKY	\$ 324,430	TEXAS	\$2,312,729
LOUISIANA	\$ 357,507	UTAH	\$ 292,627
MAINE	\$ 200,000	VERMONT	\$ 200,000
MARYLAND	\$ 432,360	VIRGINIA	\$ 599,822
MASSACHUSETTS	\$ 444,822	VIRGIN ISLANDS	\$ 200,000
MICHIGAN	\$ 707,856	WASHINGTON	\$ 516,899
MINNESOTA	\$ 411,888	WEST VIRGINIA	\$ 200,000
MISSISSIPPI	\$ 233,092	WISCONSIN	\$ 415,171
MISSOURI	\$ 446,230	WYOMING	\$ 200,000

**ATTACHMENT 10:**  
**Regional Office Contacts for CBCAP**

**REGION I**

Bob Cavanaugh  
JFK Federal Building; Room 2000  
Boston, MA 02203  
Phone: 617-565-1020  
Email: [bob.cavanaugh@acf.hhs.gov](mailto:bob.cavanaugh@acf.hhs.gov)

Connecticut  
Rhode Island  
Vermont  
New Hampshire

**REGION II**

Alfonso Nicholas  
26 Federal Plaza; Room 4114  
New York, NY 10278  
Phone: 212-264-2890 ext. 145  
Email: [alfonso.nicholas@acf.hhs.gov](mailto:alfonso.nicholas@acf.hhs.gov)

New Jersey  
New York  
Puerto Rico  
Virgin Islands

**REGION III**

Lisa Pearson  
150 S. Independence Mall West; Suite 864  
Philadelphia, PA 19106  
Phone: 215-861-4030  
Email: [lisa.pearson@acf.hhs.gov](mailto:lisa.pearson@acf.hhs.gov)

Delaware  
Washington, D.C.  
West Virginia  
Maryland  
Pennsylvania  
Virginia

**REGION IV**

Shalonda Cawthon  
61 Forsyth Street, SW  
Suite 4M60  
Atlanta, GA 30303  
Phone: 404-562-2242  
Email: [shalonda.cawthon@acf.hhs.gov](mailto:shalonda.cawthon@acf.hhs.gov)

Florida  
Georgia  
Mississippi  
North Carolina  
South Carolina  
Tennessee

Kentucky

**REGION V**

Kendall Darling  
233 N. Michigan Avenue; Suite 400  
Chicago, IL 60601  
Phone: 312-353-9672  
Email: [kendall.darling@acf.hhs.gov](mailto:kendall.darling@acf.hhs.gov)

Illinois  
Minnesota  
Ohio  
Wisconsin  
Indiana  
Michigan

## REGION VI

Janis Brown  
1301 Young Street; Room 945  
Dallas, TX 75202-5433  
Phone: 214-767-8466  
Email: [janis.brown@acf.hhs.gov](mailto:janis.brown@acf.hhs.gov)

Arkansas  
Texas  
Louisiana  
New Mexico  
Oklahoma

## REGION VII

Deborah Smith  
601 E. 12th Street; Room 349  
Kansas City, MO 64106  
Phone: 816-426-2262  
Email: [deborah.smith@acf.hhs.gov](mailto:deborah.smith@acf.hhs.gov)

Iowa  
Kansas  
Missouri  
Nebraska

## REGION VIII

Marilyn Kennerson  
1961 Stout Street, 8<sup>th</sup> Floor  
South Terrace, 4<sup>th</sup> Floor  
Denver, CO 80294-3538  
Phone: 303-844-1163  
Email: [marilyn.kennerson@acf.hhs.gov](mailto:marilyn.kennerson@acf.hhs.gov)

Colorado  
South Dakota  
Utah  
Wyoming  
North Dakota  
Montana

## REGION IX

Debra Samples  
90 7th Street- Ste 9-300  
San Francisco, CA 94103  
Phone: 415-437-8626  
E-mail: [debra.samples@acf.hhs.gov](mailto:debra.samples@acf.hhs.gov)

Arizona  
California  
Nevada  
Hawaii

## REGION X

Tina Naugler  
Blanchard Plaza  
2201 Sixth Avenue; Suite 300, MS070  
Seattle, WA 98121  
Phone: 206-615-3657  
Email: [tina.naugler@acf.hhs.gov](mailto:tina.naugler@acf.hhs.gov)

Alaska  
Idaho  
Oregon  
Washington