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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 Office on Child Abuse and Neglect</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 fiscal year (FY) 2019 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.).
- PURPOSES:** The purpose of this Program Instruction (PI) is to: (1) set forth the requirements for recipients of Community-Based Grants for the Prevention of Child Abuse and Neglect awards for FY 2019; and (2) provide guidance and instructions for the preparation and submission of the application and annual reports.

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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 enactment of the Community-Based Family Resource and Support Grants (CBFRS) legislation, Title II of CAPTA, in 1996, 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.

CBFRS was reauthorized in 2003, as part of the Keeping Children and Families Safe Act 2003. 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. The legislation also stressed the importance of establishing parent leaders, including parents of children with disabilities, parents with disabilities, racial and ethnic minorities, and members of other underrepresented or underserved groups. 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. Title II of CAPTA, as amended by P.L. 115-271, can be viewed here:

<https://www.acf.hhs.gov/cb/resource/capta>.

The Children's Bureau (CB) oversees the implementation of CBCAP programs and supports state efforts to change and reform systems for child welfare services. This includes a vision of a child welfare system that supports families and strengthens communities in ways that will prevent initial acts of harm to children and allow children to remain safe with their families and in their communities. In the existing child welfare approach, however, the majority of services are provided after abuse and neglect occur. As a result, most resources are directed toward children in out-of-home care, reunification, adoption, or another permanency option, rather than on primary prevention of child abuse and neglect. CB has prioritized efforts to support state and local child welfare agencies to focus more on strengthening families and preventing child maltreatment and views CBCAP state lead agencies as critical partners in these efforts.

The authorizing legislation and CB continue to recognize that individual child abuse and neglect prevention programs cannot stand alone—they are part of a larger community, state and national system of care for families, of which efforts to strengthen families to prevent child maltreatment must be a key component. CB encourages cross sector collaboration between child welfare, CBCAP grantees, the courts, other family serving agencies and non-traditional partners, as well as youth, parents, caregivers and others with lived experiences, to identify strategies that best support families, strengthen communities and prevent child maltreatment. 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 and communities.

CB further promotes practice principles believed to support improved outcomes for children and families. These principles include family-centered social work practice, community-based services, individualized responses to address the unique needs of children and families, and strengthening protective factors to enhance the well-being of children and their families. 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, services and resources that strengthen community capacity to address the basic and unique needs of families, build protective factors, and contribute to the healthy, positive, and productive functioning of children and youth into adulthood.

The CBCAP program has been actively working to promote and support the use of evidence-based and evidence-informed programs and practices that effectively strengthen families and prevent child abuse and neglect. This includes efforts to improve the evaluation capacity of the states and communities to assess the progress of their programs and collaborative networks in enhancing the safety and wellbeing of children and families. 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).

Furthermore, youth, parents, caregivers and community leaders have a critical role in developing, implementing and evaluating community-based prevention services, as well as in identifying supports and resources that will effectively improve outcomes for children and families. Child

safety and well-being is best supported when federal, state, and local community agencies and stakeholders collaborate with youth, parents and others with lived experiences to better coordinate programs and services, and are responsive to the needs of all families.

## **A. PROGRAM PURPOSE**

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.

## **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 September 28 2018, the Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 and Continuing Appropriations Act, 2019 (P.L. 115-245) made available \$39,366,360 for the CBCAP program in FY 2019.

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 FY 2019 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 FY 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., FY 2018, 10/1/17 to 9/30/18). 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.

**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.

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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.

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 strengthen families, 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 community-based resources that will integrate existing services to address unmet needs that have been identified in the state. There are a range of programs that the CBCAP program 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 community-based prevention and family support programs should leverage existing services and programs within the state and communities. These include:

- child welfare,
- courts
- early childhood,
- child care,
- education, vocational rehabilitation,
- disability,
- physical health,
- mental health,
- substance use disorder treatment,
- job readiness,
- self-sufficiency,
- child and family development,
- community action,
- juvenile justice,
- domestic violence prevention,
- youth development,
- housing,
- faith- and community-based organizations,
- healthy marriage,
- fatherhood, and
- other health and human service organizations.



Please see Attachment 3 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 family reunification services), and adoption promotion and 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 Child and Family Services Plan (CFSP), a comprehensive five-year strategic plan that sets forth the vision and the goals to be accomplished to strengthen the states' overall child welfare system (section 432(a)(2) of the Act). States are currently developing the new Child and Family Services Plan (CFSP) for FYs 2020-2024, due June 30, 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 Act, and the Chafee Foster Care Program for Successful Transition to Adulthood (Chafee) and the Education and Training Voucher programs for older youth and/or young adults formerly in foster care, into a continuum of services for children and their families. The CFSP is closely aligned with the activities states have outlined as part of their vision to reorient child welfare to focus on strengthening families through prevention at the community level and to operationalize a shared vision across the broader child welfare system. The CFSP is also linked to the program improvement efforts occurring based on the state's performance on their last Child and Family Services Review (CFSR). The resulting activities to improve the outcomes for children and families are outlined in the state's CFSR Program Improvement Plan (PIP) and should be aligned with the overarching work of the CFSP.

The CFSP 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 must also submit an Annual Progress and Services Report (APSR) to ACF that outlines progress on the CFSP. CBCAP programs can play a key role in providing input into the

development of the CFSP and APSR. Coordination between the state’s CFSP/APSR process and the development and operation of the CBCAP program are greatly encouraged. Please see Attachment 4 for some suggested ways in which CBCAP lead agencies can partner with the child welfare agency on these planning efforts.

In addition, state lead agencies are also encouraged to seek out opportunities to learn more about efforts to implement services and requirements authorized through the Family First Prevention and Services Act (FFPSA) (enacted as part of the Bipartisan Budget Act of 2018, P.L. 115-123), in particular electing Title IV-E Prevention and Family Services and Programs and implementing Kinship Navigator programs. Please see Attachment 4 for more information on FFPSA.

## **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”.

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 FY 2019 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

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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].”

community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (section 202(1)(A)).

The designation of a lead entity by the Governor should be based on a determination that the entity is the most appropriate organization to accomplish both the child abuse and neglect prevention activities and the family strengthening and support goals of the CBCAP program. That determination should be based on the demonstrated ability of the entity to: (1) integrate child abuse and neglect prevention services and activities; and (2) leverage and blend state, federal and private funds at the local level for these activities.

## **B. LEAD AGENCY ELIGIBILITY**

### **1. Lead Entity Requirements:**

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

- (a) Be an existing public, quasi-public, or nonprofit private entity that exists to strengthen and support families to prevent child abuse and neglect;<sup>5</sup>
- (b) Demonstrate the ability to work with other state and community-based agencies to provide training and technical assistance; and
- (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:**

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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.

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
- 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 2020
- 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:

Jerry Milner  
Associate Commissioner  
Children's Bureau  
330 C Street SW, 3<sup>rd</sup> Floor, Room 3046  
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 FY 2019 (i.e., October 1, 2018 – September 30, 2019) funding under the CBCAP program must include the following documentation by the Governor:

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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).

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 5 in this PI.<sup>8</sup>

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

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

1. Community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect 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

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<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 5 and 6.

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 inter-disciplinary service delivery mechanisms; (section 202(3)(C)) and
7. Integration of its efforts with individuals and organizations experienced in working in partnership with families with children with disabilities, parents with disabilities and with the child abuse and neglect prevention activities of the state, and a financial commitment to those activities; (section 202(3)(D)).

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

#### **E. LEAD AGENCY ASSURANCES**

The authorized official of the lead agency designated by the 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, 2020** (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 FY grant period on January 30<sup>th</sup> 2020** (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 5.

## **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 FY 2019 is FY 2018 (i.e., **October 1, 2017 - September 30, 2018**).

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 **FY 2018** (i.e., **October 1, 2017 - September 30, 2018**);
- (b) Directed through the CBCAP lead agency for FY 2018; and
- (c) Budgeted and spent during **FY 2018** 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

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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.



and fiscal authority for the lead agency verifying the authenticity of the submitted claim.

## **G. ADDITIONAL APPLICATION REQUIREMENTS**

### **1. Budget, Including State's 20 Percent Cash Match**

Each state application must include a budget for the development, operation and expansion of the community-based and prevention-focused programs and activities that verifies that the state will expend in non-federal funds an amount equal to not less than 20 percent of the amount received under this Title (in cash, not in-kind) for activities under this title; (section 204(4)). The budget should be presented in a format that clearly displays line-item expenditures for both the federal and non-federal funds.

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 8 includes a table showing an estimate of the amount each state will receive based on population. Within 30 days of receipt of the Grant Award Letter, the lead agency must submit an amended budget to reflect a 20 percent match of the full amount of the grant award.

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

### **2. Description of the Lead Agency'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, and 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 to strengthen and enhance the well-being of families to prevent child maltreatment. 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. Please describe involvement in the development of the CFSP or the implementation of the CFSR PIP, as applicable, including any efforts to reorient child welfare to focus on strengthening families through prevention at the community level and to operationalize a shared vision across the broader child welfare system. 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 programs. 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 3 and 4 for a list of potential federal, state and local programs who may be strong partners for strengthening families and child maltreatment prevention efforts.

## 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 solicitations (e.g. Request for Proposals) 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 efforts 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 strengthen families and prevent 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 will 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 that 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 2020. This section should also describe other public awareness and education efforts planned during FY 2020.

#### 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 FY grant period – January 30, 2020**) 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 development and oversight of the CFSP/APSR and CFSR PIP, early childhood systems building, and other related interagency collaboration activities, as appropriate (see Attachment 4), to include any efforts by the state to move the child welfare system to focus more on prevention;
  - 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 and the description shall specify whether those services are supported by research (section 206(2));
- 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 (children and parent/caregivers) 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 2);

- 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 (i.e., challenges or barriers) that impacted the ability of the CBCAP lead agency to implement its proposed plans in the last reporting period.

## **I. CERTIFICATIONS**

### Certification Regarding Lobbying and Disclosure of Lobbying Activities Forms

Pursuant to 45 CFR Part 93, the Certification Regarding Lobbying Form (see [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)) must be signed and submitted with the state's CBCAP program application. If applicable, a Standard Form LLL (see [https://www.acf.hhs.gov/sites/default/files/orr/disclosure\\_of\\_lobbying\\_activities\\_sf\\_III.pdf](https://www.acf.hhs.gov/sites/default/files/orr/disclosure_of_lobbying_activities_sf_III.pdf)), which discloses lobbying activities, also must be submitted.

No additional forms are needed for the certification listed above.

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

The signed original FY 2019 application and all attachments must be submitted to the Federal Project Officers by **June 14, 2019**. FY 2018 annual progress reports must be submitted by **January 30, 2020**. 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 9).

## **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 14, 2019**.

## **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 <https://www.ecfr.gov/cgi-bin/text-idx?node=pt45.1.75> for more information on 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 FY 2019 funds must be obligated by September 30, 2021. 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 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 FY. 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:**

- **Funding (Project) Period/Obligation Deadline (10/01/2018 -09/30/2021).** 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 (i.e., interim reports) are due no later than 90 days after September 30<sup>th</sup> of each year. Final Financial Status Reports (cumulative, covering the entire 3-year project period) **are due 90 days after the end of the FY grant period (i.e., December 29<sup>th</sup> of each year).**
- **Liquidation Deadline (12/29/2021).** All obligated Federal funds awarded under this grant must be liquidated no later than 90 days after the end of the funding/obligation period (i.e., December 29 following the end of Federal Fiscal Year 3). Any Federal funds from this award not liquidated by this date will be recouped by this Department.
- **Federal Financial Reporting System. Form SF-425, "Federal Financial Report."** SF-425 reports will 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. Questions related to fiscal reporting and other administrative requirements should be directed to the assigned Grants Management Specialist identified in your Notice of Award.

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 **March 31, 2021** 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

/s/

**H. EFFECTIVE DATE  
Upon Issuance**

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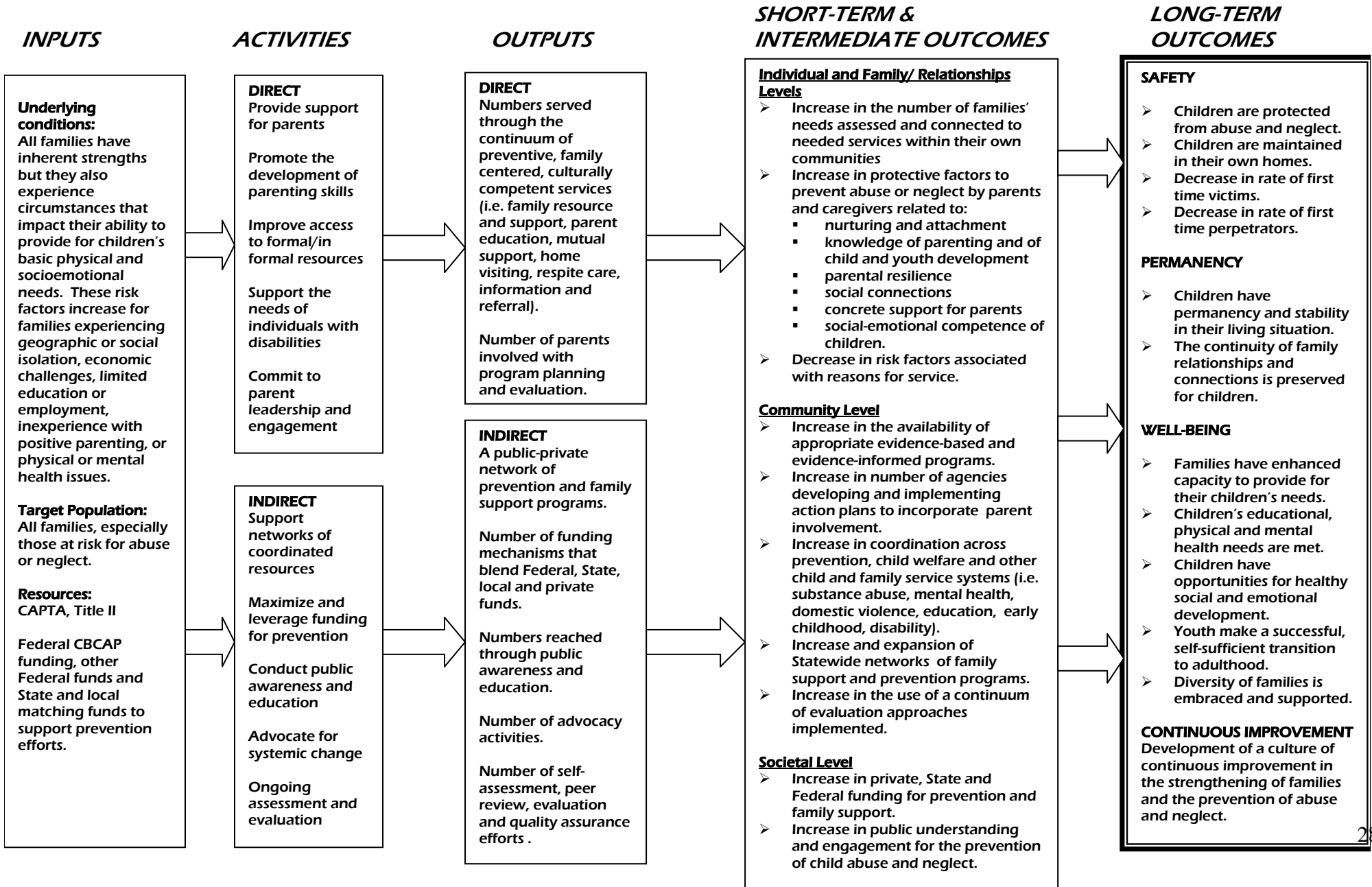
Jerry Milner  
Associate Commissioner  
Children's Bureau

## **PART V: ATTACHMENTS**

- Attachment 1: CBCAP Conceptual Framework
- Attachment 2: CBCAP Annual Report Participant Numbers Guidelines
- Attachment 3: List of Programs for Potential Coordination and Collaboration With CBCAP
- Attachment 4: Coordination and Collaboration with the PIP and CFSP/APSR Processes
- Attachment 5: Governor Assurance Statement
- Attachment 6: State Lead Agency Assurance Statement
- Attachment 7: 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: CBCAP Annual Report Numbers Guidelines

CBCAP Annual Report Participant Numbers Reporting Guidelines	
	DATA
<b>Table</b>	<b>CHARACTERISTICS</b>
<b>I.</b>	<b>Children, Parents/Caregivers and Families Who Received Preventive Direct Services</b>
	From the State During the Year – FY2019 Community-Based Child Abuse Prevention Program (CBCAP) Grant
SUMMARY DATA DEFINITION	
<p>Preventive direct services under CBCAP are beneficial activities aimed at preventing child abuse and neglect. Such activities may be directed at the general population or specific populations identified as being increased risk of abusing or neglecting their children. The primary focus of these activities are to better strengthen and support families by increasing protective factors and reducing the risk factors that can reduce the likelihood of abuse or neglect. The 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 – FY2019 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 and children, individually) 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 the number of 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 – FY2019 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 advertisements, newsletter mailings, 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 advertisements, 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 3:**

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

The information provided in this attachment includes descriptions of programs, services, and initiatives that may have similar target audiences, purposes or goals as the state CBCAP programs. CBCAP lead agencies are encouraged to review the information provided on the programs to consider opportunities to collaborate to enhance the continuum of prevention services and resources that strengthen and support families and communities. CBCAP lead agencies who are currently partnering with the programs, services and initiatives below should include information on the collaborations in their applications and annual reports.

#### **Federal Programs and Agencies for Potential Collaboration**

##### **Administration for Community Living**

The U.S. Department of Health and Human Services' Administration for Community Living advocates across the federal government for older adults, people with disabilities, and families and caregivers; funds services and supports provided primarily by states and networks of community-based programs; and invests in training, education, research, and innovation. We manage a variety of programs that provide assistance on health and wellness, protecting rights and preventing abuse, supporting consumer control, strengthening the networks of community-based organizations, funding research, and much more. For more information on this program, visit their website at <https://www.acl.gov/programs>.

##### **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), a multibillion-dollar federal and state partnership administered by OCC to promote family economic self-sufficiency and to help children succeed in school and life through affordable, high-quality early care and afterschool programs. 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>.

##### **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 <https://www.acf.hhs.gov/css/grants/grant-updates-results/access-and-visitation-mandatory-grants>.

##### **Early Childhood Comprehensive Systems (ECCS) Program**

Early Childhood Comprehensive Systems, funded by MCHB since 2003, are partnerships between interrelated and interdependent agencies/organizations representing physical and mental health, social services, families and caregivers, and early childhood education to develop



seamless systems of care for children from birth to kindergarten entry. Using a [Collaborative Innovation and Improvement Network \(CoIIN\)](#) approach, the Early Childhood Comprehensive Systems Impact (ECCS Impact) grant program works to enhance early childhood systems building and demonstrate improved outcomes in population-based children's developmental health and family well-being indicators. Additionally, these grants develop collective impact expertise, and implement and sustain efforts at the state, county and community levels. For more information, visit <https://mchb.hrsa.gov/earlychildhoodcomprehensivesystems>

### **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/>.

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

Head Start is a federal program for infants, toddlers and preschool children from low-income families. Head Start programs prepare America's most vulnerable young children to succeed in school and in life beyond school. To achieve this, Head Start programs deliver services to children and families in core areas of early learning, health, and family well-being while engaging parents as partners every step of the way.

Head Start encompasses Head Start preschool programs, which primarily serve 3- and 4-year-old children, and Early Head Start programs for infants, toddlers, and pregnant women. Head Start services are delivered nationwide through 1,600 agencies which tailor the federal program to the local needs of families in their service area. For more information, visit the Early Childhood Learning and Knowledge Center at <https://eclkc.ohs.acf.hhs.gov/>.

### **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 that target the needs of low income or at-risk expectant and new mothers and their children and support: access to quality health care; health promotion efforts that seek to reduce infant mortality and the incidence of preventable diseases, and to increase the number of children appropriately immunized against disease; access to comprehensive prenatal and postnatal care for women; an increase in health assessments and follow-up diagnostic and treatment services; access to preventive and child care services as well as rehabilitative services for children in need of specialized medical services; family-centered, community-based systems of coordinated care for children with special healthcare needs; and toll-free hotlines and assistance in applying for services to pregnant women with infants and children who are eligible for Title XIX (Medicaid). For more information, visit <https://mchb.hrsa.gov/maternal-child-health-initiatives/title-v-maternal-and-child-health-services-block-grant-program>.

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

The Social Services Block Grant (SSBG) is a flexible funding source that allows states and territories to tailor social service programming to their population's needs. Through the SSBG states provide essential social services that help achieve a myriad of goals to reduce dependency and promote self-sufficiency; protect children and adults from neglect, abuse and exploitation; and help individuals who are unable to take care of themselves to stay in their homes or to find the best institutional arrangements. For more information, visit <http://www.acf.hhs.gov/programs/ocs/programs/ssbg>.

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

The Temporary Assistance for Needy Families (TANF) program is designed to help needy families achieve self-sufficiency. States receive block grants to design and operate programs that accomplish one of the purposes of the TANF program. The purposes of the TANF program are to provide assistance to needy families so that children can be cared for in their own homes; reduce the dependency of needy parents by promoting job preparation, work and marriage; prevent and reduce the incidence of out-of-wedlock pregnancies; and encourage the formation and maintenance of two-parent families. 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 <https://www.acf.hhs.gov/ofa/programs/tanf>.

### **Office on Trafficking in Persons**

The Office on Trafficking Persons (OTIP) develops anti-trafficking strategies, policies, and programs to prevent human trafficking; builds health and human service capacity to respond to human trafficking; increases victim identification and access to services; and strengthens health and well-being outcomes for survivors of human trafficking. Services and resources provided by OTIP include Anti-Trafficking in Persons grants, National Human Trafficking Hotline, a Resource Guide for service providers, and the Trafficking Victim Assistance Program. For more information on OTIP, visit <https://www.acf.hhs.gov/otip>.

### Community-Based Programs for Potential Collaboration

#### **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 <https://www.hhs.gov/about/agencies/iea/partnerships/about-the-partnership-center/index.html>.

#### **Respite Care Programs**

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)). For information about these programs in your State, visit the ARCH National Respite and Resource Center website at <http://www.archrespite.org>.

### Federal Guidance and Legislation that May Promote Collaboration

#### **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) outlines CAPTA requirements relating to substance exposed newborns. Specifically, 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>.

**The Family First Prevention Services Act within Division E, Title VII of the Bipartisan Budget Act of 2018** (ACYF-CB-IM-18-02). The purpose of this Information Memorandum is to inform States and Tribes of the enactment of the Family First Prevention Services Act (FFPSA) and provide basic information on the new law. For more information, visit: <https://www.acf.hhs.gov/sites/default/files/cb/im1802.pdf>.

#### **Public Law 115-123, the Family First Prevention Services Act**

(ACYF-CB-PI-18-07) This Program Instruction (PI) provides instruction for: 1) changes to the title IV-E plan requirements as a result of the Family First Prevention Services Act that are effective as of January 1, 2018 and later; and 2) delayed effective dates for title IV-B/E plan requirements. For more information, visit: <https://www.acf.hhs.gov/cb/resource/pi1807>

#### **Requirements for Participating in the Title IV-E Kinship Navigator Program**

(ACYF-CB-PI-18-11) FFPSA allows title IV-E agencies to receive funding for kinship navigator programs that meet certain criteria. The purpose of this PI is to instruct title IV-E agencies on the requirements for participating in the Title IV-E Kinship Navigator Program. For more information, visit: <https://www.acf.hhs.gov/cb/resource/pi1811>.

#### **Reshaping child welfare in the United States to focus on strengthening families through primary prevention of child maltreatment and unnecessary parent-child separation**

(ACYF-CB-IM-18-05) The purpose of this Information Memorandum (IM) is to strongly encourage all child welfare agencies and CB grantees to work together with the courts and other appropriate public and private agencies and partners to plan, implement and maintain integrated primary prevention networks and approaches to strengthen families and prevent maltreatment and the unnecessary removal of children from their families. It also includes examples of particularly effective or promising approaches, programs and services that other child welfare

agencies may consider in their efforts to strengthen and support families and children. For more information, visit: <https://www.acf.hhs.gov/sites/default/files/cb/im1805.pdf>.

**State Requirements for Electing Title IV-E Prevention and Family Services and Programs** (ACYF-CB-PI-18-09). FFPSA authorized new optional title IV-E funding for time-limited (one year) prevention services for mental health/substance abuse and in-home parent skill-based programs for: 1) a child who is a candidate for foster care (as defined in section 475(13) of the Act), 2) pregnant/parenting foster youth, and 3) the parents/kin caregivers of those children and youth (sections 471(e), 474(a)(6), and 475(13) of the Act). The purpose of this Program Instruction is to instruct state title IV-E agencies on the title IV-E prevention program requirements. For more information, visit:

<https://www.acf.hhs.gov/sites/default/files/cb/pi1809.pdf>.

## ATTACHMENT 4:

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

#### 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. A new CFSP is due on June 30, 2019 establishing a plan for fiscal years 2020-2024. 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 Act, and the Chafee Foster Care Program for Successful Transition to Adulthood (Chafee) and the Education and Training Voucher programs for older youth 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.

The CFSP provides states an opportunity to promote program planning and improvement efforts as vehicles for change. In alignment with efforts to reorient child welfare to focus on strengthening families through prevention at the community level, CB is encouraging states to partner with stakeholders, including the CBCAP SLA, and use the CFSP as a roadmap to create a shared vision that is reflective of CB's priorities. The CFSP offers CBCAP programs opportunity to play a key role as active participants in providing input into this process.

#### 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.

#### Alignment of CFSP/APSRs 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. CBCAP grantees are specifically highlighted in the State APSR Program Instruction as an important resource with whom child welfare agencies should collaborate to strengthen prevention activities. CBCAP lead agencies should be aware of the overall goals and strategies of the child welfare agency and SLAs may have similar goals that they are developing for their programs.

Additionally, as states develop their CFSR PIP, other CB lead agencies 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. 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:

- *Services for Children Adopted from Other Countries (section 422(b)(11) of the Act)*  
The child welfare agency must describe the activities that the state plans to take over the next five years to support children adopted from other countries, including the provision of adoption and post-adoption supports.
- *Services for Children Under the Age of Five (section 422(b)(18) of the Act)*  
The child welfare agency must describe the activities the state plans to undertake over the next five years to reduce the length of time young children under the age of five are in foster care without a permanent family, and to address the developmental needs of all vulnerable children under five years of age.
- *Populations at Greatest Risk of Maltreatment (section 432(a)(10) of the Act)*  
The child welfare agency must identify and describe which populations are at the greatest risk of maltreatment, how the state identifies these populations and how services will be targeted to those populations over the next five years.
- *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 the current 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, 14 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 CFSP/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, in particular related to strategic planning and the development of a shared vision to reorient child welfare to focus on strengthening families through prevention at the community level.
- 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. All state agencies receiving the CAPTA State Grant have provided a Governor's assurance that the state has triage procedures, including the use of differential response, for the appropriate referral of a child not at risk of imminent harm to a community organization or voluntary preventive service (section 106(b)(2)(B)(v) of CAPTA, as amended).

For more information about CAPTA state grants or Promoting Safe and Stable Families programs, contact Catherine Heath at [catherine.heath@acf.hhs.gov](mailto:catherine.heath@acf.hhs.gov).

**ATTACHMENT 5: 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 03/31/2021)



**ATTACHMENT 6: 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 7: Leveraged Funds Worksheet with Example Worksheet and Guidance**  
**for Differentiation Between Leveraged and Match Funds**

**LEVERAGED FUNDS WORKSHEET for FY 2019 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 in FY 2018 (i.e., 10/1/17 – 9/30/18)</u> 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 eligible to be claimed.</u></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 (5/2017-9/2017)	9/1/18	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	12/1/17	9/1/18	State Appropriation	129 (one per county) School-based Parent Education programs for young & single parents
\$ 50,000.00	11/9/17	5/19/18	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 FY 2018 (i.e., 10/1/17 – 9/30/18) 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 eligible to be claimed.</u></b></p>				
<p><b><u>TOTAL CLAIM</u></b> \$ 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 (FY), 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 2018 as part of their leveraged funds claim for their Federal Fiscal Year 2019 application, as long as this money is not leveraged to claim for any other source of federal funds, the funds were directed through the lead agency, and the lead agency has remained the same for FY 2018 and FY 2019.**

**ATTACHMENT 8:**

**Tentative Population Allocation of CBCAP Funds – FY 2019**

**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 FY2005. Future years' base allowances will be subject to the availability of funds.

For purposes of submitting the application, each state may use this amount when calculating its budget and determining the 20 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, 2019. 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	\$ 327,171	MONTANA	\$ 200,000
ALASKA	\$ 200,000	NEBRASKA	\$ 200,000
AMERICAN SAMOA	\$ 200,000	NEVADA	\$ 202,070
ARIZONA	\$ 486,657	NEW HAMPSHIRE	\$ 200,000
ARKANSAS	\$ 210,310	NEW JERSEY	\$ 592,031
CALIFORNIA	\$2,712,309	NEW MEXICO	\$ 200,000
COLORADO	\$ 376,254	NEW YORK	\$1,247,018
CONNECTICUT	\$ 224,700	NORTH CAROLINA	\$ 685,685
DELAWARE	\$ 200,000	NORTH DAKOTA	\$ 200,000
DC	\$ 200,000	N. MARIANA ISLANDS	\$ 200,000
FLORIDA	\$1,236,922	OHIO	\$ 779,184
GEORGIA	\$ 749,168	OKLAHOMA	\$ 286,844
GUAM	\$ 200,000	OREGON	\$ 259,132
HAWAII	\$ 200,000	PENNSYLVANIA	\$ 797,867
IDAHO	\$ 200,000	PUERTO RICO	\$ 207,572
ILLINOIS	\$ 872,829	RHODE ISLAND	\$ 200,000
INDIANA	\$ 469,941	SOUTH CAROLINA	\$ 327,409
IOWA	\$ 217,970	SOUTH DAKOTA	\$ 200,000
KANSAS	\$ 213,263	TENNESSEE	\$ 447,970
KENTUCKY	\$ 301,460	TEXAS	\$2,175,902
LOUISIANA	\$ 332,280	UTAH	\$ 274,956
MAINE	\$ 200,000	VERMONT	\$ 200,000
MARYLAND	\$ 332,280	VIRGINIA	\$ 557,839
MASSACHUSETTS	\$ 411,074	VIRGIN ISLANDS	\$ 200,000
MICHIGAN	\$ 653,570	WASHINGTON	\$ 486,063
MINNESOTA	\$ 384,297	WEST VIRGINIA	\$ 200,000
MISSISSIPPI	\$ 215,153	WISCONSIN	\$ 384,106
MISSOURI	\$ 413,687	WYOMING	\$ 200,000

**ATTACHMENT 9:**  
**Regional Office Contacts for CBCAP**

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