

CHILD ABUSE AND NEGLECT GRANTS PROGRAM FY 1978

47443





DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

MAY 19 1978

NCJRS

MAY 30 1978

Dear Applicant:

Thank you for your interest in the Child Abuse and Neglect Grants Program of the Administration for Children, Youth and Families.

ACQUISITIONS

In response to your request, we have enclosed program announcements, program guidance and application forms, including detailed instructions. The Child Abuse and Neglect Grants Program contains program announcements for several types of research, demonstration and service-related projects.

Specific information regarding the application procedures, submission of applications, and the review and award of grants is provided in each of the separate program announcements, found on the following pages.

The closing date for submission of applications is July 14, 1978 for all programs, except applications for Longitudinal Research on the Causes and Effects of Child Maltreatment. The closing date for those applications is September 30, 1978. Applicants are required to submit an original and two copies of applications. We request that an additional five copies be submitted in order to facilitate the review process.

Questions regarding the application process may be addressed to the ACRYF Research Coordinator at (202) 755-7758.

Sincerely,

Blandina Cardenas

Dr. Blandina Cardenas
Commissioner, Administration for
Children, Youth and Families

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NATIONAL CENTER ON
CHILD ABUSE AND NEGLECT

The National Center on Child Abuse and Neglect was created by the Child Abuse Prevention and Treatment Act (P.L. 93-247), enacted January 31, 1974. It is an organizational part of the U.S. Children's Bureau within HEW's Administration for Children, Youth and Families. The objectives of the Center are to generate and disseminate knowledge and facilitate its application in order to prevent and treat child abuse and neglect.

The Center accomplishes these objectives through: research to develop new knowledge; demonstration programs to develop new or improved service delivery mechanisms; training and technical assistance; the dissemination of information through a National Clearinghouse; and, the award of grants to those states who satisfy eligibility requirements stipulated in the Act. Additionally, pursuant to its enabling legislation, the Center has developed recommended Standards for Child Abuse and Neglect Programs and helps coordinate Federal activities through the Federal Advisory Board on Child Abuse and Neglect.

The authorizations and appropriations to support the Center since its establishment are as follows:

Fiscal Year	Authorization	Appropriation
1974	\$15 million	\$ 4.5 million
1975	20 million	14.7 million
1976	25 million	18.9 million
1977	25 million	18.9 million
1978	25 million	18.9 million

The Center has conducted the following activities in order to achieve its objectives:

Research -- In order to help identify and support needed preventive and treatment services, sixteen research projects have been funded to explore the factors contributing to child abuse and neglect, including family, social and economic stresses; the relationship between drug abuse and alcohol abuse and child maltreatment; promising preventive and treatment techniques; and, the means to measure and evaluate the effectiveness of programs.

The Center is now in the midst of a nationwide study of the actual incidence and severity of unreported, as well as reported cases of child maltreatment in the nation. The results will facilitate the rational utilization and allocation of scarce resources.

Demonstration Program -- In order to develop and operationally test new or improved techniques and procedures for delivering service, the Center has funded:

Treatment Demonstration Centers, either hospital based or social service agency based, which render services directly to children and families or which act as coordinating agents to first determine needs and then procure and monitor services provided from existing service mechanisms found within the community.

Innovative Demonstration Projects to serve the needs of special population sub-groups such as rural, Native American, and military families who, because of remoteness, isolation, cultural differences and/or jurisdictional ambiguities often fail to have adequate services or are excluded from or fail to utilize existing services.

Demonstration Resource Projects which assist and provide supporting services to professionals, associated personnel, agencies, community groups, and others to more effectively meet the comprehensive needs of children, their families, and others involved in abuse and neglect.

Demonstration Training Projects which involved state agencies and national professional organizations in field testing and refining a specially developed training curriculum dealing with the identification and referral of child abuse and neglect cases.

Demonstration Development Grants to Parents Anonymous, a parental self-help group, in order to increase its coverage throughout the country.

Training and Technical Assistance -- Training has been provided by either the Center or one of its grantees to over 75,000 individuals across the nation, representing a variety of disciplines and drawn from a variety of human service agencies.

The Center has sponsored the development of specialized curriculum materials with supporting audio-visual materials in order to strengthen and encourage multidisciplinary training of professionals and paraprofessionals; public awareness materials to sensitize the public to the existence of the problem; an assessment of national needs for training and technical assistance and the development and implementation of plans to meet those needs; and, model laws, hospital protocols, and information management systems to improve record keeping and enhance the effectiveness of central registers.

Information Dissemination -- The Center's clearinghouse has collected, abstracted, and placed in its computer system, program information on over 2,330 operating treatment programs and on over 2,340 publications and audiovisual materials. Remote terminals now allow access to this data bank from anywhere in the country. Additionally the Center has

prepared a group of highly targeted publications which deal with the prevention, identification and treatment of child abuse and neglect. Over 500,000 individual publications have been printed and distributed.

State Grants -- Forty-two states and territories are now eligible to receive direct grants in order to strengthen and improve their prevention and treatment programs. States use these monies to fund the developmental or start-up costs of new or improved program components.

Coordination -- The Center provides leadership and administratively supports the activities of the Federal Advisory Board on Child Abuse and Neglect, a body composed of representatives from fifteen different agencies drawn from seven different Federal Departments. The purpose of the Board is to enhance the effectiveness of Federal programs relating to child abuse and neglect through sharing of information and plans and coordinated action.

Douglas J. Besharov
Director, National Center on
Child Abuse and Neglect;
Children's Bureau

DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
Office of Human Development Services
Administration for Children, Youth and Families
CHILD ABUSE AND NEGLECT GRANTS PROGRAM:
Fiscal Year 1978 Research Grants
(Program Announcement No. 13628-781)

AGENCY: National Center on Child Abuse and Neglect/Children's Bureau
ACYF, HDS, HEW

SUBJECT: Announcement of Availability of Grant Funds for FY 1978 Child
Abuse and Neglect Grants Program RESEARCH GRANTS

SUMMARY: The Administration for Children, Youth and Families announces
that applications are being accepted for Research grants for
Fiscal Year 1978. This program is authorized by the Child
Abuse Prevention and Treatment Act, as amended.

(Public Law 93-247)

Regulations applicable to this program are 45 CFR Part 1340
and 45 CFR Part 220.

DATES: The closing dates for receipt of applications are July 14, 1978.
and September 30, 1978.

Scope of this Program Announcement

This program announcement is one of four for the Child Abuse and Neglect
Grants Program: Research grants. These grants were identified under the
Child Abuse and Neglect Research and Demonstration priority statement
published in the Federal Register, January 23, 1978. These projects reflect
a need to address gaps in knowledge about the causes and effects of child
abuse and neglect, as well as to support creative approaches initiated by
social scientists in the field.

A. Program Purpose

The primary purpose of the Child Abuse and Neglect Research grants is to
support the development of new knowledge which will aid in efforts to
prevent and treat child abuse and neglect.

B. Eligible Applicants

Public and private nonprofit organizations and institutions of higher learning may apply for a grant under this announcement.

C. Available Funds and Grantee Share of Project

The total appropriation for the FY 1978 Child Abuse and Neglect program is \$18.928 million. The amount requested for FY 1979 is approximately \$21.3 million. Of these amounts, approximately \$100,000 of FY 1978 funds and \$500,000 of FY 1979 funds have been allocated for new research projects. A non-Federal share of 5% of the total cost of each research project is required as a part of this grants program. Grantees' shares may be in the form of cash or in-kind contributions. Projects will be supported for a period sufficient to allow the research efforts to produce significant findings. Initial project periods may be from one to three years; additional support will be based on a competitive review with new and other continuing applicants. The initial grant will sustain the Federal share of the budget for the first year of the project. Continuation funding depends upon the satisfactory performance of the project and the availability of funds.

D. Program Objectives

Applications are solicited for projects which reflect the following program objectives:

1. For Field-Initiated Research projects: To advance the understanding of child maltreatment, contribute to the improvement of current programs and provide insights into new approaches to preventing and reducing the problem and its consequences. (As part of the International Year of the Child, ACYF will welcome proposals addressing comparative multinational research projects on the handling of known and suspected cases of child

abuse and neglect.)

2. For Longitudinal Research on the Causes and Effects of Child Maltreatment: To develop explanatory theories of child maltreatment and its consequences based on holistic, rather than reductionist, explanations of the multiple factors involved over time for more than one generation.

Additional information is provided in the Program Guidance which accompanies the necessary application forms.

E. The Application Process

Availability of Application Forms: Organizations and agencies wishing to apply under this grant program may request application forms from

National Center on Child Abuse and Neglect
Children's Bureau/Administration for Children,
Youth and Families
P.O. Box 1182
Washington, D.C. 20013

Application Submission: In order to be considered for a grant under the Child Abuse and Neglect Grants Program, an application must be submitted on the forms and in the manner prescribed by ACYF. The application must be signed by an individual authorized to act for the applicant agency and to assume the obligations imposed by the terms and conditions of the grant award, including the regulations of the Program.

One signed original and two copies of the grant application, including all attachments, are required.

Applications sent by mail should be addressed as follows:

Department of Health, Education, and Welfare
Office of Human Development Services/Switzer Building
Grants Management Branch - Room 1427
330 C Street, S.W.
Washington, D.C. 20201

13628 - 781

Application Consideration: The Commissioner, Administration for Children, Youth and Families determines the final action to be taken with respect to grant applications. All applications which are complete and conform to the requirements of this program announcement are subjected to a competitive review and evaluation by qualified persons independent of the program office. The results of the review assist the Commissioner in considering competing applications. The Commissioner's consideration also takes into account comments of the HEW Regional Offices and Headquarters program office. Comments may also be requested from appropriate specialists and consultants inside and outside the Federal government.

After the Commissioner has reached a decision either to disapprove or not to fund a competing grant application, unsuccessful applicants are notified in writing of that decision. Successful applicants are notified through issuance of a Notice of Grant Awarded which sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which support is given, the total grantee participation expected and the total period for which support is contemplated.

F. Criteria for Review and Evaluation of Grant Applications

Competing grant applications will be reviewed and evaluated by a panel of reviewers/field readers against the following criteria:

1. That the estimated cost to the Government of the project is reasonable considering the anticipated results.
2. That project personnel are or will be well qualified and the applicant organization has or will have adequate facilities and resources.
3. That the proposed procedures or work program, if well executed, will be capable of attaining project objectives.

4. That the applicant's project objectives are identical with or are capable of achieving the specific program objectives defined in the program announcement and the program guidance.
5. That the applicant has included all necessary formal agreements with cooperating agencies.
6. That the proposed project period is reasonable, considering anticipated results.

G. Closing Date for Receipt of Applications

The closing dates for receipt of applications under this program announcement are:

1. For Field-Initiated Research Projects: July 14, 1978.
2. For Longitudinal Research on the Causes and Effects of Child Maltreatment: September 30, 1978.

Applications received after the closing date, at 5:30 p.m., will be considered ineligible and will not be reviewed and evaluated. The competitive review process is scheduled to be completed and grant awards made: (1) for Field-Initiated Research Projects, in September, 1978; and (2) for Longitudinal Research on the Causes and Effects of Child Maltreatment, in November, 1978.

An application sent by mail will be considered to be received on time by ACYF, if:

- a. The application was sent by registered or certified mail not later than July 11, 1978, and September 27, 1978, for the respective sets of projects, as evidenced by the U.S. Postal Service postmark on the wrapper or envelope, or on the original receipt from the U.S. Postal Service; or
- b. The application is received on or before the closing date by

the DHEW mail room in Washington, D.C.

An application delivered by hand must be taken to OHDS, Room 1427

Switzer Building, 330 C Street, S.W., Washington, D.C. Hand-delivered applications will be accepted daily between the hours of 9:00 a.m. and 5:30 p.m. (Eastern Time), except Saturdays, Sundays and Federal holidays.

Catalog of Federal Domestic Assistance Program Number: 13.628 - Child Abuse

Dated:

/s/ Blandina Cardenas
Commissioner, Administration for
Children, Youth and Families

Approved:

/s/ Arabella Martinez
Assistant Secretary for
Human Development Services

I. CHILD ABUSE AND NEGLECT RESEARCH PROGRAM GUIDANCE

A. Field Initiated Child Abuse and Neglect Research

1. Introduction

The objective of this group of projects is to enable social scientists to propose self-defined research projects to generate new knowledge that will advance the understanding of child maltreatment, contribute to the improvement of current programs, and provide insights into new approaches to preventing or reducing the problem and its consequences.

Approximately two grants will be awarded. Subject to periodic peer review, these projects will be supported for the time required to produce significant findings (within limitations of the availability of funds) at levels between \$50,000 and \$100,000 annually, beginning in FY 1978. The amount of the grant awarded will be based on the work proposed and the anticipated results.

2. Background

The National Center's previous research efforts have been largely directed at specified research questions. By definition, this approach limits the areas of investigation and eliminates the serendipitous and idiosyncratic outcome which may prove fruitful to our objectives. While directed research continues to be necessary, social scientists also need to be supported in pursuing their self-defined research priorities.

3. Key Features of Project Activities

These projects are expected to address significant issues related to child maltreatment through the application of rigorous scientific methodology to research or taxonomic studies. As part of the International Year of the Child, applications may propose comparative multi-national research projects on the handling of known and suspected cases of child abuse and neglect.

Projects may be basic research or applied research in service settings (including program assessment and evaluation).

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a program narrative exceed 40 pages, plus necessary attachments such as organizational charts, timetables, resumes and letters of agreement and support.

The program narrative section of the application should be prepared, organized and written by the project director, and a clear statement should be attached attesting to his/her authorship. Any exceptions should be clearly indicated and explained. The application should reflect the scholarship and scientific acumen of the project director or the research team, if one is to be used. Particular attention should be paid to the critical issue of the likelihood of obtaining the necessary data within the safeguards relating to individual rights of privacy and confidentiality.

The proposal should follow the listed sequence to facilitate the review process:

- a. ELIGIBILITY AND DESCRIPTION OF APPLICANT ORGANIZATION, INCLUDING GEOGRAPHICAL LOCATION (2 pages maximum, single spaced)
- b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the research project in terms of its goals and objectives; and (2) briefly summarize the results or benefits expected in terms of the knowledge to be generated and its applications. Project objectives should be more fully explained in the following section on Research Design and Operational Requirements.

c. APPROACH

- (1) Research Design and Operational Requirements (19 pages maximum, single spaced)

This portion of the program narrative should include the following detailed information on the project work plan:

- . Background summary: a synthesis of the critical literature relating to the research issue, prepared in a scholarly fashion with specific references cited. (6 pages)
- . Problem Formulation and Rationale: a formulation of the specific problem to be studied and the rationale for studying it. (2 pages)
- . Sample Size, Selection and Availability: the characteristics of the sample, selection procedures and the likelihood of obtaining the proposed number of cases. (2 pages)
- . Data Acquisition: the nature of the data to be collected, the procedures for collecting data and the methods of analysis. (5 pages)

- . A narrative explanation of scheduling for project start-up and other major activities, plus a timetable. (1 page)
 - . Time and effort chart. The specific tasks required to implement, conduct and complete the project with references to beginning and ending dates, milestones and person-days of effort for the key staff should be described. (3 pages)
- (2) Cooperation with Local Child Protection Agency or Other Agencies Involved in the Research (1 page maximum, single spaced)

This portion of the program narrative should address the necessary cooperation between the researcher and the agency(ies) providing data to be studied, with letter(s) of agreement to cooperate attached. If agency staff, clients or records are to be used, this should be clearly stated in the agreement.

- (3) Personnel (4 pages maximum, single paced, plus resumes or curricula vitae)

This portion of the program narrative should include information about positions and personnel proposed for the project, including brief job descriptions for each position and names and resumes or curricula vitae for those positions for which staff have already been designated.

The program narrative should avoid indicating any individual as participating in the research project who has not given prior approval to being included in the application. Letters of commitment of the necessary time and effort by those staff already identified should be attached.

- (4) Coordination and Collaboration (1 page, maximum, single spaced)

This portion of the program narrative should describe the applicant's approach to collegial coordination and collaboration. Applicants must agree to underwrite the costs of two trips each year of the principal investigator to Washington, D.C., to meet with other NCCAN grantees for these purposes.

- (5) Reports (1 page maximum, single spaced)

This portion of the program narrative should include the applicant's certification of agreement to provide NCCAN/Children's Bureau with quarterly progress reports describing activities undertaken in the previous quarter, activities planned for the following quarter, preliminary findings and early warnings of project implementation problems. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibility to disseminate information based on its findings. It should describe the media that will be used.

B. Longitudinal Research on the Causes and Effects of Child Maltreatment

1. Introduction

The objective of this group of projects is to develop explanatory theories of child maltreatment and its consequences based on holistic, rather than reductionist, examinations of the multiple factors involved over time for more than one generation.

Approximately four grants will be awarded. Subject to periodic peer review, these projects will be supported for the time required to produce significant findings (within limitations of the availability of funds) at levels between \$50,000 and \$200,000 annually, beginning in FY 1979. The amount of the grant awarded will be based on the work proposed and anticipated results.

2. Background

There are now several hundred studies that have attempted to identify the significant "causes" of abuse and neglect through the study of demographic, social, and psychological attributes of the parents and child. In the aggregate the results are not consistent though certain characteristics appear more frequently than others: age of parent, social isolation, knowledge and competence in child rearing, family stress, unwanted children, vulnerable child demanding more attention, poverty, and poor housing.

Because of definitional sampling and methodological problems, useful theories are lacking on the family involved in child maltreatment in transition over time. Most research ignores the historical events and the social contexts in which families are embedded. Ecologically valid studies over time would permit the development of explanatory hypotheses leading to sounder theories concerning maltreatment of children and its effects.

The hypothesis underlying these projects is that different forms of child maltreatment are the results of a complex interaction of many factors which are operating historically within the family members and the family itself. Similarly, the effects of maltreatment of children must be viewed over time and within the context of other forces working both positively and negatively on the child's and the family's development and well-being.

3. Key Features of Project Activities

Proposed projects must meet rigorous scientific standards and technical knowledge relating to longitudinal studies. The sample should be representative of the general population with a sufficient subsample of situations of child maltreatment. The sample should include those involved in child maltreatment and a valid comparison group for which there is no apparent indication of maltreatment. Data for three generations should be examined: the child, the child's nuclear family and the child's grandparents. Historical, social, economic, demographic and psychological data should be acquired and analyzed. The nature of the maltreatment should be specified.

Projects may either:

- . select a new cohort sampled specifically for studying child maltreatment using retrospective and prospective methods, or
- . "piggy-back" onto longitudinal studies already in process for which a great deal of data already exist and which contain a sufficient subsample of families and children involved in child maltreatment.

Applicants may propose methodologies that study all forms of maltreatment, child abuse only, child neglect only, or other specific forms of child maltreatment. Consideration of the interaction among structural, contextual, and process variables over time is strongly encouraged.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a program narrative exceed 50 pages, plus necessary attachments such as organizational charts, time-tables, resumes and letters of agreement and support.

The program narrative section of the application should be prepared, organized and written by the project director, and a clear statement should be attached attesting to his/her authorship. Any exceptions should be clearly indicated and explained. The application should reflect the scholarship and scientific acumen of the project director or the research team, if one is to be used. Particular attention should be paid to the critical issue of the likelihood of obtaining the necessary data within the safeguards relating to individual rights of privacy and confidentiality.

The proposal should follow the listed sequence to facilitate the review process:

- a. ELIGIBILITY AND DESCRIPTION OF APPLICANT ORGANIZATION, INCLUDING GEOGRAPHICAL LOCATION (2 pages maximum, single spaced)
- b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the research project in terms of its goals and objectives; and (2) briefly summarize the results or benefits expected in terms of the knowledge to be generated and its applications. Project objectives should be more fully explained in the following section on Research Design and Operational Requirements.

c. APPROACH

- (1) Research Design and Operational Requirements (19 pages maximum, single spaced)

This portion of the program narrative should include the following detailed information on the project work plan:

- . Background summary: a synthesis of the critical literature relating to the research issue, prepared in a scholarly fashion with specific references cited. (6 pages)
- . Problem Formulation and Rationale: a formulation of the specific problem to be studied and the rationale for studying it. (2 pages)
- . Sample Size, Selection and Availability: the characteristics of the sample, selection procedures and the likelihood of obtaining the proposed number of cases. (2 pages)
- . Data Acquisition: the nature of the data to be collected, the procedures for collecting data and the methods of analysis. (5 pages)
- . A narrative explanation of scheduling for project start-up and other major activities, plus a timetable. (1 page)
- . Time and effort chart. The specific tasks required to implement, conduct and complete the project with references to beginning and ending dates, milestones and person-days of effort for the key staff should be described. (3 pages)

(2) Cooperation with Local Child Protection Agency or Other Agencies Involved in the Research (1 page maximum, single spaced)

This portion of the program narrative should address the necessary cooperation between the researcher and the agency(ies) providing data to be studied, with letter(s) of agreement to cooperate attached. If agency staff, clients or records are to be used, this should be clearly stated in the agreement.

(3) Personnel (4 pages maximum, single paced, plus resumes or curricula vitae)

This portion of the program narrative should include information about positions and personnel proposed for the project, including brief job descriptions for each position and names and resumes or curricula vitae for those positions for which staff have already been designated.

The program narrative should avoid indicating any individual as participating in the research project who has not given prior approval to being included in the application. Letters of commitment of the necessary time and effort by those staff already identified should be attached.

(4) Coordination and Collaboration (1 page, maximum, single spaced)

This portion of the program narrative should describe the applicant's approach to collegial coordination and collaboration. Applicants must agree to underwrite the costs of two trips each year of the principal investigator to Washington, D.C., to meet with other NCCAN grantees for these purposes.

(5) Reports (1 page maximum, single spaced)

This portion of the program narrative should include the applicant's certification of agreement to provide NCCAN/Children's Bureau with quarterly progress reports describing activities undertaken in the previous quarter, activities planned for the following quarter, preliminary findings and early warnings of project implementation problems. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibility to disseminate information based on its findings. It should describe the media that will be used.

DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
Office of Human Development Services
Administration for Children, Youth and Families
CHILD ABUSE AND NEGLECT GRANTS PROGRAM:
Fiscal Year 1978 Demonstration Grants
(Program Announcement No. 13628-782)

AGENCY: National Center on Child Abuse and Neglect/Children's Bureau
ACYF, HDS, HEW

SUBJECT: Announcement of Availability of Grant Funds for FY 1978 Child
Abuse and Neglect Grants Program DEMONSTRATION GRANTS

SUMMARY: The Administration for Children, Youth and Families announces
that applications are being accepted for Demonstration grants
in Fiscal Year 1978. This program is authorized by the Child
Abuse and Neglect Prevention and Treatment Act, as amended.

(Public Law 93-247)

Regulations applicable to this program are 45 CFR Part 1340
and 45 CFR Part 220.

DATES: The closing date for receipt of applications is July 14, 1978.

Scope of this Program Announcement

This program announcement is one of four for the Child Abuse and Neglect
Grants Program: Demonstration projects. These projects reflect emphases
which are built upon past demonstration activities supported by the
National Center on Child Abuse and Neglect. These emphases include
support of projects with modest budgets to allow for potential institutionaliza-
tion into on-going service programs, a shift from increasing public aware-
ness to the improvement of prevention and treatment services, a focus on
treatment for children, as well as parents, improvement of public child
protective services, and a particular sensitivity to the special cultural
and linguistic needs of minority children and families. The projects included
in this program announcement include ones which address: (1) treatment of

specific forms of child maltreatment; (2) remedial services for abused and neglected children; (3) court handling of child maltreatment cases; (4) development of improved procedures for the investigation and correction of the abuse and neglect of children in residential institutions; and (5) targeting of resource development and enhancement for specific professional groups and minority populations (including migrant farmworkers). A related program announcement (Program Announcement No. 13628 - 783) includes additional sets of projects aimed at the provision of services for abused and neglected children and their families through the auspices of public child protection agencies and community-based human service agencies (including social service, medical, mental health, educational and law enforcement agencies).

Funding procedures will be designed to achieve an equitable distribution of grants among the States, among geographic areas of the Nation and among urban and rural areas.

A. Program Purpose

The primary purpose of the Child Abuse and Neglect Demonstration Grants Program is to support the operational design, testing and evaluation of new and refined service techniques and service delivery approaches in preventing and treating child abuse and neglect.

B. Eligible Applicants

1. Clinical Demonstration of Specialized Treatment of: Child Sexual Abuse, Adolescent Maltreatment, Substance Abuse-Related Child Maltreatment, and Child Neglect -- Public and private nonprofit organizations currently providing services to children and families may apply for a grant under this

announcement. In the case of Child Sexual Abuse projects, hospital-based agencies may not apply, though hospital-associated agencies may do so.

In the case of Substance Abuse-Related Child Maltreatment projects, only on-going drug or alcohol treatment service agencies or child protection agencies may apply.

2. Clinical Demonstration of Remedial Services for Abused and Neglected Children -- Public and private nonprofit organizations currently providing therapeutic, developmental or educational services to children or providing child protective services may apply for a grant under this announcement.

3. Improved Juvenile Court Handling of Child Protective Cases, Including Provision of Legal Counsel and Guardian Ad Litem -- Juvenile or Family Courts (or other civil courts having jurisdiction over child neglect, child abuse and dependency cases) may apply for a grant under this announcement.

4. Investigation and Correction of Child Abuse and Neglect in Residential Institutions -- State agencies cited in accordance with the eligibility requirements of P.L. 93-247 as the properly constituted authority for the investigation of child abuse and neglect in residential institutions or any other State agencies, independent of service delivery agencies, with legal authority for the investigation and correction of child abuse and neglect in residential institutions may apply for a grant under this announcement

5. National Resource Centers for Professional and Minority Populations -- National professional membership associations in fields serving children and families (including social welfare, education, health, judicial and law enforcement) and minority group organizations (including migrant farm-worker organizations) with capability for national program implementation may apply for a grant under this program announcement.

C. Available Funds

The total appropriation for the FY 1978 Child Abuse and Neglect Program is \$18.928 million. Of that amount, approximately \$4,280,000 has been allocated to the Child Abuse and Neglect Demonstration Grants Program.

Projects will be supported in the amount and for the period specified below:

1. Clinical Demonstration of Specialized Treatment of: Child Sexual Abuse, Adolescent Maltreatment, Substance Abuse-Related Child Maltreatment, and Child Neglect -- approximately 12 projects in amounts ranging from \$90,000 to \$130,000 each per year for a project period of three and one-half years.
2. Clinical Demonstration of Remedial Services for Abused and Neglected Children -- approximately 4 projects in amounts ranging from \$90,000 to \$130,000 each per year for a project period of three and one-half years.
3. Improved Juvenile Court Handling of Child Protective Cases, Including Provision of Legal Counsel and Guardian Ad Litem -- approximately 4 projects in amounts ranging from \$100,000 to \$200,000 each for the first two years, \$80,000 to \$160,000 each for the third year, and \$65,000 to \$130,000 each for the fourth year, for a total project period of four years.
4. Investigation and Correction of Child Abuse and Neglect in Residential Institutions -- approximately 4 projects in amounts ranging from \$65,000 to \$80,000 each per year for a total project period of three years.
5. National Resource Centers for Professionals and Minority Populations -- approximately 6 projects in amounts ranging from \$100,000 to \$150,000 each per year for a total project period of three years.

The initial grant will sustain the Federal share of the budget for the first year of the project. Continuation funding depends upon satisfactory performance of the project and the availability of funds.

D. Program Objectives

Applications are solicited for projects which reflect the following program objectives:

1. Clinical Demonstration of Specialized Treatment of: Child Sexual Abuse, Adolescent Maltreatment, Substance Abuse-Related Child Maltreatment, and Child Neglect --

- a. To generate additional knowledge about the nature, causes, effects and promising preventive, treatment and child protective approaches to the specified form of child maltreatment.
- b. To develop new or to refine existing service techniques for dealing with the unique needs of the children and families involved in the specified form of child maltreatment.
- c. To develop and test new or refined approaches to the delivery of services needed by children and families involved in the specified form of child maltreatment.
- d. To meet the preventive, treatment and child protective service needs as well as other identified service needs of the children and families served by the projects.
- e. To identify resource needs associated with the specified form of child maltreatment including staff qualifications and configurations, staff training, management and administrative processes and program funding.

2. Clinical Demonstration of Remedial Services for Abused and Neglected Children:

- a. To generate additional knowledge about the nature, causes, effects and promising approaches to the remediation of the effects of

maltreatment on children.

b. To develop new or to refine existing service techniques for dealing with the unique needs of abused and neglected children.

c. To develop and test new or refined approaches to the delivery of services needed by abused and neglected children.

d. To meet the need of abused and neglected children for remedial services as well as to meet the other identified service needs of the children and families served by the projects.

e. To identify resource needs associated with services to remediate the effects of maltreatment on children, including staff qualifications and configurations, staff training, management and administrative processes and program funding.

3. Improved Juvenile Court Handling of Child Protective Cases, Including the Provision of Legal Counsel and Guardian Ad Litem:

a. To generate additional knowledge about the mission and capabilities of juvenile courts and related services to assist community-wide efforts to identify and treat child abuse and neglect.

b. To identify and demonstrate methods of improving the handling of child protective cases by juvenile courts.

c. To identify and demonstrate methods of providing counsel for the parties and counsel or caseworker/guardian ad litem for the children in child protective proceedings.

d. To identify and demonstrate guidelines for improved judicial decision-making in child protective proceedings.

e. To identify and demonstrate methods of improving the management

of court records through the use of modern technology (such as word processing and statistical systems).

4. Investigation and Correction of Child Abuse and Neglect in Residential Institutions:

- a. To generate additional knowledge about the nature, causes, effects and promising preventive, treatment and child protective approaches to the abuse and neglect of children in residential institutions.
- b. To identify and demonstrate methods of encouraging reports of known and suspected child abuse and neglect in all types of residential institutions.
- c. To identify and demonstrate methods of receiving reports of known and suspected child abuse and neglect and their investigation by an independent agency.
- d. To identify and demonstrate methods of taking corrective action in substantiated cases of child abuse and neglect in all types of residential institutions.
- e. To identify methods that other State, local and citizen groups may use to prevent the abuse and neglect of children in all types of residential institutions.

5. National Resource Centers for Professionals and Minority Populations:

- a. To identify and demonstrate methods of raising professional awareness of child abuse and neglect issues and service needs.
- b. To identify and demonstrate methods of improving professional skills in dealing with child abuse and neglect.
- c. To identify and demonstrate methods of fostering interdisciplinary cooperation.

d. To identify and demonstrate methods of increasing the cultural and linguistic sensitivity of existing agencies and professionals dealing with child abuse and neglect.

e. To identify and demonstrate methods of improving and expanding minority participation in child abuse and neglect prevention and treatment efforts.

Additional information is provided in the Program Guidance which accompanies the necessary application forms.

E. The Application Process

Availability of Application Forms: Organizations and agencies wishing to apply under this grant program may request application forms from:

National Center on Child Abuse and Neglect
Children's Bureau/ Administration for Children,
Youth and Families
P.O. Box 1182
Washington, D.C. 20013

A-95 Clearinghouse Notice: In compliance with the Department of Health, Education, and Welfare's implementation of Office of Management and Budget Circular No. A-95 Revised (interim procedures at 41 FR 3160, July 29, 1976), applicants who request grant support must, prior to submission of an application, notify both the State and Areawide A-95 Clearinghouses of the intent to apply for Federal assistance. If the application is for a Statewide project which does not affect areawide or local planning and programs, the notification need be sent only to the State Clearinghouse. Some State and Area Clearinghouses provide their own forms on which such information is to be submitted. Applicants should contact the appropriate State Clearinghouse (listed at 42 FR-2210, January 10, 1977) for information on how they can meet the A-95 requirements.

Application Submission: In order to be considered for a grant under the Child Abuse and Neglect Grants Program, an application must be submitted on the forms and in the manner prescribed by ACYF. The application must be signed by an individual authorized to act for the applicant agency and to assume the obligations imposed by the terms and conditions of the grant award, including the regulations of the Program.

One signed original and two copies of the grant application, including all attachments, are required.

Applications sent by mail should be addressed as follows:

Department of Health, Education, and Welfare
Office of Human Development Services/Switzer Building
Grants Management Branch - Room **1427**
330 C Street, S.W.
Washington, D.C. 20201 13628 - 782

Application Consideration: The Commissioner, Administration for Children, Youth and Families, determines the final action to be taken with respect to grant applications. All applications which are complete and conform to the requirements of this program announcement are subjected to a competitive review and evaluation by qualified persons independent of the program office. The results of the review assist the Commissioner in considering competing applications. The Commissioner's consideration also takes into account comments of the A-95 Clearinghouses, the HEW Regional Offices and Headquarters program office. Comments may also be requested from appropriate specialists and consultants inside and outside the Federal government.

After the Commissioner has reached a decision either to disapprove or not to fund a competing grant application, unsuccessful applicants are

notified in writing of that decision. Successful applicants are notified through issuance of a Notice of Grant Awarded which sets forth the amount of the funds granted, the terms or conditions of the grant, the effective date of the grant, the budget period for which support is given, the total grantee participation expected and the total period for which support is contemplated.

F. Criteria for Review and Evaluation of Grant Applications

Competing grant applications will be reviewed and evaluated by a panel of reviewers/field readers against the following criteria:

1. That the estimated cost to the Government of the project is reasonable considering the anticipated results.
2. That project personnel are or will be well qualified and the applicant organization has or will have adequate facilities.
3. That the proposed procedures or work program, if well executed, will be capable of attaining project objectives.
4. That the project objectives are identical with or are capable of achieving the specific program objectives defined in the program announcement.
5. That the applicant has included all necessary formal agreements with cooperating agencies and certifications of agreement to cooperate with NCCAN-initiated evaluations of the demonstration program.

G. Closing Date for Receipt of Applications

The closing date for receipt of applications under this program announcement is July 14, 1978. Applications received after the closing date, at 5:30 p.m., will be considered ineligible and will not be reviewed and evaluated. The competitive review process is scheduled to be completed and grant awards made in September, 1978.

An application sent by mail will be considered to be received on time by ACYF, if:

- a. The application was sent by registered or certified mail not later than July 11, 1978, as evidenced by the U. S. Postal Service postmark on the wrapper or envelope, or on the original receipt from the U.S. Postal Service; or
- b. The application is received on or before the closing date by the DHEW mail room in Washington, D.C.

An application delivered by hand must be taken to OHDS, Room 1427 Switzer Building, 330 C Street, S.W., Washington, D.C. Hand-delivered applications will be accepted daily between the hours of 9:00 a.m. and 5:30 p.m. (Eastern Time), except Saturdays, Sundays and Federal holidays.

Catalog of Federal Domestic Assistance Program Number: 13.628 - Child Abuse

Dated:

/s/ Blandina Cardenas
Commissioner, Administration for
Children, Youth and Families

Approved:

/s/ Arabella Martinez
Assistant Secretary for
Human Development Services

II. CHILD ABUSE AND NEGLECT DEMONSTRATION PROGRAM GUIDANCE

A. Clinical Demonstration of Specialized Treatment of: Child Sexual Abuse, Adolescent Maltreatment, Substance Abuse-Related Child Maltreatment, and Child Neglect.

1. Introduction

The objectives of these four groups of projects are:

- a. To generate additional knowledge about the nature, causes, effects, and promising preventive, treatment and child protective approaches to the specified form of child maltreatment.
- b. To develop new or to refine existing service techniques for dealing with the unique needs of the children and families involved in the specified form of child maltreatment.
- c. To develop and test new or refined approaches to the delivery of services needed by the children and families involved in the specified form of child maltreatment.
- d. To meet the preventive, treatment, and child protective service needs as well as other identified service needs of the children and families served by the projects.
- e. To identify resource needs associated with the specified form of child maltreatment including staff qualifications and configuration, staff training, management and administrative processes, and program funding.

Approximately twelve grants will be awarded, approximately four for each of the specified forms of child maltreatment. Projects will be supported for three and one-half years (within limitations of the availability of funds) at levels between \$90,000 and \$130,000 annually, beginning in FY 1978. The amount of the grant awarded will be based on the work proposed and the anticipated results.

2. Background

Between FY 1974 and FY 1977, the Department funded a total of 37 child abuse and neglect demonstration treatment projects, each providing undifferentiated services for all child abuse and neglect presenting problems. A wealth of useful knowledge

has been contributed by these projects, but concrete program information related to commonly faced, particularly difficult treatment problems is still lacking because case experiences involving these special situations have been amalgamated with the more typical or evident forms of child abuse. It can now be documented that there are a series of subpopulations within the general rubric of child abuse and neglect which require specialized services or arrangements.

Now that a baseline of general child protective service practice has been defined, more particular attention to these distinct issues is possible. Definitional, diagnostic and service approaches are now being refined and specific forms of child maltreatment are receiving closer attention. It is already known that, for some forms of child maltreatment, there is a need for more specialized approaches, often accompanied by more intensive supervision and monitoring of the family by a child protection agency.

It has become apparent that greater effectiveness (and more reasonable costs) will result if specific successful treatment techniques and organizational responses can be identified for the different forms of child maltreatment. For example, some forms of neglect, related to the "apathy-futility" syndrome, seem to be more responsive to concrete socializing services rather than more psychologically oriented services and may permit a less intense approach.

Therefore, one identified objective is the development of a more precise taxonomy of the forms of child maltreatment and the identification and refinement of treatment techniques targeted for the specified form of child maltreatment.

The present generation of treatment demonstration projects has identified gaps in treatment knowledge concerning these particularly difficult forms of child maltreatment. In order to fill these knowledge gaps, comprehensive service settings with sufficient resources and interest in testing innovative approaches must be established to develop and test specialized treatment approaches to: (1) child sexual abuse, (2) adolescent maltreatment, (3) substance abuse-related child maltreatment, and (4) child neglect. There is a need to identify the degree to which these interrelated but distinct problems require unique investigative and treatment approaches and to develop and test replicable total case management strategies.

For each of the specified forms of child maltreatment, there is a need to identify specialized: (a) intake procedures; (b) investigative procedures (coordinating with law enforcement, especially in child sexual abuse and adolescent maltreatment cases; (c) emergency services; (d) case planning and management; (e) use of

multidisciplinary teams; (f) referrals to community agencies; (g) recourse to civil and criminal court action; and (h) case termination and follow-up.

These seemingly divergent projects are grouped together in this program announcement and program guidance (and will be evaluated together) because the hypothesis underlying them is that the prognosis for families (and children) with these presenting problems can be significantly improved through the application of investigative and treatment approaches that have been modified and/or designed to meet their particular needs.

3. Key Features of Project Activities

a. Project Scope

Clinical Demonstration Treatment Projects are encouraged to provide any appropriate service to their clients. However, they should not duplicate services that are already available from other agencies and are encouraged to elicit the cooperation and shared resources of other service providers. Regardless of the degree to which the projects provide direct treatment, applicants should present a coordinated comprehensive plan for the management of cases based on broad community consultation. Projects should reflect both an underlying theoretical approach to the treatment of the specified form of child maltreatment and operational specificity regarding how the project will address what it identifies as the key issues associated with the problem.

Substance Abuse-Related Child Maltreatment projects may address either drug abuse-related maltreatment or alcohol abuse-related maltreatment or both.

Projects should address each of the previously listed objectives for these clinical demonstrations. Applicants should develop and propose issues within each objective that they identify as most relevant to their own goals.

b. Personnel

Staff of the Clinical Demonstrations may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services and to perform the proposed internal project evaluation. The applicant must specify a project director with authority and coordination responsibility for the project. Personnel should have working knowledge and experience with the criminal justice and social service systems in their communities that have responsibility for cases of child abuse and neglect. Legal, medical and social work or psychology professional training would be an asset.

c. Management

Management of these projects (including fiscal accounting and controls, personnel recruitment and direction, supervision of all program components, reporting to NCCAN for monitoring and evaluation purposes and coordination with an outside evaluator funded by NCCAN) will be an important grantee responsibility. Specific responsibility will be coordination with local Child Protection agencies, law enforcement agencies, and other human service providers to insure effective communication and cooperation with project goals and purposes and necessary responsiveness in making and accepting referrals and service recommendations.

d. Evaluation

Evaluation of these projects will involve a combination of a required evaluation component within each project and an outside evaluation conducted under contract to NCCAN. Each project must agree to underwrite the costs of two trips of the project director or evaluator to Washington, D.C., during each grant year for orientation and review meetings related to the evaluation. At the first such meeting, to be held within four months of the grant award, projects and the outside evaluator will collaborate in the development of evaluation instruments. An important component of project evaluation will be the need to collect preproject descriptions of community-wide handling of cases of the specified form of maltreatment to be used as a baseline in the subsequent measurements of activities and impacts.

e. Costs

Costs which may be covered by grant funds include:

- . personnel, hired directly or through contract, plus fringe benefits
- . internal project evaluation expenses
- . staff travel and related costs
- . office space and other occupancy costs, where necessary
- . supplies and equipment
- . printing and duplicating of materials, as needed
- . telephone, postage and clerical costs
- . allowable DHEW-audited overhead costs

Note: Project funds may not be spent for the cost of case investigations mandated by law or to duplicate other services already available from other agencies within the community. The acquisition of such services must be through linkages which would be an integral part of the project's coordination plan.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a program narrative exceed 50 pages, plus necessary attachments such as organizational charts, timetables, resumes and letters of agreement and support. Applicants should follow the outline provided below in organizing their program narratives.

a. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY, INCLUDING GEOGRAPHICAL LOCATIONS (4 pages maximum, single-spaced)

This portion of the program narrative should provide the following information:

- . A brief description of the precise community or catchment area to be served by the proposed project and an estimated caseload, based on previous local data on the specified form of maltreatment, which will be served by the project, specifying a minimum number below which the project would be unable to achieve its objectives.
- . A brief background description of how the applicant agency (or the particular section of a larger agency which will have responsibility for this project) is organized and the types and quantity of services it provides.
- . A brief account of how the applicant agency is currently related to the provision of services to prevent, identify, or treat the specified form of child maltreatment.

b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single-spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the project in terms of the goals and objectives of the demonstration; and (2) briefly summarize the results or benefits expected in terms of the clients served, the community's child protective system, the community at large, and the knowledge to be generated concerning the specified form of child maltreatment. Project objectives should be more fully explained in the following section on Approach.

c. APPROACH

- (1) Work Plan (15 pages maximum, single-spaced plus timetables, charts, and resumes)

This portion of the program narrative should reflect a conceptualization of the issues to be resolved related to the specified form of child maltreatment, the goals that are to be achieved, the theoretical underpinning of the approach and the operational methods that are to be utilized in their accomplishment. It should particularly address the specialized approaches that will be used in relating to the following aspects of the child protective process:

- . conceptual framework
- . operational definitions
- . identification and reporting procedures
- . investigation, case validation and case planning procedures
- . court involvement
- . provision of treatment and supportive services to clients (including child victims)
- . provision for encouraging and handling self-referrals and self-help
- . agency and service management
- . provision of support to primary preventive efforts
- . enhancement of community support and agency coordination

In addition, the work plan should include:

- . If the applicant is not the legally mandated child protection agency, formal letters of agreement with that agency and, if appropriate, the law enforcement agency (1) stating that these agencies will refer cases of the specified form of child maltreatment to the project for services and (2) dealing with how the project will handle issues of reporting as mandated by State law and investigation of cases which are self-referred to the project for treatment. In the case of Substance Abuse-Related Child Maltreatment projects, the drug or alcohol treatment service agency applicants must include a copy of a "qualified service agreement" with the appropriate child protection agency; and the child protection agency applicants must include a copy of a "qualified service agreement" with appropriate drug and/or alcohol treatment agency. A facsimile of a "qualified service agreement" follows this program guidance.
- . A narrative explanation of scheduling for project start-up and other major activities, plus a timetable

- . Information about personnel who will manage and deliver services of the project, including brief job descriptions for each position and names and resumes for those positions for which staff have already been designated. Specific reference should be made in resumes or the narrative to previous experience with problems of child maltreatment and with the agencies related to its investigation, diagnosis, adjudication and/or treatment.

(2) Project Evaluation (3 pages maximum, single-spaced)

This portion of the program narrative should describe the applicant's plan for implementing an evaluation component as a part of its grant activities and its certification that it will cooperate fully with an outside evaluator assigned by NCCAN to study project processes, costs, client impact, child protective system impact and community impact. Such cooperation will include at least two meetings each year in Washington, D.C., with travel and per diem costs to be borne by the grant, for the purposes of initial orientation and annual review relative to the evaluation process. All NCCAN evaluation studies will adhere to Federal policies regarding the protection of individual rights to privacy. Applicants should describe the procedures that will be used to protect client records from misuse during their own internal evaluations while making them available for analysis in the process of determining client impacts.

(3) Reports (1 page maximum, single-spaced)

This portion of the program narrative should include the applicant's certification that it will cooperate with NCCAN by providing quarterly reports on a schedule to be established after grant award. Reports will include both descriptive and quantitative information necessary for grant monitoring, project evaluation and NCCAN accountability within the Children's Bureau of the Administration for Children, Youth and Families and the Department of Health, Education and Welfare. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibility to serve as a demonstration to other agencies with similar capabilities and other communities interested in improving prevention and treatment service delivery, especially in relation to the specified form of child maltreatment. This section should describe the ways in which the project will share its experiences both within its own community and with broader human service audiences.

SAMPLE

Qualified Service Organization Agreement

Whereas the _____ provides
name of service organization
_____ to the
type of service provided by organization to program

_____ and whereas the _____
name of program *name of service organization*

needs the following information _____
specify information

_____ in order to provide its services to the program; and whereas the disclosure of this information is governed by the Federal Regulations on the Confidentiality of Alcohol and Drug Abuse Patient Records 42CFR Part 2. There fore the _____
name of service organization

and the _____ enter into a qualified service
name of program
organization agreement whereby the _____
name of service organization

1. Acknowledges that in receiving, storing, or otherwise dealing with any information from the program about the patients in the program that it is fully bound by the requirements of 42CFR Part 2;
2. Agrees that it will institute appropriate procedures for safeguarding such information, particularly patient identifying information; and
3. Agrees that it will resist in judicial proceedings any efforts to obtain access to any information pertaining to patients otherwise than expressly provided for in 42CFR Part 2.
4. THE _____ RECOGNIZES THAT ANY UNAUTHORIZED
service organization

DISCLOSURE OF PATIENT INFORMATION IS A FEDERAL CRIMINAL OFFENSE PUNISHABLE BY A FINE OF NOT MORE THAN \$500.00 IN THE CASE OF A FIRST OFFENSE AND NOT MORE THAN \$5,000.00 IN THE CASE OF EACH SUBSEQUENT OFFENSE.

Executed this _____ day of _____ 19_____.

Signature of Service Organization

Signature of Program

B. Clinical Demonstration of Remedial Services for Abused and Neglected Children.

1. Introduction

The objectives of this group of projects are:

- a. To generate additional knowledge about the nature, causes, effects and promising approaches to the remediation of the effects of maltreatment on children.
- b. To develop new or to refine existing service techniques for dealing with the unique needs of abused and neglected children.
- c. To develop and test new or refined approaches to the delivery of services needed by abused and neglected children.
- d. To meet the need of abused and neglected children for remedial services as well as to meet the other identified service needs of the children and families served by the projects.
- e. To identify resource needs associated with services to remediate the effects of maltreatment on children, including staff qualifications and configuration, staff training, management and administrative processes, and program funding.

This group of projects focuses on the remedial needs of children under 12 years of age. Therefore, project supported services are limited to this age group. (Services to adolescents are provided within the Clinical Demonstration of Specialized Treatment of Adolescent Maltreatment described earlier in this program guidance.)

Approximately four grants will be awarded. Projects will be supported for three and one-half years (within limitations of the availability of funds) at levels between \$90,000 and \$130,000 annually, beginning in FY 1978. The amount of the grant awarded will be based on the work program proposed and the anticipated results.

2. Background

An estimated one million children are abused/neglected each year. The protective services system intervenes to assure their physical safety, and may direct a variety of services to their parents. However, there are very few treatment, rehabilitative, or developmental services for the children apart from medical care. A recent study indicates that 61% of abused and neglected children do not receive a medical evaluation and 86% do not receive a psycho-social assessment.

Studies indicate that abused and neglected children show a high incidence of developmental disabilities. These physical and medical difficulties are accompanied by a range of social, emotional and educational disturbances. There is no specific pattern which could be described as the profile of abused or neglected children, though they typically have a very low or inadequate self-concept and are unable to relate to other people, particularly adults, in any trust relationship. It is further documented that treatment services directed to the parent, while successful in stopping the more major maltreatment pattern, do not succeed in establishing good family interaction, nor do they improve the child's adjustment.

One study which regularly assessed child development and competence while the parents were under treatment documented a continuing deterioration in the children's development even though the parental treatment was progressing satisfactorily. In addition, children are frequently held to be responsible for instigating abuse through provocative behaviors.

Other findings indicate a very high correlation between abuse/neglect and the onset of status offenses and juvenile delinquency involvement at a later date.

On the behavioral level these children are not usually distinguished from other emotionally disturbed or developmentally disabled children. As such, they receive treatment but such treatment is not provided jointly to the parents nor is it related to treatment being provided to the parents by another agency. Further, the most critical factor of putting the child and the parents back together again at a new level of functioning, is usually not attempted.

It is clear that interventions must be well designed, specific to the deficiency or pathology, and delivered in a timely and effective manner if they are to be ameliorative. Parents must be involved in the therapeutic process or they will, in a variety of ways, refuse to allow the child or the family configuration to change. A delivery system for the children must develop a range of strategies from court coercion to positive incentives to achieve cooperation with the parents.

Thus, there is a need to develop and demonstrate treatment models which (1) are capable of accurately and efficiently diagnosing children and planning specific and individualized treatments centering on coping skills, interactional modes with adults and other children, and (2) offer parents new and more appropriate interactional patterns.

3. Key Features of Project Activities

a. Project Scope

These Clinical Demonstration Projects are encouraged to provide any appropriate service to their clients. However, they should not duplicate services that are already available from other agencies, and are encouraged to elicit the cooperation and shared resources of other service providers. Regardless of the degree to which the projects provide direct treatment, applicants should present a coordinated comprehensive plan for the provision of remedial services to abused and neglected children. Projects should reflect both an underlying theoretical approach to the treatment of the developmental effects of child maltreatment, and operational specificity regarding how the project will address what it identifies as the key issues associated with the problem.

Projects may limit their scope to either preschool or school age children up to age 12. However, projects must provide full diagnostic services (medical and nonmedical) and must provide or arrange for needed remedial services for all abused and neglected children in either or both of the defined age ranges within the project's proposed catchment area.

Specific treatment services from other agencies may not be purchased with grant funds. However, grant money may be used to develop the capacity of community resources to meet the needs identified by the project. Such capacity-building may take the form of technical assistance, training, outposting of project staff and limited financial assistance for developmental and start-up costs.

A key feature must be the coordination of project activities vis-a-vis the children with on-going treatment to the parents.

Projects should address each of the previously listed objectives for these clinical demonstrations. Applicants should develop and propose issues within each objective that they identify as most relevant to their own goals.

b. Personnel

Staff of the Clinical Demonstrations may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services and to perform the proposed internal project evaluation. The applicant must specify a project director with authority and coordination responsibility for the project. Personnel should have working knowledge and experience with the developmental and treatment needs of children.

c. Management

Management of these projects (including fiscal accounting and controls, personnel recruitment and direction, supervision of all program components, reporting to NCCAN for monitoring and evaluation purposes and coordination with an outside evaluator funded by NCCAN) will be an important grantee responsibility. Specific responsibility will be coordination with local Child Protection agencies, law enforcement agencies, and other human service providers to ensure effective communication and cooperation with project goals and purposes and necessary responsiveness in making and accepting referrals and service recommendations.

d. Evaluation

Evaluation of these projects will involve a combination of a required evaluation component within each project and an outside evaluation conducted under contract to NCCAN. Each project must agree to underwrite the costs of two trips of the project director or evaluator to Washington, D.C., each grant year for the orientation and review meetings related to the evaluation. At the first such meeting, to be held within four months of grant award, projects and the outside evaluator will collaborate in the development of evaluation instruments. An important component of the project evaluation will be the need to collect preproject descriptions of remedial services for abused and neglected children as a baseline to be used in subsequent measurements of activities and impacts.

e. Costs

Costs which may be covered by grant funds include:

- . personnel, hired directly or through contract, plus fringe benefits
- . internal project evaluation expenses
- . staff travel and related costs
- . office space and other occupancy costs, where necessary
- . supplies and equipment
- . printing and duplicating of materials, as needed
- . telephone, postage and clerical costs
- . allowable DHEW-audited overhead costs

Note: Project funds cannot be spent for the costs of case investigations mandated by law or to duplicate other services already available from other agencies within the community. The acquisition of such services must be through linkages which would be an integral part of the project's coordination plan.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should an applicant's program narrative exceed 50 pages, plus necessary attachments such as organizational charts, timetables, resumes and letters of agreement and support. Applicants are also strongly urged to follow the outline provided below in organizing their program narratives.

a. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY INCLUDING GEOGRAPHICAL LOCATIONS (4 pages maximum, single-spaced)

This portion of the program narrative should provide the following information:

- . A brief description of the precise community or catchment area to be served by the proposed project and an estimated caseload, based on previous local data on child abuse and neglect, which will be served by the project, specifying a minimum number below which the project would be unable to achieve its objectives.
- . A brief background description of how the applicant agency (or the particular section of a larger agency which will have responsibility for this project) is organized and the types and quantity of services it provides.
- . A brief account of how the applicant agency is currently related to the provision of services to abused and neglected children or children with special needs in general.

b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single-spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the project in terms of the goals and objectives of the demonstration; and (2) briefly summarize the results or benefits expected in terms of the clients served, the community's child protective system, the community at large, and the knowledge to be generated concerning remedial services for abused and neglected children. Project objectives should be more fully explained in the following section on Approach.

c. APPROACH

(1) Work Plan (15 pages maximum, single-spaced)

This portion of the program narrative should reflect a conceptualization of the issues to be resolved related to remedial services for abused and neglected children, the goals that are to be achieved, the theoretical under-pinning of the approach and the operational methods that are to be utilized in their accomplishment. It should particularly address the specialized approaches that will be used in relating to the following aspects of the child protective process:

- . conceptual framework
- . operational definitions
- . identification and reporting procedures
- . investigation, case validation and case planning procedures
- . court involvement
- . provision of treatment and supportive services to clients (including parents)
- . provision for encouraging and handling self-referrals and self-help
- . agency and service management
- . provision of support to primary preventive efforts
- . enhancement of community support and agency coordination

In addition, the work plan should include:

- . If the agency is not the legally mandated child protection agency, a formal letter of agreement with that agency and, if appropriate, the law enforcement agency, stating that these agencies will refer abused and neglected children to the project for services.
- . A narrative explanation of scheduling for project start-up and other major activities plus a timetable.
- . Information about personnel who will manage and deliver services of the project, including brief job descriptions for each position and names and resumes for those positions for which staff have already been designated. Specific reference should be made in resumes or the narrative to previous experience with problems of child maltreatment and with the agencies related to its investigation, diagnosis, adjudication and/or treatment.

(2) Project Evaluation (3 pages maximum, single-spaced)

This portion of the program narrative should describe the applicant's plan for implementing an evaluation component as a part of its grant activities and its certification that it will cooperate fully with an outside evaluator assigned by NCCAN to study project processes, costs, client impact, child protective system impact and community impact. Such cooperation will include at least two meetings each year in Washington, D.C., with travel and per diem costs to be borne by the grant, for the purposes of initial orientation and annual review relative to the evaluation process. All NCCAN evaluation studies will adhere to Federal policies regarding the protection of individual rights to privacy. Applicants should describe procedures that will be used to protect client records from misuse during their own internal evaluation while making them available for analysis in the process of determining client impacts.

(3) Reports (1 page maximum, single-spaced)

This portion of the program narrative should include the applicant's certification that it will cooperate with NCCAN by providing quarterly reports on a schedule to be established after grant award. Reports will include both descriptive and quantitative information necessary for grant monitoring, project evaluation and NCCAN accountability with the Children's Bureau of the Administration for Children, Youth and Families and the Department of Health, Education and Welfare. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single-spaced)

This portion of the program narrative should address the project's responsibility to serve as a demonstration to other agencies with similar capabilities and other communities interested in improving prevention and treatment service delivery, especially in relation to remedial services for abused and neglected children. This section should describe the ways in which the project will share its experiences both within its own community and with broader human service audiences.

C. Improved Juvenile Court Handling of Child Protective Cases, Including the Provision of Legal Counsel and Guardian Ad Litem

I. Introduction

The objectives of this set of projects are:

- a. To generate additional knowledge about the mission and capabilities of juvenile courts and related services to assist community-wide efforts to identify and treat child abuse and neglect.
- b. To identify and demonstrate methods of improving the handling of child protective cases by juvenile courts.
- c. To identify and demonstrate methods of providing counsel for the parties and counsel or caseworker/guardian ad litem for the children in child protective proceedings.
- d. To identify and demonstrate guidelines for improved judicial decision-making in child protective proceedings.
- e. To identify and demonstrate methods of improving the management of court records through the use of modern technology (such as word processing and statistical systems).

Approximately four grants will be awarded. Projects will be supported for four years (within limitations of the availability of funds) at levels between \$100,000 and \$200,000 for each of the first two years, beginning in FY 1978, between \$80,000 and \$160,000 for the third year, and between \$65,000 and \$130,000 for the fourth year. The amount of the grant awarded will be based on the work proposed and the anticipated results.

2. Background

Juvenile, family and other civil courts annually handle over 150,000 cases of alleged child abuse and neglect. The involuntary intrusion into family life by courts and related social agencies can have profoundly important consequences for the children and parents involved. The process itself can be a frightening experience that may ultimately result in the children being removed from their parents and placed in foster care of institutions for months or years. In a few cases, termination of the parent-child relationships results. Furthermore, juvenile court action is usually only commenced in cases of severe problems, where the injuries have been unusually serious or the family refuses to cooperate with treatment efforts. Therefore, judicial child protective proceedings are often the catalyst to an effective child protective system in a community.

Present court procedures for child protective matters are generally patterned after juvenile delinquency proceedings. Many have not developed specialized case handling procedures necessary to protect children in emergency situations, determine short and long term custody and select the most appropriate treatment alternatives. There is a need to clarify roles, procedures and individual skills in judicial child protective decision-making, as well as to apply modern management techniques to child protective court processes.

Juvenile or family court child protective actions are necessary and crucial elements of community-wide responses to the need to treat child abuse and neglect. Essential to any well working court system is the provision of counsel for all necessary parties. In child protective proceedings, this includes the accused parents, the endangered children, as well as the agency representatives seeking to take protective action. However, in too many communities, representation is haphazard. In some cases the parents are represented; in others the agency; and in a few, the child. As a result of the eligibility requirements of P.L. 93-247, 42 States guarantee the appointment of a guardian ad litem to represent the child in juvenile court proceedings. However, in only 25 States is the guardian ad litem a lawyer. In the remaining States, a caseworker or lay person serves as guardian ad litem.

The increasing attention accorded to the needs of the abused or neglected child has made more agencies and courts anxious to take effective action to protect endangered children. However, in their good faith efforts to protect the child, they may over-step the rights of parents. Counsel for parents is therefore needed. As yet, however, the right to counsel in civil child protective proceedings has not been established as a Constitutional right. These projects are designed to explore and document the needs and modes of providing counsel for all necessary parties in the proceedings, including a guardian ad litem for the child. Only in that way can the fairness and effectiveness of juvenile court child proceedings be best insured.

The hypothesis underlying these projects is that the provision of counsel to parents, children and agencies and the modernization of case handling will result in fairer, prompter and more appropriate court action.

These projects are designed to develop and demonstrate modes (1) of the provision of counsel to indigent parents, endangered children and child protection agencies, (2) the improved procedural handling of child protective cases, and (3) the use of modern technology to manage court-related word processing and statistical systems.

3. Key Features of Project Activities

a. Project Scope

Demonstrations of Improved Juvenile Court Handling of Child Protective Cases are intended to identify and demonstrate methods of improving total court systems. As such, projects should concentrate their efforts on understanding and modifying court processes, rather than solely adding support personnel. It is recognized that the courts with large caseloads will have limited ability to provide counsel for all parties within the amounts available under these grants. Thus, projects are encouraged to arrange for the appointment of counsel through existing programs and funding sources. Projects may provide a guardian ad litem for children who is an attorney, a caseworker or a lay person. Projects that intend to provide counsel with grant funds are encouraged to consider the use of a panel of attorneys who can be assigned to represent the parties in child protective proceedings on a rotating basis, within the constraints of the American Bar Association's Code of Professional Ethics.

Projects should address each of the previously listed objectives for these demonstrations. Applicants should develop and propose issues within each objective that they identify as most relevant to their own goals.

b. Personnel

Staff of these projects may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services and to perform the proposed internal evaluation. The applicant must specify a project director with authority and coordination responsibility for the project. Personnel should have working knowledge and experience with the justice and social service systems in their communities that have responsibility for child abuse and neglect.

c. Management

Management of these projects (including fiscal accounting and controls, personnel recruitment and direction, supervision of all program components, reporting to NCCAN for monitoring and evaluation purposes and coordination with the NCCAN evaluation) will be an important grantee responsibility. Specific responsibility will be coordination with local child protection agencies, law enforcement agencies and other human service agencies to insure effective communication and cooperation with project goals and purposes and necessary responsiveness in making and accepting referrals and service recommendations.

d. Evaluation

Evaluation of these projects will involve a combination of a required evaluation component within each project and an evaluation conducted by NCCAN staff. Each project must agree to underwrite the costs of two trips of the project director or evaluator to Washington, D.C., during each grant year for orientation and review meetings related to the evaluation. At the first such meeting, to be held within the first four months after grant award, projects and NCCAN staff will collaborate in the development of evaluation instruments. An important component of project evaluation will be the need to collect preproject data on court handling of cases of child abuse and neglect in the project's court system to be used as baseline data in subsequent measurements of activities and impacts.

e. Costs

Costs which may be covered by grant funds include:

- . personnel, hired directly or through contract, plus fringe benefits
- . internal project evaluation expenses
- . staff travel and related costs
- . office space and other occupancy costs, where necessary
- . supplies and equipment, including word processing and management information systems equipment
- . printing and duplicating of materials, as needed
- . telephone, postage and clerical costs

Note: Project funds cannot be spent for the costs of case investigations mandated by law or to duplicate other services already available from other agencies within the community. The acquisition of such services must be through linkages which would be an integral part of the project's coordination plan.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a program narrative exceed 40 pages, plus necessary timetables, organizational charts, resumes and letters of agreement and support. Applicants should follow the outline provided below in organizing their program narratives.

- a. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY, INCLUDING GEOGRAPHICAL LOCATION (4 pages maximum, single spaced)

This portion of the program narrative should provide the following information:

- . A brief description of the precise community or catchment area to be served by the proposed project and an estimated caseload, based on previous local data, specifying a minimum number below which the project would be unable to achieve its objectives.
 - . A brief background description of how the applicant agency (or the particular section of a larger agency which will have responsibility for this project) is organized, the procedures it follows and the court-related services it provides.
- b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the project in terms of the goals and objectives of the project, and (2) briefly summarize the results or benefits expected in terms of improved court processes, the clients served, the community's child protective system, the community at large and the knowledge to be generated concerning court missions, capabilities and methods of improvement. Project objectives should be more fully explained in the following section on Approach.

c. APPROACH

- (1) Work Plan (15 pages maximum, single spaced, plus time-tables, charts and resumes.

This portion of the program narrative should reflect a conceptualization of the issues to be resolved, the goals that are to be achieved, the theoretical underpinning of the approach and the operational methods that are to be utilized in their accomplishment. It should particularly address the specialized approaches that will be used in relation to the following aspects of the judicial child protective process:

- . conceptual framework
- . operational definitions
- . emergency court proceedings
- . intake procedures
- . formal commencement of juvenile court proceedings
- . early stages of juvenile court processing
- . provision of counsel or guardian ad litem for the child
- . child protective motion practice in juvenile court
- . plea bargaining in child protective proceedings
- . proving various forms of child maltreatment
- . adjudicatory proceedings

- . dispositional proceedings
- . post-dispositional proceedings
- . court management
- . roles of participants
- . relationships to criminal court actions
- . provision for encouraging and handling self-referrals and self-help
- . provision of support to primary preventive efforts
- . enhancement of community support and agency coordination

In addition, the work plan should include:

- . A narrative explanation of scheduling for project start-up and other major activities, plus a timetable.
- . Information about personnel who will manage and deliver services of the project, including brief job descriptions for each position and names and resumes for those positions for which staff have already been designated. Specific reference should be made in resumes or the narrative to previous experience with the juvenile court and with child protective cases.
- . A definite plan for the institutionalization of the successful program components to be funded by the grant.

(2) Project Evaluation (3 pages maximum, single spaced)

This portion of the program narrative should describe the applicant's plan for implementing an evaluation component as a part of its grant activities and its certification that it will cooperate fully with the NCCAN evaluation to study project processes, costs, client impact, child protective system impact and community impact. Such cooperation will include at least two meetings each year in Washington, D.C., with travel and per diem costs to be borne by the grant, for the purposes of initial orientation and annual review relative to the evaluation process. The applicant's evaluation plan should describe how it will evaluate the project from two points of view: (1) The increased efficiency of the court involved, based on comparison with baseline data collected before the installation of project activities; and (2) the impact of the grant activities on those represented; i.e., the parents, the children and the agency. Among the issues to be explored in this second category will be the parents' perception of the fairness of the system, the agency's understanding of the use of court action and its acceptance of the needs of the litigation process, and the degrees to which the needs and wishes of the child are taken into account. Evaluation of funded projects will be performed by program office staff using the evaluation data provided

by the projects. All NCCAN evaluation studies will adhere to Federal policies regarding the protection of individual rights to privacy. Applicants should describe procedures that will be used to protect client records from misuse during their own internal evaluations while making them available for analysis in the process of determining client impacts.

(3) Reports (1 page maximum, single spaced)

This portion of the program narrative should include the applicant's certification that it will cooperate with NCCAN by providing quarterly reports on a schedule to be established after grant award. Reports will include both descriptive and quantitative information necessary for grant monitoring, project evaluation and NCCAN accountability within the Children's Bureau of the Administration for Children, Youth and Families and the Department of Health, Education, and Welfare. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibility to serve as a demonstration to juvenile courts with similar capabilities and other communities interested in improving their juvenile court and child protective systems. This section should describe the ways in which the project will share its experiences both within its own community and with broader human service and judicial audiences.

D. Investigation and Correction of Child Abuse and Neglect in Residential Institutions.

1. Introduction

The objectives of this group of projects are:

- a. To generate additional knowledge about the nature, causes, effects, and promising preventive, treatment and child protective approaches to the abuse and neglect of children in residential institutions;
- b. To identify and demonstrate methods of encouraging reports of known and suspected child abuse and neglect in all types of residential institutions;
- c. To identify and demonstrate methods of receiving reports of known and suspected child abuse and neglect and their investigation by an independent agency.
- d. To identify and demonstrate methods of taking corrective action in substantiated cases of child abuse and neglect in all types of residential institutions; and
- e. To identify methods that other state, local, and citizen groups may use to prevent the abuse and neglect of children in all types of residential institutions.

Approximately four grants will be awarded. Projects will be supported for three years (within limitations of the availability of funds) at levels between \$65,000 and \$80,000 annually, beginning in FY 1978. The amount of the grant awarded will be based on the work proposed and the anticipated results.

2. Background

Over 400,000 children live in residential institutions such as treatment centers, temporary and long-term shelters, detention homes, centers for the mentally retarded and developmentally disabled and group homes; an additional 300,000 live in foster homes. These children are largely voiceless and at the mercy of adults who operate the institutions or agencies. Often there is no intermediary or advocate to represent their rights and interests. Despite the best intentions of program managers, all too often children are victims of maltreatment in the very institutions which are operated to care for and serve their needs.

In the past, allegations of institutional child maltreatment-- if acted on at all -- have been handled on an ad hoc basis, often through grand jury investigations or the creation of "blue ribbon" panels.

As a result of the P.L. 93-247 eligibility requirements, 42 states now make provision for the independent investigation and correction of institutional child abuse and neglect. The issue of investigating and correcting maltreatment of children in residential institutions is addressed in the Federal Regulations which implemented the Child Abuse Prevention and Treatment Act (P.L. 93-247). That section of the regulations which details the conditions which States must satisfy in order to be eligible for a direct grant states, in part: "...The State must provide for the reporting of known or suspected instances of child abuse and neglect. This requirement shall be deemed satisfied if a State requires specified persons by law, and has a law or administrative procedures which requires, allows, or encourages all other citizens, to report known or suspected instances of child abuse and neglect to one or more properly constituted authorities with the power and responsibility to perform an investigation and take necessary ameliorative and protective steps..... A properly constituted authority may include the police, the juvenile court or any agency thereof, or a legally mandated, public or private child protective agency; provided, however, that a properly constituted authority must be an agency other than the agency, institution, office or facility involved in the acts or omissions of a public or private agency or other institution or facility..." (emphasis added)

The forty-two States which are now eligible for direct grants under P.L. 93-247 have embodied the above concept into their laws and are now seeking to develop procedures to implement the legally binding investigative policies which have been adopted. Because of the relative newness of these efforts there is no body of accumulated practical experience which has been distilled into a set of best practices that States or child advocacy groups can look to in fashioning and improving their own programs. These demonstration projects will fill that void by developing and testing methods of operating on-going programs to receive, investigate, and where appropriate take corrective action concerning reports of child abuse and neglect in institutions and other out-of-home placements, including foster family homes.

The hypothesis underlying these projects is that there are certain fundamental approaches to handling reports of known and suspected institutional child maltreatment which can be effectively demonstrated for later widespread replication. The results of these projects will be protocols, procedures and case materials that can be used as blue prints by other States in implementing on-going systems to handle institutional child abuse and neglect.

3. Key Features of Project Activities

a. Project Scope

Projects should address each of the previously listed objectives for these demonstrations. Applicants should develop and propose issues within each objective that they identify as most relevant to their own goals.

The kinds of functions which these projects are expected to perform include:

- . Establish and publicize readily available and easily used reporting procedures to receive reports of known and suspected child abuse and neglect in residential institutions.
- . Establish procedures for the receipt, recording and monitoring of the handling of reports of known and suspected child abuse and neglect in residential institutions.
- . Establish and operate investigative processes which promptly investigate reports and which include such fact-finding procedures as personal investigations, surveys and consultations.
- . Develop and implement multiagency protocols for the investigation and correction of substantiated cases of child abuse and neglect in residential institutions.
- . Establish and test procedures to take corrective action in substantiated cases of child abuse and neglect in residential institutions, including personnel actions, policy and program changes, and legislative and budgetary recommendations (including class action type responses).
- . Develop, but not implement itself, methods that other State, local and citizen groups may use to prevent the

abuse and neglect of children in residential institutions. These efforts may include: standards for disciplinary actions and corporal punishment, procedures for outside visitors, creation and utilization of organizations within institutions, involvement of parents and other outside adults in monitoring programs within the institutions, and the development of standards of conduct for children in institutions. These procedures may also include the development of agency self-assessment material so that the agency can determine the quality of care it provides to children in residential facilities.

Projects are encouraged to develop procedures that involve a multiagency and multidisciplinary review of investigative reports before the project makes a final determination of whether the case is substantiated.

These examples are meant to be suggestive, not prescriptive. Applicants are urged to propose program approaches which fall within the needs of the State's residential care and foster family home systems.

b. Personnel

Staff of these projects may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services and to perform the proposed internal project evaluation. The applicant must specify a project director with authority and coordination responsibility for the project. Personnel should have working knowledge and experience with the residential child care systems involved. For some project activities, legal, medical and social work or psychology professional training would be an asset.

c. Management

Management of these projects (including fiscal accounting and controls, personnel recruitment and direction, supervision of all program components, reporting to NCCAN for monitoring and evaluation purposes and coordination with an outside evaluator funded by NCCAN) will be an important grantee responsibility. Specific responsibility will be coordination with child protection agencies, law enforcement agencies, and other human service providers to insure effective communication and coordination with project goals and purposes and necessary responsiveness in making and accepting referrals and service recommendations.

d. Evaluation

Evaluation of these projects will involve a combination of a required evaluation component within each project and an evaluation conducted by NCCAN staff. Each project must agree to underwrite the costs of two trips of the project director or evaluator to Washington, D.C., during each grant year for orientation and review meetings related to the evaluation. At the first such meeting to be held within four months of grant award, projects and NCCAN staff will collaborate in the development of evaluation instruments. An important component of project evaluation will be the need to collect preproject descriptions of community-wide handling of cases of child abuse and neglect in residential institutions to be used as baseline data in subsequent measurements of activities and impacts.

e. Costs

Costs which may be covered by grant funds include:

- . personnel, hired directly or through contract, plus fringe benefits
- . internal project evaluation expenses
- . staff travel and related costs
- . office space and other occupancy costs, where necessary
- . supplies and equipment
- . printing and duplicating of materials, as needed
- . telephone, postage and clerical costs
- . allowable DHEW-audited overhead costs.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a program narrative exceed 40 pages, plus necessary attachments such as organizational charts, timetables, resumes and letters of agreement and support. Applicants should follow the outline provided below in organizing their program narrative.

- a. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY, INCLUDING GEOGRAPHICAL LOCATIONS (4 pages maximum, single-spaced, plus documentation of authority)

This portion of the program narrative should provide the following information:

- . A brief description of the State's system of residential institutions serving children and youth, including foster family homes.
- . A brief background description of the applicant agency, how it is organized and how it relates to the State's system for providing institutional services.
- . Documentation certifying that the applicant agency is a properly constituted authority within the State with the requisite power and authority to discharge the responsibilities described in the proposal. Applicant should document that it possesses the necessary authority to act unimpeded in the State and conduct such activities as may be necessary in order to complete investigations expeditiously and effectively and cause corrective actions to be taken where necessary. (The proper source of such documentation is the State Attorney General.)
- . A brief account of how the applicant agency is currently related to the provision of services to identify, investigate, and correct the abuse and neglect of children in residential institutions.

- b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single-spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the project in terms of the goals and objectives of the demonstration; and (2) briefly summarize the results or benefits expected in terms of the clients served, the states residential child care system, the community at large, and the knowledge to be generated concerning the abuse and neglect of children in residential institutions. Project objectives should be more fully explained in the following section on Approach.

c. APPROACH

(1) Work Plan (15 pages maximum, single-spaced)

This portion of the program narrative should reflect a conceptualization of the issues to be resolved related to the abuse and neglect of children in residential institutions, the goals that are to be achieved, the theoretical underpinning of the approach and the operational methods that are to be utilized in their accomplishment. It should particularly address the specialized approaches that will be used in relating to the following aspects of the projects objectives.

- . conceptual framework
- . operational definitions
- . identification and reporting procedures
- . investigation, case validation and case planning procedures
- . corrective action, including court action
- . provision for encouraging and handling self-referrals and self-help
- . enhancement of community support and agency coordination

In addition, the work plan should include:

- . A narrative explanation of scheduling for project start-up and other major activities, plus a timetable.
- . If the applicant agency is not the State agency cited in accordance with the eligibility requirements of P.L. 93-247, a description of how it will receive cases for investigation and corrective action.
- . Information about personnel who will manage and deliver services of the project, including brief job descriptions for each position and names and resumes for those positions for which staff have already been designated. Specific reference should be made in resumes or the narrative to previous experience with problems of child maltreatment in general, and institutional child maltreatment in particular.

- . A definitive plan for the institutionalization of the successful program components to be funded by the grant.

(2) Project Evaluation (3 pages maximum, single-spaced)

This portion of the program narrative should describe the applicant's plan for implementing an evaluation component as a part of its grant activities and its certification that it will cooperate fully with the NCCAN evaluation to study project processes, costs, client impact, residential child care system impact and community impact. Such cooperation will include at least two meetings each year in Washington, D.C., with travel and per diem costs to be borne by the grant, for the purposes of initial orientation and annual review relative to the evaluation process. All NCCAN evaluation studies will adhere to Federal policies regarding the protection of individual rights to privacy. Applicants should describe procedures that will be used to protect client records from misuse during their own internal evaluations while making them available for analysis in the process of determining client impacts.

(3) Reports (1 page maximum, single-spaced)

The portion of the program narrative should include the applicant's certification that it will cooperate with NCCAN by providing quarterly reports on a schedule to be established after grant award. Reports will include both descriptive and quantitative information necessary for grant monitoring, project evaluation and NCCAN accountability within the Children's Bureau of the Administration for Children, Youth and Families and the Department of Health, Education, and Welfare. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibilities to serve as a demonstration to other agencies with similar capabilities and other States interested in improving their systems of investigating and correcting child abuse and neglect in residential institutions. This section should describe the ways in which the

project will share its experiences both within its own State and with broader human service audiences.

E. National Resource Centers for Professionals and Minority Populations

1. Introduction

The objectives of this set of projects are:

- a. To identify and demonstrate methods of raising professional awareness of child abuse and neglect issues and service needs;
- b. To identify and demonstrate methods of improving professional skills in dealing with child abuse and neglect;
- c. To identify and demonstrate methods of fostering interdisciplinary cooperation;
- d. To identify and demonstrate methods of increasing the cultural and linguistic sensitivity of existing agencies and professionals dealing with child abuse and neglect; and
- e. To identify and demonstrate methods of improving and expanding minority participation in child abuse and neglect prevention and treatment efforts.

Approximately six grants will be awarded. Projects will be supported for three years (within limitations of the availability of funds) at levels between \$100,000 and \$150,000 annually, beginning in FY 1978. The amount of the grant awarded will be based on the work proposed and the anticipated results.

2. Background

The experience of the National Center on Child Abuse and Neglect in supporting sixteen regional, state and special population demonstration resource projects since FY 1974 has demonstrated the efficiency and effectiveness of forming partnerships with academic and private non-profit agencies in the dissemination of information and basic education to the public on the identification and reporting of child abuse and neglect. In addition, NCCAN's experience in demonstrating the use of a multidisciplinary curriculum on the identification, referral and case management of child abuse and neglect in FY 1977 through the auspices of national professional associations has provided convincing evidence of their efficient and credible access to their constituents. The convergence of these two sets of demonstrations suggests

the usefulness of a program to test the utility of a Federal-professional membership association partnership to disseminate information and provide technical resources to specific audiences in the field.

With the burgeoning of information and technical resources available for the upgrading of activities to prevent and treat child abuse and neglect, there is a need to develop and test approaches for disseminating that information and applying those resources in a highly targeted and efficient manner. Without effective dissemination channels, such as those which already exist in professional and minority organizations, the information and technical resources being generated both by federally supported research and demonstration and by the state and private sectors will have limited ameliorative effect.

National professional organizations are prime sources of information on program and practice innovations within service delivery and administrative settings. These projects will demonstrate how the energies of national organizations can be directed toward enhancing state and local child abuse and neglect prevention and treatment efforts. Professional and minority group organizations serve their constituencies as major sources of information on human service issues. As advocates before public and private service delivery agencies, they strive to insure the adequacy and sensitivity of service to those constituencies. These projects will specifically focus attention on minority cultural sensitivity in the development, staffing and delivery of child protective services by all the relevant disciplines and service systems.

A specific concern is that the field of service delivery to abused and neglected children and their families is still under-represented by professionals capable of responding to the cultural and linguistic diversity of their client populations.

3. Key Features of Project Activities

a. Project Scope

National Resource Centers for Professionals must address each of the objectives previously listed for these demonstrations; National Resource Centers for Minority Populations must address the last two objectives. Applicants should develop and propose issues within each objective that they identify as most relevant to their own goals.

The kinds of functions which national resource centers are expected to perform include:

- . providing technical assistance to memberships concerning methods of prevention of child abuse and neglect through community support and outreach efforts (e.g. assisting agencies and professionals in planning, developing and locating available community resources)
- . organizing interdisciplinary symposia on child abuse and neglect related issues with other national professional organizations.
- . arranging to place child abuse and neglect related training materials in institutions of higher learning (including junior colleges, undergraduate and graduate schools)
- . including child abuse and neglect related training and information dissemination in national organization conference activities
- . arranging for optimal media involvement in child abuse and neglect issues (e.g. planning with various media to distribute child abuse and neglect awareness materials)
- . arranging with various institutions of higher learning to provide specialized training to increase the number of minority professionals and paraprofessionals in the fields of medicine, law, social work and education with capability in treating child abuse and neglect
- . examining issues of societal abuse and neglect with emphasis on how such abuse can affect minority populations and interfere with the ability of caregivers to provide adequately for their children
- . exploring issues of cultural diversity in relation to child abuse and neglect, focusing on the societal and institutional biases which have formed barriers both to unbiased reporting and to optimal service systems for children and families of culturally diverse groups

These examples are meant to be suggestive, not prescriptive. National organizations are urged to propose the specific technical assistance, information dissemination and advocacy efforts and activities which fall within their capability to deliver in an expeditious and cost-beneficial manner.

b. Personnel

Staff of these demonstrations may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services and to perform the proposed internal project evaluation. The applicant must specify a project director with authority and coordination responsibility for the project. Personnel should have working knowledge and experience with the social service systems that have responsibility for cases of child abuse and neglect. For some project activities, legal, medical and social work or psychology professional training would be an asset.

c. Management

The management of these projects, (including fiscal accounting and controls, personnel recruitment and direction, supervision of each program component and reporting to NCCAN for monitoring and evaluation purposes) will be an important grantee responsibility. In addition, a specific responsibility will be the coordination of the national resource projects among themselves as well as with the ten NCCAN-funded Regional Resource Centers (See Program Announcement No. 13628-784: Regional Child Abuse and Neglect Resource Centers) and the NCCAN Information Clearinghouse. A meeting will be scheduled during the first three months of the program operation for national and regional resource centers to develop systematic methods to facilitate coordination among themselves.

d. Evaluation

Evaluation of these projects will involve a combination of a required evaluation component within each project and an evaluation conducted by NCCAN Staff. Each project must agree to underwrite the costs of two trips of the project director to Washington, D.C., during each grant year for orientation and review meetings related to the evaluation of the project and coordination with other resource projects. At the first such meeting, projects and NCCAN staff will collaborate in the development of evaluation instruments.

e. Costs

Costs which may be covered by grant funds include:

- . personnel, hired directly or through contract, plus fringe benefits
- . internal project evaluation expenses
- . staff travel and related costs
- . office space and other occupancy costs, where necessary
- . library and audiovisual materials, and equipment
- . computer terminal equipment lease and cost of searches
- . supplies and equipment
- . printing and duplicating of materials, as needed
- . telephone, postage and clerical costs
- . allowable DHEW-audited overhead costs

Grant funds may only be used for the purposes of carrying out the tasks outlined for the National Resource Centers. They may not be used to support or supplement other host agency or organizational programs.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a program narrative exceed 30 pages, plus necessary attachments such as organizational charts, timetables, resumes and letters of agreement and support. Applicants should follow the outline provided below in organizing their program narratives.

a. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY, INCLUDING GEOGRAPHICAL LOCATIONS (4 pages maximum, single-spaced)

This portion of the program narrative should provide the following information regarding the applicant organization and its constituency:

- . a brief description of the structure of the applicant organization, its membership, and the types and quantity of services it provides

- . a brief account of how the applicant organization has previously related to the problems of child abuse and neglect
 - . an explanation of the qualities or unique features which make the organization qualified to become a national resource center
- b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single-spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the project in terms of the goals and objectives of the demonstration; and (2) briefly summarize the results or benefits expected in terms of the service systems, professional constituencies, and minority populations involved. Project objectives should be more fully explained in the following section on Approach.

c. APPROACH

- (1) Work Plan (12 pages maximum, single-spaced, plus timetables, charts, and resumes)

This portion of the program narrative should describe in as much detail as possible, a work plan to explain how the applicant will implement -- nation-wide -- the project's objectives, including such basic program components as:

- . a conceptual statement of the role of the organization in efforts to prevent and treat child abuse and neglect;
- . development of profession-specific or minority group-related written materials, including policy guides, curricula and investigative, diagnostic and treatment aides and manuals;
- . development and dissemination of a newsletter;
- . dissemination of relevant materials and other information;

- . provision of assistance to agencies and professional schools in developing relevant training programs;
- . development and installation of accreditation and/or specialization standards (for national professional organizations only);
- . advocacy for implementation of program improvements, and
- . interdisciplinary and intercultural exchanges.

In addition, the work plan should include:

- . A narrative explanation of scheduling for project start-up and other major activities plus a timetable.
- . Information about personnel who will manage and deliver services of the project, including brief job descriptions for each position and names and resumes for those positions for which staff have already been designated. Specific reference should be made in resumes or the narrative to previous experience with problems of child maltreatment and with the agencies related to its investigation, diagnosis, adjudication and/or treatment.

(2) Project Evaluation (2 pages maximum, single-spaced)

This portion of the program narrative should describe the applicant's plan for implementing an evaluation component as a part of its grant activities and its certification that it will cooperate fully with the NCCAN evaluation to study project processes, costs, and impact. Such cooperation will include at least two meetings each year in Washington, D.C., with travel and per diem costs to be borne by the grant, for the purposes of initial orientation and annual review relative to the evaluation process.

(3) Reports (1 page maximum, single-spaced)

The portion of the program narrative should include the applicant's certification that it will cooperate with NCCAN by providing quarterly reports on a schedule to be established after grant award. Reports will include both descriptive and quantitative information necessary for grant monitoring, project evaluation and NCCAN accountability within the Children's Bureau of the Administration for Children, Youth and Families and the Department of Health, Education and Welfare. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibility to serve as a demonstration to other agencies with similar capabilities and other organizations interested in improving prevention and treatment service delivery. This section should describe the ways in which the project will share its experiences within its own professional or minority community and with broader human service audiences.

DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
Office of Human Development Services
Administration for Children, Youth and Families
CHILD ABUSE AND NEGLECT GRANTS PROGRAM:
Fiscal Year 1978 Service Improvement Grants
(Program Announcement No. 13628-783)

AGENCY: National Center on Child Abuse and Neglect/Children's Bureau,
ACYF, HDS, HEW

SUBJECT: Announcement of Availability of Grant Funds for FY 1978 Child
Abuse and Neglect Grants Program SERVICE IMPROVEMENT GRANTS

SUMMARY: The Administration for Children, Youth and Families announces
that applications are being accepted for service improvement
grants for Fiscal Year 1978. This program is authorized by
the Child Abuse Prevention and Treatment Act, as amended.

(Public Law 93-247)

Regulations applicable to this program are 45 CFR Part 1340
and 45 CFR Part 220.

DATES: The closing date for receipt of applications is July 14, 1978.

Scope of this Program Announcement

This program announcement is one of four for the Child Abuse and Neglect
Grants Program: Service Improvement Projects. These projects were
identified under the Child Abuse and Neglect Research and Demonstration
priority statement published in the Federal Register, January 23, 1978.
These projects reflect the need to provide support for service improve-
ments and service expansion in preventing and treating child abuse and
neglect. Funding procedures will be designed to achieve an equitable
distribution of grants among States, among geographic areas of the Nation,
and among rural and urban areas.

A. Program Purpose

The primary purpose of the Child Abuse and Neglect Service Improvement Grants is to support the implementation of effective, proven program components by existing child protection and other human service agencies (including medical, social service, educational, mental health and law enforcement agencies) which have the potential for providing services to prevent and treat child abuse and neglect.

B. Eligible Applicants

1. Child Protection Agency Program Improvements: Public Child Protection Agencies at the State, sub-State regional and metropolitan or local levels may apply for a grant under this announcement.
2. Community-Based Prevention and Treatment: Public and private nonprofit agencies providing direct services to children and families may apply for a grant under this announcement to support services consistent with their overall missions. Such agencies are defined to include health, mental health, school, law enforcement, child care and other human service agencies.

C. Available Funds and Grantee Share of Project

The total appropriation for the FY 1978 Child Abuse and Neglect program is \$18.928 million. Of this amount, approximately \$2.4 million has been allocated for Child Abuse and Neglect Service Improvement projects. A non-Federal share of project financial support is required in the case of the Community-Based Prevention and Treatment projects, as described below. The non-Federal share may be in the form of cash or in-kind contributions.

Projects will be supported in the amount and for the period specified below:

1. Child Protection Agency Program Improvements: approximately 10 projects in amounts ranging from \$80,000 to \$120,000 each per year for

a project period of two years.

2. Community-Based Prevention and Treatment: approximately 10 projects in amounts ranging from \$80,000 to \$120,000 each for the first year, \$60,000 - \$100,000 each for the second year, and \$40,000 - \$60,000 each for the third year, for a project period of three years. The non-Federal share of project budgets will be 0% in the first year, 20% in the second year and 50% in the third and final year of the project period.

The initial grant will sustain the Federal share of the budget for the first year of the project. Continuation funding depends upon satisfactory performance of the project and the availability of funds.

D. Program Objectives

Applications are solicited for projects which reflect the following program objectives:

1. For Child Protection Agency Program Improvements: To improve the delivery of child protective services through the installation of additional or modified program components in child protection agencies.
2. For Community-Based Prevention and Treatment:
 - a. To prevent child abuse and neglect by providing services to the host agency's general clientele which improve family capacities to adequately care for children.
 - b. To prevent child abuse and neglect by encouraging self-referrals and providing early preventive services to vulnerable families.
 - c. To assist public child protection agencies through prompt identification and reporting of known and suspected cases of child abuse and neglect.

d. To assist diagnostic and treatment efforts of child protection agencies by accepting referrals from them to provide necessary family-supportive services.

Additional information is provided in the Program Guidance which accompanies the necessary application forms.

E. The Application Process

Availability of Application Forms: Organizations and agencies wishing to apply under this grant program may request application forms from

National Center on Child Abuse and Neglect
Children's Bureau/Administration for Children,
Youth and Families
P.O. Box 1182
Washington, D.C. 20013

A-95 Clearinghouse Notice: In compliance with the Department of Health, Education, and Welfare's implementation of Office of Management and Budget Circular No. A-95 Revised (interim procedures at 41 FR 3160, July 29, 1976), applicants who request grant support must, prior to submission of an application, notify both the State and Areawide A-95 Clearinghouses of the intent to apply for Federal assistance. If the application is for a Statewide project which does not affect areawide or local planning and programs, the notification need be sent only to the State Clearinghouse. Some State and Area Clearinghouses provide their own forms on which such information is to be submitted. Applicants should contact the appropriate State Clearinghouse (listed at 42 FR 2210, January 10, 1977) for information on how they can meet the A-95 requirements.

Application Submission: In order to be considered for a grant under the Child Abuse and Neglect Grants Program, an application must be submitted on the forms and in the manner prescribed by ACYF. The application must be signed by an individual authorized to act for the applicant agency and to assume the obligations imposed by the terms and conditions of the grant award, including the regulations of the Program.

One signed original and two copies of the grant application, including all attachments, are required.

Applications sent by mail should be addressed as follows:

Department of Health, Education, and Welfare
Office of Human Development Services/Switzer Building
Grants Management Branch - Room 1427
330 C Street, S.W.
Washington, D.C. 20201 13628 - 783

Application Consideration: The Commissioner, Administration for Children, Youth and Families, determines the final action to be taken with respect to grant applications. All applications which are complete and conform to the requirements of this program announcement are subjected to a competitive review and evaluation by qualified persons independent of the program office. The results of the review assist the Commissioner in considering competing applications. The Commissioner's consideration also takes into account comments of the A-95 Clearinghouses, the HEW Regional Offices and Headquarters program office. Comments may also be requested from appropriate specialists and consultants inside and outside the Federal government.

After the Commissioner has reached a decision either to disapprove or not to fund a competing grant application, unsuccessful applicants are notified in writing of that decision. Successful applicants are notified through issuance of a Notice of Grant Awarded which sets forth the amount of funds granted, the terms or conditions of the grant, the effective date of the grant, the budget period for which support is given, the total grantee participation expected and the total period for which support is contemplated.

F. Criteria for Review and Evaluation of Grant Applications

Competing grant applications will be reviewed and evaluated by a panel of reviewers/field readers against the following criteria:

1. That the estimated cost to the Government of the project is reasonable considering the anticipated results.
2. That project personnel are or will be well qualified and the applicant organization has or will have adequate facilities.
3. That the proposed procedures or work program, if well executed, will be capable of attaining project objectives.
4. That the project objectives are identical or are capable of achieving the specific program objectives defined in the program announcement and the program guidance.
5. That the applicant has included all necessary formal agreements with cooperating agencies.
6. That the applicant has included a definite plan for the institutionalization of the program components to be funded by the grant, and, in the case of Community-Based Prevention and Treatment applications, that the applicant has included a definite plan for the assumption of the increased non-Federal share during the second and third years of the project period.

G. Closing Date for Receipt of Applications

The closing date for receipt of applications under this program announcement is July 14, 1978. Applications received after the closing date, at 5:30 p.m., will be considered ineligible and will not be reviewed and evaluated. The competitive review process is scheduled to be completed and grant awards made in September, 1978.

An application sent by mail will be considered to be received on time by ACYF, if :

- a. The application was sent by registered or certified mail not later than July 11, 1978, as evidenced by the U.S. Postal Service postmark on the wrapper or envelope, or on the original receipt from the U.S. Postal Service; or
- b. The application is received on or before the closing date by the DHEW mail room in Washington, D.C.

An application delivered by hand must be taken to OHDS, Room 1427, Switzer Building, 330 C Street, S.W., Washington, D.C. Hand-delivered applications will be accepted daily between the hours of 9:00 a.m. and 5:30 p.m. (Eastern Time), except Saturdays, Sundays and Federal holidays.

Catalog of Federal Domestic Assistance Program Number: 13.628 - Child Abuse

Dated:

/s/ Blandina Cardenas
Commissioner, Administration for
Children, Youth and Families

Approved:

/s/ Arabella Martinez
Assistant Secretary for
Human Development Services

III. Child Abuse and Neglect Service Improvement Program Guidance

A. Child Protection Agency Program Improvements

1. Introduction

The objective of this group of projects is to improve the delivery of child protective services through the installation of additional or modified program components in child protection agencies.

Approximately ten grants will be awarded. Projects will be supported for two years (within limitations of the availability of funds) at levels between \$80,000 and \$120,000 annually, beginning in FY 1978. The amount of the grant awarded will be based on the work proposed and anticipated results.

2. Background

There are over 3,000 child protection agencies in this country serving over 500,000 children each year. Most child protection agencies report problems of large case-loads, too few resources for diagnosis and treatment, weak administration and supervisory practices and consequently high staff "burn out" rates. Previous child abuse and neglect projects funded as demonstrations have shown the economic feasibility of a number of successful interventive techniques.

Child protection agencies are increasingly aware of the variety of improved methods for delivering and managing services to abused and neglected children and their families, but most of them have not installed such program improvements and integrated them into on-going programs. The facility with which such improved components can be added to on-going programs needs to be demonstrated so that they will be widely implemented.

3. Key Features of Project Activities

a. Project Scope

The functioning of child protection agencies can be substantially improved by the addition and/or modification of specific program components, not requiring substantial additional funding. These projects will identify cost effective program components and the best means of their installation and institutionalization. Each project will install one or more new

or modified program components in at least three geographically separate sites at which it presently provides services. Each project will be required to specify the particular program components to be installed at each site.

Examples: The kinds of program improvements that may be included in these projects include:

- . 24-hour intake services
- . hotlines
- . multidisciplinary team case review and case management
- . group work and other therapeutic treatment approaches beyond one-to-one casework
- . parent aide programs and other programs using para-professionals
- . volunteer programs
- . programs to improve cultural and linguistic staff capabilities and responsiveness to minority and non-English-speaking clients
- . internal management and supervision improvements
- . programs to address "burn out" and "turn-over" problems

These examples are meant to be suggestive, not prescriptive. However, grant funds may not be used merely to expand a pre-existing program or service. The concept is to improve services. Applicants should propose the development and implementation of program improvements which meet their own agency needs and which can be installed and institutionalized without large amounts of additional funding.

b. Personnel

Staff of the Child Protection Agency Improvements projects may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services. The applicant must specify a project director with authority and coordination responsibility for the project. Personnel should have working knowledge and experience with the child protective system within their communities.

c. Management

Management of these projects, (including fiscal accounting and controls, personnel recruitment and direction, supervision of all program components, reporting to NCCAN for monitoring and evaluation purposes and coordination with an outside evaluator funded by NCCAN) will be an important grantee responsibility. Specific responsibility will be coordination of the project's activities and program components within the ongoing service system of the child protection agency, i.e., the project sponsor.

d. Evaluation

Evaluation of these projects will be conducted by an outside evaluator under contract to NCCAN. The evaluator will provide projects with necessary instruments for collecting and forwarding data. Each project must designate one additional site as a comparison/control site, at which no new or modified program component is installed, and agree to collect certain data from that site to be used in the evaluation. Each project must agree to underwrite the cost of one trip of the project director to Washington, D.C., during each grant year for orientation and review meetings related to the evaluation.

e. Costs

Costs which may be covered by grant funds include:

- . Personnel, hired directly or through contract, plus fringe benefits
- . staff travel and related costs
- . office space and other occupancy costs, where necessary
- . supplies and equipment
- . printing and duplicating of materials, as needed
- . telephone, postage and clerical costs

Note: Project funds cannot be spent for the costs of case investigations mandated by law or to duplicate other services already available from other agencies within the community. The acquisition of such services must be through linkages which would be an integral part of the project's coordination plan.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a program narrative exceed 40 pages, plus necessary attachments such as organizational charts, timetables, resumes and letters of agreement and support. Applicants should follow the outline provided below in organizing their program narratives.

a. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY, INCLUDING GEOGRAPHICAL LOCATIONS (4 pages maximum, single-spaced)

- . A brief description of the precise community or catchment areas to be served by the proposed project and an estimated caseload, based on previous local data on child abuse and neglect, which will be served by the project, specifying a minimum number below which the project would be unable to achieve its objectives.
- . A brief background description of how the applicant agency (or the particular section of a larger agency which will have responsibility for this project) is organized and the types and quantity of services it provides.

b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single-spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the project in terms of the goals and objectives of the demonstration; and (2) briefly summarize the results or benefits expected in terms of the clients served, the community's child protective system, the community at large, and the knowledge to be generated concerning the child protective system. Project objectives should be more fully explained in the following section on Approach.

c. APPROACH

- (1) Work Plan (15 pages maximum, single-spaced plus time tables, charts, and resumes)

This portion of the program narrative should reflect a conceptualization of the issues to be resolved related to the improvement of the child protective system, the goals that are to be achieved, the theoretical underpinning of the approach and the operational methods that are to be utilized in their accomplishment. It should address the approaches that will be

used in relating to the following aspects of the child protective process (insofar as they are relevant to the proposed project activities):

- . conceptual framework
- . operational definitions
- . identification and reporting procedures
- . investigation, case validation and case planning procedures
- . court involvement
- . provisions of treatment and supportive services to clients (including children)
- . provision for encouraging and handling self-referrals and self-help
- . provision of support to primary preventive efforts
- . enhancement of community support and agency coordination

In addition, the work plan should include:

- . A narrative explanation of scheduling for project start-up and other major activities, plus a timetable.
- . Information about personnel who will manage and deliver services of the project, including brief job descriptions for each position and names and resumes for those positions for which staff have already been designated. Specific reference should be made in resumes or the narrative to previous experience with problems of child maltreatment and with the agencies related to its investigation, diagnosis, adjudication and/or treatment.
- . A definite plan for the institutionalization of the program components to be funded by the grant.

(2) Project Evaluation (1 page maximum, single-spaced)

This portion of the program narrative should include the applicant's certification that it will cooperate fully with an outside evaluator assigned by NCCAN to study project processes, costs, client impact, child protective system impact and community impact. Such cooperation will include at least one meeting each year in Washington, D.C., with travel and per diem costs to be borne by the grant, for the purposes of initial orientation and annual review relative to the evaluation process. All NCCAN evaluation studies will adhere to Federal policies regarding the protection of individual rights of privacy.

(3) Reports (1 page maximum, single-spaced)

This portion of the program narrative should include the applicant's certification that it will cooperate with NCCAN by providing quarterly reports on a schedule to be established after grant award. Reports will include both descriptive and quantitative information necessary for grant monitoring, project evaluation and NCCAN accountability within the Children's Bureau of the Administration for Children, Youth and Families and the Department of Health, Education and Welfare. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibility to serve as a demonstration to other agencies with similar capabilities and other communities interested in improving prevention and treatment service delivery. This section should describe the ways in which the project will share its experiences both within its own community and with broader human service audiences.

B. Community-Based Child Abuse and Neglect Prevention and Treatment

1. Introduction

The objectives of this group of projects are:

- a. To prevent child abuse and neglect by providing services to the host agency's general clientele which improve family capacities to adequately care for children;
- b. To prevent child abuse and neglect by encouraging self-referrals and providing early preventive services to vulnerable families;
- c. To assist public child protection agencies through prompt identification and reporting of known and suspected cases of child abuse and neglect; and
- d. To assist diagnostic and treatment efforts of child protection agencies by accepting referrals from them to provide necessary family-supportive services.

Approximately ten grants will be awarded. Projects will be supported for three years (within limitations of the availability of funds) at levels between \$80,000 and \$120,000, in FY 1978. In FY 1979, projects will be required to assume 20% of project budgets, and in FY 1980, the local share will be 50% of project budgets. The amount of the grant awarded will be based on the work proposed and the anticipated results.

2. Background

Based on current research findings and the experience of the first group of demonstration projects funded by the NCCAN, it is clear that many families reported to child protective agencies have a history of previous personal and family problems and have been subjects of concern to schools and other community agencies. At best, these families may have received segmented and sporadic assistance insufficient to stop the process of family deterioration before it reached actual abuse and neglect. If agencies are alert to these "early warning signals" and if early services are made available to these families in a nonthreatening atmosphere, then real progress in preventing child maltreatment will be possible.

Even after protective services become involved, treatment is most effective when it is provided in the same sort of non-threatening atmosphere. Furthermore, any attempt to create the broad range of treatment services necessary to deal with complex child abuse and neglect situations within child protective agencies would be costly duplication of existing resources not likely to receive the support of budgeting authorities.

The provision of small grants to support the development of specifically targeted efforts in prevention and treatment of child abuse and neglect outside the formal structure of public child protection agencies will not only increase the overall capacity to handle child abuse and neglect at the community level, but will foster the development of a truly community-based network of child protective services, leaving the mandated child protection agencies with greater freedom to focus on investigation of new cases and immediate protection of children in danger. Support for the development of shared responsibility for the prevention and treatment of child abuse and neglect will enhance the community's total child welfare system and create a more integrated and responsive, and a less punitive, threatening, family-support network.

These projects will demonstrate how to improve community-based approaches to the delivery of prevention and treatment services, how to expand the range and quantity of services available to families at risk or already identified as abusive and/or neglectful, how to strengthen the effectiveness of the mandated child protection agencies through the added support of other agencies, and what specific types of non-child protection agency program components can be replicated in other communities with relatively little additional fiscal support. Because the size of the grant support will be small and increased levels of local matching funds will be required for continuation funding after the initial year, it is also expected that this program can be continued after the Federal demonstration project period is concluded.

3. Key Features of Project Activities

a. Project Scope

The functioning of community child protection systems can be substantially improved by the addition and/or modification of specific program components, not requiring substantial additional funding. These projects will identify cost effective program components and the best means of their installation and institutionalization. Each project will install one or more new or modified program components in at least three geographically separate sites at which it presently provides services. Each project will be required to specify the particular program components to be installed at each site.

Community-based Child Abuse and Neglect Prevention and Treatment projects are expected to identify and implement those services most effective in preventing child abuse and neglect, develop means of identifying vulnerable (high risk) families, identify and implement those service elements in their present programs of most value in the diagnosis and treatment of cases referred by child protection agencies, and demonstrate that these services are accessible at a feasible cost.

Projects should address at least three of the previously listed objectives for this group of projects.

Applicants should propose issues within the objectives to be addressed that they identify as most relevant to their own goals.

Examples of the services in support of such objectives include:

For medical programs: prenatal and perinatal counseling, post-natal follow-up (including home visitors), Well-Baby Clinic family counseling.

For schools: parent education programs for parents and/or teenagers and school guidance and family counseling services for vulnerable families.

For family service centers: parent counseling and training services (including infant stimulation and nutrition training programs for parents), marital and family stress counseling, respite and crisis child care, and emergency family shelters.

For mental health programs: individual and group therapy, community family-oriented mental health education.

For day care and other preschool programs: parent education, respite and crisis child care, parent education and parent self-help programs, and therapeutic services for children.

These examples are meant to be suggestive, not prescriptive. Agencies should propose the development and implementation of preventive and/or treatment components which meet the experienced needs of families in their service areas, which fall within their capabilities and mission as human service agencies to deliver, and which can be installed and institutionalized without large amount of additional funding.

b. Personnel

Staff of the Community-Based Prevention and Treatment projects may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services. The applicant must specify a project director with authority and coordination responsibility for the project. Personnel should have working knowledge and experience with the human service needs of the agency's clientele.

c. Management

Management of these projects (including fiscal accounting and controls, personnel recruitment and direction, supervision of all program components, reporting to NCCAN for monitoring and evaluation purposes and coordination with an outside evaluation funded by NCCAN) will be an important grantee responsibility. Specific responsibility will be coordination with local child protection agencies, law enforcement agencies and other human service providers to ensure effective communication and cooperation with project goals and purposes and necessary responsiveness in making and accepting referrals and service recommendations.

d. Evaluation

Evaluation of these projects will be conducted by an outside evaluator under contract to NCCAN. The evaluator will provide projects with necessary instruments for collecting and forwarding data. Each project must designate one additional site as a comparison/control site, at which no demonstration program component is installed, and agree to collect certain data from that site to be used in the evaluation.

Each project must also agree to underwrite the costs of one trip of the project director to Washington, D.C., during each grant year for orientation and review meetings related to the evaluation.

e. Costs

Costs which may be covered by grant funds include:

- . personnel, hired directly or through contract, plus fringe benefits
- . staff travel and related costs
- . office space and other occupancy costs, where necessary

- . supplies and equipment
- . printing and duplicating materials, as needed
- . telephone, postage and clerical costs
- . allowable DHEW-audited overhead costs.

Note: Project funds cannot be spent for the costs of case investigations mandated by law or to duplicate other services already available from other agencies within the community. The acquisition of such services must be through linkages which would be an integral part of the project's coordination plan.

4. Guidance for Preparation of Program Narrative

The program narrative should be concise and clear. Applicants are urged to adhere to the recommended limitations on numbers of pages. In no case should a proposal program narrative exceed 40 pages, plus necessary attachments such as organizational charts, timetables, resumes and letters of agreement and support. Applicants should follow the outline provided below in organizing their program narratives.

a. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY, INCLUDING GEOGRAPHICAL LOCATIONS (4 pages maximum, single-spaced)

This portion of the program narrative should provide the following information:

- . A brief description of the three precise community or catchment areas to be served by the proposed project and an estimated caseload. If diagnostic or treatment services are proposed, the applicant should specify a minimum number below which the project would be unable to achieve its objectives, based on previous local data on child abuse and neglect.
- . A brief background description of how the applicant agency (or the particular section of a larger agency which will have responsibility for this project) is organized and the types and quantity of services it provides.
- . A brief account of how the applicant agency is currently related to the provision of services to prevent, identify, diagnose, or treat child abuse or neglect.

b. OBJECTIVES AND RESULTS OR BENEFITS EXPECTED (2 pages maximum, single-spaced)

This portion of the program narrative should (1) briefly summarize the specific problems addressed by the project in terms of the goals and objectives of the demonstration; and (2) briefly summarize the results or benefits expected in terms of the clients served, the community's child protective system, the community at large, and the knowledge to be generated concerning prevention and/or treatment of child abuse and neglect. Project objectives should be more fully explained in the following section on Approach.

c. APPROACH

(1) Work Plan (15 pages maximum, single-spaced)

This portion of the program narrative should reflect a conceptualization of the issues to be resolved related to child abuse and neglect prevention and/or treatment, the goals that are to be achieved, the theoretical under-pinning of the approach and the operational methods that are to be utilized in their accomplishments. It should address the approaches that will be used in relating to the following aspects of the child protective process (insofar as they are relevant to the proposed project activities):

- . conceptual framework
- . operational definitions
- . identification and reporting procedures
- . case validation and case planning procedures
- . court involvement
- . provision of treatment and supportive services to clients
- . provision for encouraging and handling self-referrals and self-help
- . agency and service management
- . provision of support to primary preventive efforts

- . enhancement of community support and agency coordination

In addition, the work plan should include:

- . A formal letter of agreement with legally mandated public Child Protection agency that deal with (1) how the project will handle issues of reporting as mandated by State law and investigation of cases which are self-referred to the project sites for preventive or treatment services; (2) procedures for receiving and managing cases referred by the Child Protection Agency; and (3) establishment of continuing lines of communication with the Child Protection agency. If the applicant agency participates in a community or State child abuse and neglect council or team, this participation and the group's composition should be briefly described.
- . A narrative explanation of scheduling for project start-up and other major activities, plus a timetable.
- . Information about personnel who will manage and deliver services of the project, including brief job descriptions for each position and names and resumes for those positions for which staff have already been designated. Specific reference should be made in resumes or the narrative to previous experience the human service needs of the agency's clientele or with problems of child maltreatment and with the agencies related to its investigation, diagnosis, adjudication and/or treatment.
- . A definite plan for the assumption of the increased local share during years two and three of the project period, and a definite plan for the institutionalization of the program components to be funded by the grant.

(2) Project Evaluation (1 page maximum, single-spaced)

This portion of the program narrative should include the applicant's certification that it will cooperate fully with an outside evaluator assigned by NCCAN to study project processes, costs, client impact, child protective system impact and community impact. Such cooperation will include at least one

meeting each year in Washington, D.C., with travel and per diem costs to be borne by the grant, for the purposes of initial orientation and annual review relative to the evaluation process. All NCCAN evaluation studies will adhere to Federal policies regarding the protection of individual rights to privacy.

(3) Reports (1 page maximum, single-spaced)

This portion of the program narrative should include the applicant's certification that it will cooperate with NCCAN by providing quarterly reports on a schedule to be established after grant award. Reports will include both descriptive and quantitative information necessary for grant monitoring, project evaluation and NCCAN accountability within the Children's Bureau of the Administration for Children, Youth and Families and the Department of Health, Education and Welfare. These reports are separate and distinct from the fiscal accounting reports required by the Department's accounting division. HEW requires the submission of a final report within 90 days of the end of the project period.

d. UTILIZATION AND DISSEMINATION (2 pages maximum, single spaced)

This portion of the program narrative should address the project's responsibility to serve as a demonstration to other agencies with similar capabilities and other communities interested in improving prevention and treatment service delivery. This section should describe the ways in which the project will share its experiences both within its own community and with broader human service audiences.

CONTINUED

1 OF 2

DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
Office of Human Development Services
Administration for Children, Youth and Families
CHILD ABUSE AND NEGLECT GRANTS PROGRAM:
Fiscal Year 1978 Regional Child Abuse and Neglect
Resource Center Grants (Program Announcement No. 13628-784)

AGENCY: National Center on Child Abuse and Neglect/Children's Bureau
ACYF, HDS, HEW

SUBJECT: Announcement of Availability of Grant Funds for FY 1978 Child
Abuse and Neglect Grants Program REGIONAL CHILD ABUSE AND NEGLECT
RESOURCE CENTER GRANTS

SUMMARY: The Administration for Children, Youth and Families announces
that applications are being accepted for Regional Child Abuse and
Neglect Resource Center grants for Fiscal Year 1978. This program
is authorized by the Child Abuse Prevention and Treatment Act,
as amended. (Public Law 93-247)
Regulations applicable to this program are 45 CFR Part 1340
and 45 CFR Part 220.

DATES: The closing date for receipt of applications is July 14, 1978.

Scope of this Program Announcement

This program announcement is one of four for the Child Abuse and Neglect
Grants Program: Regional Child Abuse and Neglect Resource Centers. These
centers are authorized by Sections 2(b), 4(a) and 5 of Public Law 93-247.
The National Center on Child Abuse and Neglect supported 16 demonstration
resource centers between December 1974 and June 1978. In planning for
future Federal efforts to prevent and treat child abuse and neglect, NCCAN
determined that certain crucial activities could best be undertaken by a
modified continuation of the resource center program. Budgetary con-
straints led to a decision to reduce the number of resource centers from
16 centers to 10 centers.

A. Program Purpose

The primary purpose of the Regional Child Abuse and Neglect Resource Centers is to support State and local efforts to prevent and treat child abuse and neglect. One Regional Child Abuse and Neglect Resource Center will be established by a grant awarded on a competitive review basis in each of the ten HEW Federal Regions. (See Appendix 1)

B. Eligible Applicants

Public and private nonprofit organizations or institutions of higher learning may apply for a grant under this announcement. Applicants must be physically located within the geographical Region which they propose to serve at the time application is submitted, and must have the capability of serving all parts of the Regional (multi-state) jurisdiction, including Indian reservations, military installations and migrant farm worker communities. Applications for grants to serve in geographical Regions other than the ones from which the applications are submitted will be considered ineligible and will not be received.

C. Available Funds

The total appropriation for the FY 1978 Child Abuse and Neglect program is \$18.928 million. Of that amount, \$2.5 million has been allocated to the Regional Child Abuse and Neglect Resource Center grants program. Funds available for each Regional Resource Center are based upon a formula that includes consideration of child population (under age 18) and geographical/travel requirements. The anticipated funding for FY 1978 is the following:

Region I	\$223,220
Region II	\$240,324
Region III	\$248,820
Region IV	\$295,492
Region V	\$302,407
Region VI	\$261,420
Region VII	\$220,442
Region VIII	\$241,090
Region IX	\$257,414
Region X	\$209,369

A local match is not required as a part of this grant program. Projects will be supported for a period not to exceed four years and the initial grant will sustain the Federal share of the budget for the first year of the project. Continuation funding depends upon the satisfactory performance of the project and the availability of funds.

D. Program Objectives

Applications are solicited for projects which reflect the following program objectives:

1. To act as Regional libraries of printed and audiovisual materials and as disseminators of information and materials on the prevention, identification and treatment of child abuse and neglect.
2. To facilitate interstate sharing and coordination of program innovations and child protection planning processes.
3. To assist in establishing and improving training programs, with specific focus on improving the capabilities of professionals and paraprofessionals with child protective service responsibilities to respond with sensitivity to cultural and linguistic minority group clients.
4. To assist state and local agencies and organizations within each Region to address Region-specific objectives for improving and expanding child abuse and neglect prevention and treatment services. (Development of subobjectives to implement this objective will be deferred to the first quarter of the grant year.)
5. To organize and facilitate the provision of multidisciplinary child abuse and neglect case consultation, especially to small communities where such consultation is not otherwise readily available.

These objectives are meant to be multidisciplinary and to assist States and local communities in developing, expanding and improving their child protective systems.

Additional information is available in Program Guidance which accompanies the necessary application forms.

E. The Application Process

Availability of Application Forms: Organizations and agencies wishing to apply under this grant program may request application forms from

National Center on Child Abuse and Neglect
Children's Bureau/Administration for Children,
Youth and Families
P.O. Box 1182
Washington, D.C. 20013

A-95 Clearinghouse Notice: In compliance with the Department of Health, Education, and Welfare's implementation of Office of Management and Budget Circular No. A-95 Revised (interim procedures at 41 FR 3160, July 29, 1976), applicants who request grant support must, prior to submission of an application, notify both the State and Areawide A-95 Clearinghouses of the intent to apply for Federal assistance. If the application is for a Statewide project which does not affect areawide or local planning and programs, the notification need be sent only to the State Clearinghouse. Some State and Area Clearinghouses provide their own forms on which such information is to be submitted. Applicants should contact the appropriate State Clearinghouse (listed at 42 FR 2210, January 10, 1977) for information on how they can meet the A-95 requirements.

Application Submission: In order to be considered for a grant under the Child Abuse and Neglect Grants Program, an application must be submitted on the forms and in the manner prescribed by ACYF. The application must be signed by an individual authorized to act for the applicant agency and to assume the obligations imposed by the terms and conditions of the grant award, including the regulations of the Program.

One signed original and two copies of the grant application, including all attachments, are required.

Applications sent by mail should be addressed as follows:

Department of Health, Education and Welfare
Office of Human Development Services/Switzer Building
Grants Management Branch - Room 1427
330 C Street, S.W.
Washington, D.C. 20201 13628 - 784

Application Consideration: The Commissioner, Administration for Children, Youth and Families, determines the final action to be taken with respect to grant applications. All applications which are complete and conform to the requirements of this program announcement are subjected to a competitive review and evaluation by qualified persons independent of the program office. The results of the review assist the Commissioner in considering competing applications. The Commissioner's consideration also takes into account comments of the A-95 Clearinghouses, the HEW Regional Offices and Headquarters program offices. Comments may also be requested from appropriate specialists and consultants inside and outside the Federal government.

After the Commissioner has reached a decision either to disapprove or not to fund a competing grant application, unsuccessful applicants are notified in writing of that decision. Successful applicants are notified through issuance of a Notice of Grant Awarded which sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which support is given, the total grantee participation expected and the total period for which support is contemplated.

F. Criteria for Review and Evaluation of Grant Applications

Competing grant applications will be reviewed and evaluated by a panel of reviewers/field readers against the following criteria:

1. That the estimated cost to the Government of the project is reasonable considering the anticipated results.
2. That project personnel are or will be well qualified and the applicant organization has or will have adequate facilities and resources.
3. That the proposed procedures or work program, if well executed, will be capable of attaining project objectives.
4. That the project objectives are identical with or are capable of achieving the specific program objectives defined in the program announcement.
5. That the applicant demonstrates familiarity, experience and effectiveness in assisting service-providers to enhance prevention and treatment of child abuse and neglect in the Region within which it is to serve.
6. That the applicant certifies willingness to cooperate with established procedures to measure and evaluate performance.

G. Closing Date for Receipt of Applications

The closing date for receipt of applications for this program announcement by July 14, 1978. Applications submitted after the closing date, at

5:30 p.m., will be considered ineligible and will not be reviewed. The competitive review process is scheduled to be completed and grant awards are to be made in August 1978.

An application sent by mail will be considered to be received on time by ACYF, if:

- a. The application was sent by registered or certified mail not later than July 11, 1978, as evidenced by the U.S. Postal Service postmark on the wrapper or envelope, or on the original receipt from the U.S. Postal Service; or
- b. The application is received on or before the closing date by the DHEW mail room in Washington, D.C.

An application delivered by hand must be taken to OHDS, Room 1427, Switzer Building, 330 C Street, S.W., Washington, D.C. Hand-delivered applications will be accepted daily between the hours of 9:00 a.m. and 5:30 p.m. (Eastern Time), except Saturdays, Sundays and Federal holidays.

Catalog of Federal Domestic Assistance Program Number: 13.628 - Child Abuse

Dated:

/s/ Blandina Cardenas
Commissioner, Administration for
Children, Youth and Families

Approved:

/s/ Arabella Martinez
Assistant Secretary for
Human Development Services

APPENDIX 1

The Federal HEW Regions:

Region I - Connecticut, New Hampshire, Maine, Vermont, Massachusetts and Rhode Island.

Region II - New Jersey, New York, The U.S. Virgin Islands, and Puerto Rico.

Region III - Maryland, Delaware, Pennsylvania, Virginia, West Virginia and the District of Columbia.

Region IV - North Carolina, South Carolina, Georgia, Florida, Alabama, Tennessee, Mississippi and Kentucky.

Region V - Ohio, Indiana, Illinois, Wisconsin, Michigan and Minnesota.

Region VI - Louisiana, Arkansas, Oklahoma, Texas and New Mexico.

Region VII - Kansas, Missouri, Iowa and Nebraska.

Region VIII - Colorado, Utah, Montana, Wyoming, North Dakota and South Dakota.

Region IX - Arizona, Nevada, California, Hawaii, Guam and the Pacific Trust Territories.

Region X - Alaska, Idaho, Oregon and Washington.

IV. Regional Child Abuse and Neglect Resource Center Program Guidance

A. Introduction

The objectives of the Regional Child Abuse and Neglect Resource Centers are:

1. To act as Regional libraries of printed and audiovisual materials and as disseminators of information and materials on the prevention, identification and treatment of child abuse and neglect.
2. To facilitate interstate sharing and coordination of program innovations and child protection planning processes.
3. To assist in establishing and improving training programs, with specific (though not exclusive) focus on improving the capabilities of professionals and paraprofessionals with child protective responsibilities to respond with sensitivity to cultural and linguistic minority clients.
4. To assist State and local agencies and organizations within each Region to address Region-specific objectives for improving and expanding child abuse and neglect prevention and treatment services.
5. To organize and facilitate multidisciplinary child abuse and neglect case consultation, especially to small communities where such consultation is not otherwise readily available.

B. Key Features of Center Activities

f. Project Scope

- a. To act as Regional libraries of printed and audiovisual materials and as disseminators of information and materials on the prevention, identification and treatment of child abuse and neglect.

The National Center on Child Abuse and Neglect (NCCAN) intends that the 10 Regional Resource Centers will form an information network which will include the NCCAN Information Clearinghouse of the Children's Bureau and the National Demonstration Resource Centers (See Program Announcement and Program Guidance 13628 - 782). To implement this network, a joint orientation/planning meeting will be convened in October or November 1978 to clarify procedures to insure the following:

- distribution of materials printed by NCCAN to all Resource Centers
- access by all Regional Resource Centers to the NCCAN Information Clearinghouse computerized data base
- sharing of materials developed or collected by the Regional Resource Centers among each other and with the NCCAN Information Clearinghouse

- . development and implementation of uniform procedures for handling, referring and recording mail and telephone requests for information and for screening and referring service-related inquiries
- . control and dissemination of TV and radio public awareness materials
- . dissemination of curriculum materials.

While the major portion of this Fall meeting will focus on information library and dissemination activities, the other major tasks will also be discussed. Subsequent meetings will be scheduled on a semiannual basis.

For purposes of budgeting, applicants should assume that bulk copies of NCCAN publications will be forwarded to Regional Resource Centers without charge; costs of computer terminal equipment and data-base searches and costs of mailing materials from Regional Resource Centers must be borne by the grantees.

In order to carry out the requirements of the information library and dissemination objective, grantees must have an efficient capacity for managing bulk and individual mailings, technical capabilities to carry out searches of the computerized data-base and the staff and facilities necessary to organize, maintain and use small libraries of printed and audiovisual materials.

NCCAN does not foresee development of new materials as a major component of Regional Resource Center activity, except insofar as Region-specific directories, brochures, publications lists, proceedings or conference reports and newsletters may be deemed useful to accomplish the objective.

- b. To facilitate interstate sharing and coordination of program innovations and child protection planning processes.

This task addresses the need to establish information networks within each Region which will make it possible for program planners, practitioners and advocates to profit from each other's experiences and knowledge. The core of this network should be the respective State agencies with legally mandated child protection responsibilities. (See Section B.) In addition, a continuing link with NCCAN-funded research and demonstration projects within each Region can effectively support this objective. (New Research and Demonstration projects are scheduled to begin in October 1978.) Some ways of effectively implementing this objective include the use of regular meetings of the Resource Centers' steering committees, occasional Regional multidisciplinary conferences or symposia and periodic newsletters.

- c. To assist in establishing and improving training programs, with specific (though not exclusive) focus on improving the capabilities of professionals and paraprofessionals with child protective service responsibilities to respond with sensitivity to cultural and linguistic minority clients.

The role of the Regional Resource Centers is one of assistance to training programs, rather than direct provision of training as it was in the demonstration phase of the Child Abuse and Neglect Resource Center program. The assessments of a number of demonstration Resource Centers that such a support role had the most cost-beneficial and lasting results led to this refinement in tasks. The special focus of this assistance, related to assisting institutions of professional and continuing education and agencies with in-service training programs in addressing minority client needs, emanates from a persistent theme in the field; namely, that persons responsible for child protective intervention are too often ill-equipped to assess the problems and the needs of clients of racial and linguistic minority populations. One of the most compelling approaches for addressing this problem involves the recruitment and training of more minority professionals and paraprofessionals, in order that services may be provided by workers who share the culture and language of the families in need of services. The role of Regional Resource Centers will be to advocate for training programs to address this issue and to assist those institutions or agencies that are ready to develop relevant training programs.

One aspect of the special responsibility for cultural and linguistic minority populations will be to address the needs and be responsive to the special circumstances of Indians and migrant farmworkers within the respective Regions. The Regional Resource Centers will consult with the Child Abuse and Neglect Specialist assigned to the Indian and Migrant Programs Division/ACYF on program matters relating to Indians and migrant farmworkers.

- d. To assist State and local agencies and organizations within each Region to address Region-specific objectives for improving and expanding child abuse and neglect prevention and treatment services.

A major task of the Regional Resource Centers will be Region-specific technical assistance. The subobjectives of this general objective must be developed from assessments of program and organizational needs within each Region. In the past, though demonstration Resource Centers provided a portion of this kind of technical assistance in the Region, most of it was managed by the Regional Offices of DHEW (specifically the Regional Child Abuse and Neglect Specialists). Under NCCAN's revised plan for FY 1978 and the following fiscal years, Regional Resource Centers will be the primary mechanisms for the provision of Region-specific technical assistance. The organizational structure outlined below purposely maintains a leadership and oversight role for Regional Child Abuse and Neglect Specialists.

Because this technical assistance is unique to each Region, it is expected that applicants will plan to expend a minimum of 30% of their personnel time and other resources on this objective but that an actual work plan will be devised by grantees in collaboration with the Regional Specialists and steering committees during the first quarter of the grant year for

review and approval by NCCAN. Examples of the kinds of technical assistance previously provided by demonstration Resource Centers and/or Regional Offices include:

- . drafting of State legislation
 - . development of public school reporting policies
 - . establishment of 24-hour "hotlines"
 - . development of community interagency and advocacy councils
 - . reorganization of agencies
 - . development of rural service delivery systems
 - . establishment of guardian ad litem systems in juvenile courts
 - . establishment of crisis nurseries for children
 - . establishment of multidisciplinary case consultation teams, including hospital teams
 - . development of public awareness campaigns
 - . establishment of information systems, including central registers.
- e. To organize and facilitate multidisciplinary child abuse and neglect case consultation, especially to small communities where such consultation is not otherwise readily available.

To implement this task, which is a direct mandate of NCCAN activity from the Child Abuse Prevention and Treatment Act, Regional Resource Centers may be best advised to organize available "teams" of consultants representing child abuse and neglect specialties such as law, pediatrics, psychiatry and social work on a State-by-State basis and in collaboration with the State agency with legislatively mandated child protection responsibilities. Many of the demonstration Resource Centers developed such a consultation capability, either directly or through a brokerage system of referrals. Either approach is appropriate. NCCAN intends that all of the Regional Resource Centers develop and implement this objective.

2. Organization and Management

a. Planning of Subobjectives

Each Regional Resource Center must develop the details of its work plan based on the five mandated objectives and in response to the felt needs of the States and communities within its Region. An appropriate approach for setting out these plans is to develop subobjectives for each of the five objectives. These subobjectives should be specific and measurable. Development of subobjectives for Task 4 (to provide Region-specific technical assistance) should be deferred until the first quarter of the grant year, when the process can be undertaken with the informed judgment of members of the steering committee to define pressing needs and appropriate forms of technical assistance to meet those needs. The planning process will be an on-going organizational and management requirement of Regional Resource Centers, and

plans that include detailed, measurable subobjectives will be required by NCCAN on an annual basis. NCCAN will use approved plans as a basis for its evaluation of Regional Resource Center performance.

b. Steering Committees

Each Regional Resource Center must organize and maintain a steering committee, composed, at a minimum, of the P.L. 93-247 State Liaison persons. In addition, they should include representatives of law enforcement agencies, the juvenile (or family) courts, appropriate public, private and parental organizations, and individuals of distinction in human services, health services, law and community life, broadly representative of social and economic groups in the Region. At least one representative should be from a parent/consumer organization. The permanent chairperson of the steering committee must be the Regional Child Abuse and Neglect Specialist (or another person designated by the Regional Office Children, Youth and Family Unit of DHEW). The steering committee should meet a minimum of two times each year. The purpose of the steering committee is to provide leadership and consultation to the Regional Resource Center program on planning, implementing and evaluating the five task areas. One immediate task of the steering committee will be to assist the Regional Resource Center in establishing Region-specific technical assistance subobjectives for implementation during the first grant year.

c. Staff

Each Regional Resource Center must have a Director who has overall responsibility for program and staff supervision and is the principal staff person responsible for coordination with NCCAN and the Regional Office of DHEW. Staff may include full and part-time professionals and paraprofessionals with the necessary skills, experience and training to provide the proposed services. Consultants with specialized skills may also be included in the Regional Resource Center staffing. Because these Regional Resource Centers are not research or demonstration projects, there will be no principal investigator positions. Experience from the demonstration Resource Centers suggests that the most effective staffing includes: (1) multidisciplinary permanent staff with generalist skills and experience and understanding of organizational structures, and (2) specialist consultants available on an as-needed basis.

d. Relationship with NCCAN

Each Regional Resource Center will be assigned a Government Project Officer (GPO), who will be a professional staff member of NCCAN in Washington, D.C. The GPO will work with the Regional Child Abuse and Neglect Specialists and the Regional Resource Center Directors to carry out necessary monitoring of Regional Resource Center programs and to provide consultation as needed. In accordance with Departmental policy, the GPO will make at least one site visit to each Regional

Resource Center each year. Budget and program decisions requiring grant modifications will be made after consultation among the GPO, the Regional Specialists and the Resource Center Directors.

3. Evaluation of Regional Resource Centers

Evaluation of Regional Resource Centers will involve three components and will form the basis for continuation funding on an annual basis.

a. Performance Standards

NCCAN will develop and distribute performance standards based on the five objective areas of the Regional Resource Center work program. These standards will seek to measure:

- . quantity of services provided
- . recipient feedback on utility of services provided
- . geographical coverage of services provided
- . efficiency of program planning.

While performance standards will be largely self-administered, oversight responsibility for the quality of the assessment will rest with the steering committee, and the GPO and the Regional Specialists are responsible for validating assessment findings prior to approval of continuation funding.

b. Quarterly Reports

Regional Resource Centers will be required to submit quarterly reports to NCCAN, using a format defined by the performance standards and incorporating both quantified and narrative information on program accomplishments and future plans .

c. Government Monitoring

The GPO and the Regional Specialists will have responsibility for validating evaluation data on the efforts of the Regional Resource Centers and recommending NCCAN/CB/ACYF approval of continuation funding on an annual basis.

4. Costs

Costs which may be covered by grant funds include:

- . personnel, hired directly or through contract
- . office space and related occupancy costs
- . library and audiovisual materials
- . audiovisual equipment

- . computer terminal equipment lease and cost of searches
- . printing and duplicating costs
- . allowable DHEW-audited overhead costs

Grant funds may only be used for the purposes of carrying out the tasks outlined for Regional Resource Centers. They may not be used to support or supplement other agency or organizational programs. Grant funds also may not be spent for the costs of case investigations mandated by law or to duplicate other case consultation services already available from other agencies. The acquisition of such services must be through linkages which would be an integral part of the Center's implementation of its objectives.

C. Guidance for Preparation of Program Narratives

1. ELIGIBILITY AND CAPABILITY OF APPLICANT ORGANIZATION, INCLUDING GEOGRAPHICAL LOCATION (10 pages maximum, single spaced)

The applicant's program narrative should include the following information:

- a. A clear description of the applicant's familiarity with child abuse and neglect prevention and treatment efforts in the Region, both public and private.
 - b. A concise discussion of the applicant's past role or experience in the child abuse and neglect field.
 - c. An explicit description of the applicant's demonstrated capacity to carry out the five mandated task objectives of Regional Resource Centers.
2. APPROACH AND WORK PLAN (15 pages maximum, single spaced, plus timetables, resumes and organizational charts)

The applicant's program narrative should include the following details related to the first year work plan:

- a. Structure of the Regional Resource Center
 - . staff organizational plan and use of consultants
 - . staff assignments as they relate to task, jurisdictional or disciplinary areas
 - . relationships with steering committee, Regional Office Specialist and NCCAN
 - . composition of steering committee
- b. Strategies to Accomplish Regional Resource Center Objectives
 - . geographical coverage of the Region
 - . multidisciplinary impact
 - . short and long-term improvements in prevention and treatment of child abuse and neglect

- c. Start-up and Milestones of Accomplishment for Regional Resource Center
 - . information library and dissemination (Task 1)
 - . facilitation of interstate sharing and planning (Task 2)
 - . assistance to training programs (Task 3)
 - . development and implementation of Region-specific technical assistance subobjectives (Task 4)
 - . organization and facilitation of case consultation (Task 5)
- d. Personnel for Regional Resource Center
 - . position descriptions
 - . plus resumes for those persons already determined
 - . Director should be identified.
- e. Record-keeping and approach to self-assessment and monitoring of performance standards.
- f. Fiscal management and accountability

3. PERFORMANCE STANDARDS AND QUARTERLY REPORTS (2 pages maximum, single spaced)

The applicant's program narrative should include certification of the applicant's agreement to cooperate with NCCAN's establishment of performance standards for assessment of Regional Resource Center activities and to submit quarterly reports following a format and a schedule to be prescribed after grant award, with copies provided to the Regional Child Abuse and Neglect Specialist. HEW requires submission of a final report within 90 days of the end of the project period.

4. TITLE OF REGIONAL RESOURCE Centers ($\frac{1}{2}$ page maximum, single spaced)

The applicant's program narrative should include certification that the program, if funded by NCCAN/CB, will be titled the Region # _____ Child Abuse and Neglect Resource Center and will be identified as such on correspondence, brochures, newsletters, etc. This provision is required to support the network concept of Regional Resource Centers and to insure appropriate public recognition of their purpose, function and relationship to the National Center on Child Abuse and Neglect.

5. COORDINATION (1 page maximum, single spaced)

The applicant's program narrative should include certification of its agreement to participate collegially with the other Regional Resource Centers, the NCCAN Information Clearinghouse and NCCAN staff and the National Resource Centers for Professionals and Minority Populations in developing and operating a nation-wide network for the dissemination of information. As a part of this coordination, applicants should agree to bear the costs of at least two trips of the Center Director to Washington, D.C., during each grant year for the purposes of meeting with colleagues from other Regional and National Centers and NCCAN staff.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF HUMAN DEVELOPMENT

Instructions for Applying for Grants from OHD Programs

Introduction

Use of Forms

These forms shall be used to apply for all new discretionary grants awarded by the Office of Human Development. They shall also be used to request supplemental assistance, propose changes or amendments, and request continuation or refunding for previously approved grants from the Office of Human Development. An original and two copies of the forms should be submitted to the responsible funding office. If an item cannot be answered or does not appear to be related or relevant to the assistance required, write "NA" for not applicable.

Catalog of Federal Domestic Assistance Number and A-95 Coverage

In addition to the instructions included herein, applicants for certain OHD grants shall adhere to the provisions of OMB Circular A-95. The following table provides a listing of all OHD discretionary grant programs identified by Catalog of Federal Domestic Assistance Number, and shows those activities which must adhere to the provisions of OMB Circular A-95 and those which are exempt from coverage:

<u>CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER</u>	<u>PROGRAMS OR ACTIVITIES COVERED BY OMB CIRCULAR A-95</u>	<u>PROGRAMS OR ACTIVITIES NOT COVERED BY OMB CIRCULAR A-95</u>
13.600	Child Development - Head Start	Child Development - Head Start Programs Administere by Federally Recognized Indian Tribes
13.608		Child Welfare Research and Demonstration
13.612	Native American Programs - Grants to Support Urban Indian Programs	Native American Programs - Programs Administerd by Federally Recognized Indian Tribes
13.623	Runaway Youth Projects	

13.628	Child Development - Child Abuse and Neglect Prevention and Treatment	
13.631	Developmental Disabilities - Special Projects (including University Affiliated Facili- ties)	
13.634	Aging Programs Title III, Section 308, Model Projects	
13.636		Programs for Aging - Research and Development
13.637	Program for the Aging - Training Grants to States for In-Service Training	Programs for the Aging - Grants to Institutions of Higher Education and Training Organizations

Applications

Applicants for new grants and competing extensions are required to submit a complete application to the appropriate program office. The complete application consists of Parts I (SF-424) through Part V. Additionally, applications must contain a completed HEW 441, Civil Rights Assurance. Applicants for continuation grants must submit Parts I, II, III, V and the applicable sections for Part IV.

Amending Grants

Grantees requesting amendments to previously awarded grants must submit an application consisting of Parts I (SF-424) through Part III and the applicable sections of Part IV. Changes in program operations which need prior approval may be requested by letter. The request must be signed by the authorized grantee official.

Submission of Applications

- (1) Continuation Grants and Competing Extensions - Applicants for Continuation or Competing Extension Grants must submit these forms no later than 90 days prior to the budget or project period end date as applicable.
- (2) New Projects - Applicants for grants to support new projects should refer to program announcements for information regarding deadline dates for submission of forms.

Instructions for Completion of Part I (SF-424)

Section I

Applicants shall complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk (*) and use the remarks section.

Item

1. Mark "Application" when used as a grant application. - (The applicant, unless otherwise advised by the State and areawide clearinghouse shall use the SF-424 as a notification of intent to apply for Federal Assistance in accordance with procedures established by these clearinghouses and OMB Circular A-95. When used for this purpose, mark "Notification of Intent".)

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared.

3a. For programs covered by OMB Circular A-95, enter the number assigned by State clearinghouses or, if delegated by State, by areawide clearinghouse. Applications submitted to OHD program offices must contain this identifier if provided by the applicable State/areawide clearinghouse. If in doubt, consult your clearinghouse.

3b. Date applicant notified of clearinghouse identifier.

4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.

If the payee will be other than the applicant, enter in the remarks section "Payee", the payee's name, department or division, complete address and employer identification number or DHEW entity number.

If an individual's name and/or title is desired on the payment instrument, the name and/or title of the designated individual must be specified.

5. Employer identification number of applicant is assigned by Internal Revenue Service. If the applicant organization has been assigned a DHEW entity number consisting of the IRS employer identification number prefixed by "1" and suffixed by a two-digit number, enter the full DHEW entity number.

- 6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. (See Introduction for number). If more than one program (e.g., joint funding) enter "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.
- 6b. Program Title from Federal Catalog. (See Introduction for program Title). Abbreviate if necessary.
7. Brief title and appropriate description of project. For notification of intent, continue in Remarks Section if necessary to convey proper description.
8. Enter appropriate letter to designate grantee type - "City" includes town, township or other municipality. If the grantee is other than that listed, specify type on "Other" line e.g., Council of Government. Note: Nonprofit organizations which have not previously received OHD program support must submit proof of nonprofit status.
9. All applicants for OHD discretionary grant funds should enter the letter "A".
10. Enter Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.
11. Estimated number of persons directly benefiting from project, as described in the program narrative.
12. Enter appropriate letter. Definitions are:
 - a. New. A submittal for the first time for a new project or project period (includes competing extension).
 - b. Renewal. Not applicable to OHD grant programs.
 - c. Revision. A modification to project nature or scope.
 - d. Continuation. Additional support for a project after the initial funding/budget period and within the approved project period.
 - e. Augmentation (Referred to elsewhere in these instructions and in other OHD publications as a "supplement"). An application for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

13. Amount requested or to be contributed during the initial funding/ budget period by each contributor. The value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. For multiple program funding use totals and show program breakouts in remarks, Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks. Note: Applicants for research grants should complete 13a only.
- 14a. Self explanatory.
- 14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide covering several districts, write "City-wide" or "State-wide."
15. Complete only for revisions (item 12c), or augmentations (Supplements) (Item 12e).
16. Approximate date project expected to begin. If initial budget period is other than 12 months, explain in Item 21 (Section IV).
17. Estimated number of months to complete project after Federal funds are available.
18. Estimated date application will be submitted to Federal agency (OHD program office) if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b.
19. Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".
20. Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.
21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

Section II

Applicants shall always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item.

Item

22b. List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.

23a. Name and title of authorized representative of legal applicant.

23b. Self explanatory.

23c. Self explanatory.

Note: Applicant completes only Sections I and II. Section III is completed by Federal agencies.

Instructions for Completion of Part II

Negative answers will not require an explanation unless the responsible OHD program office requests more information at a later date. All "Yes" answers must be explained on a separate page in accordance with the instructions.

Item 1 - Provide the name of the governing body establishing the priority system and the priority rating assigned to this project. If the priority rating is not available, give the approximate date that it will be obtained.

Item 2 - Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval. If the clearance is not available, give the date it will be obtained.

Item 3 - Attach the clearinghouse comments for the application in accordance with the instructions contained in the Office of Management and Budget Circular No. A-95.

Item 4 - Furnish the name of the approving agency and the approval date. If the approval has not been received, state approximately when it will be obtained.

Item 5 - Show whether the approved comprehensive plan is State, local or regional; or, if none of these, explain the scope of the plan. Give the location where the approved plan is available for examination, and state whether this project is in conformance with the plan. If the plan is not available, explain why.

Item 6 - Show the population residing or working on the Federal installation who will benefit from this project. (Federally recognized Indian reservations are not "Federal Installations").

Item 7 - Show the percentage of the project work that will be conducted on Federally-owned land or leased land. Give the name of the Federal installation and its location.

Item 8 - Briefly describe the possible beneficial and/or harmful effect on the environment because of the proposed project. If an adverse environmental effect is anticipated, explain what action will be taken to minimize it.

Item 9 - State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions, if additional data is needed.

Item 10 - Show the Federal Domestic Assistance Catalog number, the program number, the type of assistance, the status, the amount of each project where there is related previous, pending or anticipated assistance.

Instructions for Completion of Part III

This form is designed so that application can be made for funds to support one or more functions or activities. Generally, OHD funded programs do not require a breakdown by function or activity. Therefore, only Line 1 need be completed. However, Head Start, funded by the Office of Child Development requires that activities commonly identified by program accounts be displayed separately on individual lines (Lines 1-4 under Section A and Columns 1-4 under Section B).

Since OHD programs award funds to support activities for budget periods which are generally 12 months in duration, Sections A, B, C, and D must provide budget information for the requested budget period. Section E should present the need for Federal assistance in subsequent budget periods.

Applicants for research grants are not required to complete information items related to nonFederal share. Rather, research cost sharing shall be negotiated separately with the funding office.

Section A - Budget Summary

Lines 1-4

Col. (a): For applications pertaining to a single grant program and not requiring a functional activity, or program account breakout enter on Line 1 under Column (a) the Federal Domestic Assistance Catalog program title (See Introduction to these instructions). For "Head Start", enter the activities (program accounts) name and number for which funds are being requested on separate lines.

Col. (b): Enter appropriate Federal Domestic Assistance Catalog number (See Introduction to these instructions) applicable to the program for which funds are being requested.

Col. (c)-(g):

For new applications, leave Columns (c) and (d) blank. For each line entry, enter in Columns (e), (f), and (g) the appropriate amounts needed to support the project for the first budget period. Applicants for research grants should make no entries in Column (f).

For continuation applications, or competing extensions (renewals), enter in Columns (c) and (d) the estimated amounts for funds which will remain unobligated at the end of the current budget period. Enter in Columns (e), (f), and (g) the appropriate amounts needed to support the project for the new budget period. (Applicants for research grants should make no entries in Columns (d) or (f)). Column (g) should equal the total of Column (e) and Column (f).

For augmentation (supplements) and changes to existing grants, leave Columns (c) and (d) blank, and enter in Columns (e) and (f) the amount of increase or decrease of Federal and nonFederal funds, as appropriate. Enter in Column (g) the new total budgeted amount (Federal and nonFederal) which includes the previously authorized total budgeted amounts for the current budget period plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of the amounts in Columns (e) and (f). Applicants for research grants should make no entries in Columns (d) or (f).

Line 5

Enter the totals for all columns needed.

Section B - Budget Categories

Columns 1-5

In the Column headings (1) through (4), enter the same titles of the grant programs and/or program accounts shown on Lines 1 through 4, Column (a), Section A. For each grant program or activity (program account) entered in Columns (1) through (4) enter the total requirements for Federal funds by object class categories and enter total in Column 5.

Line 6a: Enter the total costs of salaries and wages of grantee staff. Do not include costs of consultants or personnel costs of delegate agencies. (See Section F, Line 21, for additional requirements).

Line 6b: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

Line 6c: Enter total costs of out-of-town travel for employees of the grantee. Do not enter costs for consultant's travel or local transportation. (See Section F, Line 21, for additional instructions).

Line 6d: Enter the total costs of all non-expendable personal property to be acquired by the grantee. "Non-expendable personal property" means tangible personal property having a useful life of more than one year and an acquisition cost of \$300 or more per unit. (See Section F, Line 21 for additional requirements).

Line 6e: Enter the total costs of all tangible personal property (supplies) other than that included on line 6d.

Line 6f: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.), and, (2) contracts with secondary recipient organizations including delegate agencies. Attach a list of contractors indicating the name of the organization, the purpose of the contract and the estimated dollar amount of the award. (Note: Whenever the grantee intends to delegate part or all of the program to another agency, the grantee must submit Sections A and B of Part III, Budget Section, completed for each delegate agency by agency title, along with the required supporting information referenced in the applicable instructions. The total costs of all such agencies will be part of the amount shown on Line 6(f)).

Line 6g: Enter the costs of renovation or repair.

Line 6h: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to, insurance, food, medical and dental costs (noncontractual), consultants (fees and travel), local transportation, space and equipment rentals printing and publication, computer use, and training costs including tuition and stipends.

Line 6i: Show the totals of Lines 6(a) through 6(h).

Line 6j: Enter the total amount of indirect costs. This line should be used only when the grantee (except local governments) has an indirect cost rate approved by the Department of Health, Education, and Welfare. Local governments shall enter the amount of indirect costs determined in accordance with HEW requirements.

Line 6K: Enter the total amounts of Lines 6(i) and 6(j). For all new, continuation, and competing extension applications and total amount shown in Column (5), Line 6(k), should be the same as the amount shown in Section A, Column (e), Line 5.

For all supplements or changes, the total of the amount shown in Columns (1) through (4) should equal the amount shown in Section A, Line 5(e). The amount shown in Column (5) should include the cumulative total of the previously approved Federal share for the current budget period plus or minus, as appropriate, the increase or decrease of Federal funds.

Line 7: Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show, in the program narrative statement, the nature and source of income.

Section C - NonFederal Resources

Line 8-11: Enter amounts of nonFederal resources that will be used to support the project. (Applicants for research grants should not complete this Section but will negotiate appropriate cost sharing arrangements with the funding office). Provide a brief explanation, on a separate sheet, showing the type of contribution, and whether it is in cash or in-kind. If in-kind, show the basis for computation including:

- (1) Numbers and types of volunteers and rates at which their services are valued;
- (2) Valuation of donated space (use only) including number of square feet and value assigned per square foot; and
- (3) Determination of depreciation and use allowance for grantee-owned space;
- (4) Type and value of other in-kind contributions expected.

Column (a): Enter the program title or activities (program accounts) as in Column (a) Section A.

Column (b): Enter the amount of cash and in-kind contributions to be made by the applicant.

Column (c): Enter the State contribution. If the applicant is a State agency, enter the nonFederal funds to be contributed by the State other than the applicant State agency.

Column (d): Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e): Enter the totals of Columns (b), (c), and (d).

Line 12 - Enter total of each of Columns (b) through (e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D - Forcasted Cash Needs

Line 13 - Enter the amount of Federal cash needed by quarter from the OHD program office during the budget period.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the budget period. (Applicants for research grants should not complete this line).

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E - Budget Estimates of Federal Funds Needed for Balance of Project

Line 16-19: Enter in Column (a) the same program title or activities (program accounts) as in Column (a) Section A. For new applications and continuation grant applications enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding budget periods (usually in years). This Section need not be completed for revisions or supplements for the current budget period, which do not increase the general level of support.

Line 20: Enter the totals for each of the Columns (b) through (e).

Section F - Other Budget Information

Line 21 - Use this space to fully explain and justify the major items included in the budget categories shown in Section B. Particular attention must be given to the explanation of any requested direct cost budget item which requires explicit approval by the OHD program Office. Budget items which require identification and justification shall include, but not be limited to, the following:

1. Salary amounts and percentage of time worked for those key individuals who are identified in the project narrative;

2. Any foreign travel;
3. A list of all equipment to be purchased wholly or in part with grant funds which meets the definition of non-expendable personal property provided on Line 6d, Section B;
4. Contractual: major items or groups of smaller items; and
5. Other: group the major categories.

Line 22 - Enter the type of indirect rate (provisional, pre-determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied and the total indirect expense. Also, enter the date HEW approved the rate, where applicable.

Line 23 - Provide any other explanations required or deemed necessary.

INSTRUCTIONS FOR COMPLETION OF PART IV

CHILD ABUSE AND NEGLECT GRANTS PROGRAM

For all research, demonstration, service improvement and Regional Child Abuse and Neglect Resource Center grant applications, prepare the program narrative in accordance with the following format:

1. ELIGIBILITY AND DESCRIPTION OF APPLICANT AGENCY, INCLUDING GEOGRAPHIC LOCATION.
2. OBJECTIVES AND RESULTS OF BENEFITS EXPECTED.
3. APPROACH (AND WORK PLAN)
4. UTILIZATION AND DISSEMINATION PLAN.

For specifications for each of the above enumerated elements of the program narrative, please see the sections of the individual Program Guidances entitled, "Guidance for Preparation of Program Narratives."

Office of Child Development

Child Welfare Research & Demonstration Grants Program

DISSEMINATION AND UTILIZATION PLAN - Instructions

The Children's Bureau, in funding a research or demonstration project, makes the assumption that the activity funded will produce information that has immediate value for application in the field and that this information should therefore be disseminated and utilized. Therefore, each application must include a dissemination and utilization plan. The requirements set forth below are for general guidance for the applicant. It is not anticipated that all the elements described below will be incorporated into a plan, but those elements which are incorporated should result in a plan that is reasonable in both scope and size. Specifically, each applicant must submit in narrative form a detailed plan for dissemination and utilization of anticipated findings as follows:

- A. Dissemination - The applicant must identify the potential users of the information and also indicate for both applicant and OCD use, how this information will reach the potential users. This will include, at a minimum,
 - 1. A list of recipients (individuals, organizations, etc.) who should receive copies of the progress reports, end-of-the-year progress reports, and final reports.
 - 2. Plans for publication of findings by the applicant or Office of Child Development in the form of a book, monograph, an article in a scholarly or professional journal, an article in the general press, or dissemination through other media.
 - 3. Plans for conferences, contacts with pertinent institutions, policy makers, legislators, organizations, community groups, etc., which would be appropriate for the applicant or the Office of Child Development to undertake with respect to the funded activity.
- B. Utilization - The applicant must include a detailed discussion of the utilization implications of the results of the project with respect to the following items which may be relevant, i.e., how would anticipated findings of the project relate to these areas:
 - 1. Policy
 - 2. Programs
 - 3. Service Delivery Systems
 - 4. Legislation
 - 5. Research and Demonstration Activities
 - 6. Training
 - 7. Teaching
 - 8. Staffing
 - 9. Other

(DETACH THE FOLLOWING PAGES)
OHDS GRANT APPLICATION CHECKLIST
Administration for Children, Youth and Families

Child Abuse and Neglect Grants Program

This application kit should contain the following materials:

Letter of transmittal
Program Announcements
Program Guidance (Including Guidance for Preparation of Program Narratives)
Acknowledgement Post Card
Standard Application Form 424, Pages 1 and 2; (plus Parts II, III, and V)
Grant Application Instructions for OHDS Programs (OMB-85-R0305)
HEW 441, Civil Rights Assurance of Compliance and Instructions
List of Regional Office Contacts
Information to Applicants on A-95 Clearinghouse Review
List of Regional Office Contacts

Title of Application

Check the specific grants program and type of project application addresses:

RESEARCH	Investigation/Correction - Residential
Field-Initiated _____	Institutions _____
Longitudinal Research _____	National Resource Center _____
DEMONSTRATION	SERVICE-RELATED
Clinical - Specialized Treatment _____	Child Protection Agency Improvements _____
Clinical-- Remedial Services _____	Community-Based _____
Improvement of Juvenile Court _____	REGIONAL RESOURCE CENTER _____

REQUIRED FORMS AND MATERIALS

NUMBER OF COPIES REQUIRED

Acknowledgement Post Card	1 _____
Application Form, all parts completed	Original & 2 _____
Justification for Budget Items Included	
Program Narrative Included	
Application Signed	
Applicant Telephone No. Included	
Resumes of Principal Professional Personnel	
Statement of Project Director's Time on Other Activities if less than 100% of this project.	
Civil Rights Assurance of Compliance (HEW-Form 441)	Original & 2 _____
Statement of Accreditation	Original & 2 _____

*You are required to submit an original and 2 copies of the Application. YOU ARE REQUESTED TO SUBMIT AN ADDITIONAL 5 COPIES (MAKING A TOTAL OF 1 ORIGINAL AND 7 COPIES) TO EXPEDITE THE REVIEW PROCESS. Please collate and mail to:

Department of Health, Education, and Welfare
Office of Human Development Services/Switzer Building
Grants Management Branch - Room 1427
330 C. Street, S.W.
Washington, D.C. 20201

SI-915-78A, REV. 9-64

**NOTICE OF RESEARCH PROJECT
SCIENCE INFORMATION EXCHANGE**

NOT FOR PUBLICATION OR
PUBLICATION REFERENCE

SMITHSONIAN INSTITUTION
DEPARTMENT OF HEALTH EDUCATION & WELFARE

Office of the Secretary
Office of Child Development

MEMO NO.

GJB

AGENCY NO.

SUPPORTING AGENCY. Child Welfare Research and Demonstration Project

TITLE OF PROJECT:

Give names, departments, and official titles of **PRINCIPAL INVESTIGATORS** and **ALL OTHER PROFESSIONAL PERSONNEL** engaged on the project.

NAME AND ADDRESS OF INSTITUTION:

SUMMARY OF PROPOSED WORK - (200 words or less.) - In the Science Information Exchange summaries of work in progress are exchanged with government and private agencies supporting research, and are forwarded to investigators who request such information. Your summary is to be used for these purposes.

SIGNATURE OF
PRINCIPAL INVESTIGATOR _____

PROFESSIONAL SCHOOL
(medical, graduate, etc.) _____

FEDERAL ASSISTANCE			2. APPLICANT'S APPLICATION	3. STATE APPLICATION IDENTIFIER	4. NUMBER
1. TYPE OF ACTION (Mark appropriate box)	<input type="checkbox"/> PREAPPLICATION	5. FEDERAL EMPLOYER IDENTIFICATION NO.	6. PRO-GRAM (From Federal Catalog)	a. NUMBER	b. DATE Year month day 19
	<input type="checkbox"/> APPLICATION				
1. TYPE OF ACTION (Mark appropriate box) <input type="checkbox"/> NOTIFICATION OF INTENT (OpL) <input type="checkbox"/> REPORT OF FEDERAL ACTION		b. DATE Year month day 19			
		Leave Blank			
4. LEGAL APPLICANT/RECIPIENT			5. FEDERAL EMPLOYER IDENTIFICATION NO.		
a. Applicant Name : b. Organization Unit : c. Street/P.O. Box : d. City : e. State : f. Contact Person (Name & telephone No.) :			e. County : g. ZIP Code:		
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT			8. TYPE OF APPLICANT/RECIPIENT A-State H-Community Action Agency B-Interstate I-Higher Educational Institution C-Substate J-Indian Tribe D-District K-Other (Specify): E-City F-School District G-Special Purpose District Enter appropriate letter <input type="checkbox"/>		
10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.)			11. ESTIMATED NUMBER OF PERSONS BENEFITING		
13. PROPOSED FUNDING			14. CONGRESSIONAL DISTRICTS OF:		
a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00			a. APPLICANT b. PROJECT 16. PROJECT START DATE Year month day 19 17. PROJECT DURATION Months 18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY Year month day 19		
20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)			21. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No		
22. THE APPLICANT CERTIFIES THAT			a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved. (1) (2) (3)		
23. CERTIFYING REPRESENTATIVE			a. TYPED NAME AND TITLE b. SIGNATURE c. DATE SIGNED Year month day 19		
24. AGENCY NAME			25. APPLICATION RECEIVED Year month day 19		
26. ORGANIZATIONAL UNIT			27. ADMINISTRATIVE OFFICE		
29. ADDRESS			30. FEDERAL GRANT IDENTIFICATION		
31. ACTION TAKEN			32. FUNDING		
<input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN			a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		
33. ACTION DATE Year month day 19			34. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)		
35. STARTING DATE Year month day 19			36. ENDING DATE Year month day 19		
37. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No			38. FEDERAL AGENCY A-95 ACTION		
a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.			b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)		

SECTION IV-REMARKS: *(Please reference the proper item number from Sections I, II or III, if applicable)*

PART II

OMB NO. 80-RO 186

PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request require State, local, regional, or other priority rating?

_____ Yes _____ No

Name of Governing Body _____

Priority Rating _____

Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?

_____ Yes _____ No (Attach Documentation)

Name of Agency or Board _____

Item 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?

_____ Yes _____ No

(Attach Comments)

Item 4.

Does this assistance request require State, local, regional or other planning approval?

_____ Yes _____ No

Name of Approving Agency _____

Date _____

Item 5.

Is the proposed project covered by an approved comprehensive plan?

_____ Yes _____ No

Check one: State ☐

Local ☐

Regional ☐

Location of Plan _____

Item 6.

Will the assistance requested serve a Federal installation?

_____ Yes _____ No

Name of Federal Installation _____

Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or installation?

_____ Yes _____ No

Name of Federal Installation _____

Location of Federal Land _____

Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?

_____ Yes _____ No

See instructions for additional information to be provided.

Item 9.

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

_____ Yes _____ No

Number of:

Individuals _____

Families _____

Businesses _____

Farms _____

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?

_____ Yes _____ No

See instructions for additional information to be provided.

PART III – BUDGET INFORMATION

SECTION A – BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (a)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B – BUDGET CATEGORIES

6. Object Class Categories	– Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

SECTION C – NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS	\$	\$	\$	\$

SECTION D – FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL	\$	\$	\$	\$	\$

SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS	\$	\$	\$	\$

SECTION F – OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

PART V

ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements including OMB Circulars Nos. A-87, A-95, and A-102, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

PROTECTION OF HUMAN SUBJECTS
ASSURANCE/CERTIFICATION/DECLARATION

☐ ORIGINAL ☐ FOLLOWUP ☐ REVISION

☐ GRANT ☐ CONTRACT ☐ FELLOW ☐ OTHER

☐ NEW ☐ RENEWAL ☐ CONTINUATION
APPLICATION IDENTIFICATION NUMBER (if known)

STATEMENT OF POLICY: Safeguarding the rights and welfare of subjects at risk in activities supported under grants and contracts from DHEW is primarily the responsibility of the institution which receives or is accountable to DHEW for the funds awarded for the support of the activity. In order to provide for the adequate discharge of this institutional responsibility, it is the policy of DHEW that no activity involving human subjects to be supported by DHEW grants or contracts shall be undertaken unless the Institutional Review Board has reviewed and approved such activity, and the institution has submitted to DHEW a certification of such review and approval, in accordance with the requirements of Public Law 93-348, as implemented by Part 46 of Title 45 of the Code of Federal Regulations, as amended, (45 CFR 46). Administration of the DHEW policy and regulation is the responsibility of the Office for Protection from Research Risks, National Institutes of Health, Bethesda, Md 20014.

1. TITLE OF PROPOSAL OR ACTIVITY

2. PRINCIPAL INVESTIGATOR/ACTIVITY DIRECTOR/FELLOW

3. DECLARATION THAT HUMAN SUBJECTS EITHER WOULD OR WOULD NOT BE INVOLVED

☐ A. NO INDIVIDUALS WHO MIGHT BE CONSIDERED HUMAN SUBJECTS, INCLUDING THOSE FROM WHOM ORGANS, TISSUES, FLUIDS, OR OTHER MATERIALS WOULD BE DERIVED, OR WHO COULD BE IDENTIFIED BY PERSONAL DATA, WOULD BE INVOLVED IN THE PROPOSED ACTIVITY. (IF NO HUMAN SUBJECTS WOULD BE INVOLVED, CHECK THIS BOX AND PROCEED TO ITEM 7. PROPOSALS DETERMINED BY THE AGENCY TO INVOLVE HUMAN SUBJECTS WILL BE RETURNED.)

☐ B. HUMAN SUBJECTS WOULD BE INVOLVED IN THE PROPOSED ACTIVITY AS EITHER: ☐ NONE OF THE FOLLOWING. OR INCLUDING: ☐ MINORS, ☐ FETUSES, ☐ ABORTUSES, ☐ PREGNANT WOMEN, ☐ PRISONERS, ☐ MENTALLY RETARDED, ☐ MENTALLY DISABLED. UNDER SECTION 6. COOPERATING INSTITUTIONS, ON REVERSE OF THIS FORM, GIVE NAME OF INSTITUTION AND NAME AND ADDRESS OF OFFICIAL(S) AUTHORIZING ACCESS TO ANY SUBJECTS IN FACILITIES NOT UNDER DIRECT CONTROL OF THE APPLICANT OR OFFERING INSTITUTION.

4. DECLARATION OF ASSURANCE STATUS/CERTIFICATION OF REVIEW

☐ A. THIS INSTITUTION HAS NOT PREVIOUSLY FILED AN ASSURANCE AND ASSURANCE IMPLEMENTING PROCEDURES FOR THE PROTECTION OF HUMAN SUBJECTS WITH THE DHEW THAT APPLIES TO THIS APPLICATION OR ACTIVITY. ASSURANCE IS HEREBY GIVEN THAT THIS INSTITUTION WILL COMPLY WITH REQUIREMENTS OF DHEW Regulation 45 CFR 46, THAT IT HAS ESTABLISHED AN INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS AND, WHEN REQUESTED, WILL SUBMIT TO DHEW DOCUMENTATION AND CERTIFICATION OF SUCH REVIEWS AND PROCEDURES AS MAY BE REQUIRED FOR IMPLEMENTATION OF THIS ASSURANCE FOR THE PROPOSED PROJECT OR ACTIVITY.

☐ B. THIS INSTITUTION HAS AN APPROVED GENERAL ASSURANCE (DHEW ASSURANCE NUMBER _____) OR AN ACTIVE SPECIAL ASSURANCE FOR THIS ONGOING ACTIVITY, ON FILE WITH DHEW. THE SIGNER CERTIFIES THAT ALL ACTIVITIES IN THIS APPLICATION PROPOSING TO INVOLVE HUMAN SUBJECTS HAVE BEEN REVIEWED AND APPROVED BY THIS INSTITUTION'S INSTITUTIONAL REVIEW BOARD IN A CONVENED MEETING ON THE DATE OF _____ IN ACCORDANCE WITH THE REQUIREMENTS OF THE Code of Federal Regulations on Protection of Human Subjects (45 CFR 46). THIS CERTIFICATION INCLUDES, WHEN APPLICABLE, REQUIREMENTS FOR CERTIFYING FDA STATUS FOR EACH INVESTIGATIONAL NEW DRUG TO BE USED (SEE REVERSE SIDE OF THIS FORM).

THE INSTITUTIONAL REVIEW BOARD HAS DETERMINED, AND THE INSTITUTIONAL OFFICIAL SIGNING BELOW CONCURS THAT:

EITHER ☐ HUMAN SUBJECTS WILL NOT BE AT RISK; OR ☐ HUMAN SUBJECTS WILL BE AT RISK,

5. AND 6. SEE REVERSE SIDE

7. NAME AND ADDRESS OF INSTITUTION

8. TITLE OF INSTITUTIONAL OFFICIAL

TELEPHONE NUMBER

SIGNATURE OF INSTITUTIONAL OFFICIAL

DATE

5. INVESTIGATIONAL NEW DRUGS - ADDITIONAL CERTIFICATION REQUIREMENT

SECTION 46.17 OF TITLE 45 OF THE Code of Federal Regulations states, "Where an organization is required to prepare or to submit a certification . . . and the proposal involves an investigational new drug within the meaning of The Food, Drug, and Cosmetic Act, the drug shall be identified in the certification together with a statement that the 30-day delay required by 21 CFR 130.3(a)(2) has elapsed and the Food and Drug Administration has not, prior to expiration of such 30-day interval, requested that the sponsor continue to withhold or to restrict use of the drug in human subjects; or that the Food and Drug Administration has waived the 30-day delay requirement; provided, however, that in those cases in which the 30-day delay interval has neither expired nor been waived, a statement shall be forwarded to DHEW upon such expiration or upon receipt of a waiver. No certification shall be considered acceptable until such statement has been received."

INVESTIGATIONAL NEW DRUG CERTIFICATION

TO CERTIFY COMPLIANCE WITH FDA REQUIREMENTS FOR PROPOSED USE OF INVESTIGATIONAL NEW DRUGS IN ADDITION TO CERTIFICATION OF INSTITUTIONAL REVIEW BOARD APPROVAL, THE FOLLOWING REPORT FORMAT SHOULD BE USED FOR EACH IND: (ATTACH ADDITIONAL IND CERTIFICATIONS AS NECESSARY).

- IND FORMS FILED: ☐ FDA 1571, ☐ FDA 1572, ☐ FDA 1573

- NAME OF IND AND SPONSOR _____

- DATE OF 30-DAY EXPIRATION OR FDA WAIVER

(FUTURE DATE REQUIRES FOLLOWUP REPORT TO AGENCY) _____

- FDA RESTRICTION _____

- SIGNATURE OF INVESTIGATOR _____

DATE _____

6. COOPERATING INSTITUTIONS - ADDITIONAL REPORTING REQUIREMENT

SECTION 46.16 OF TITLE 45 OF THE Code of Federal Regulations IMPOSES SPECIAL REQUIREMENTS ON THE CONDUCT OF STUDIES OR ACTIVITIES IN WHICH THE GRANTEE OR PRIME CONTRACTOR OBTAINS ACCESS TO ALL OR SOME OF THE SUBJECTS THROUGH COOPERATING INSTITUTIONS NOT UNDER ITS CONTROL. IN ORDER THAT THE DHEW BE FULLY INFORMED, THE FOLLOWING REPORT IS REQUESTED WHEN APPLICABLE.

USE FOLLOWING REPORT FORMAT FOR EACH INSTITUTION OTHER THAN GRANTEE OR CONTRACTING INSTITUTION WITH RESPONSIBILITY FOR HUMAN SUBJECTS PARTICIPATING IN THIS ACTIVITY: (ATTACH ADDITIONAL REPORT SHEETS AS NECESSARY).

INSTITUTIONAL AUTHORIZATION FOR ACCESS TO SUBJECTS

- SUBJECTS: STATUS (WARDS, RESIDENTS, EMPLOYEES, PATIENTS, ETC.) _____

NUMBER _____

AGE RANGE _____

NAME OF OFFICIAL (PLEASE PRINT) _____

TITLE _____

TELEPHONE _____

NAME AND ADDRESS OF
COOPERATING INSTITUTION _____

- OFFICIAL SIGNATURE _____

NOTES: (e.g., report of modification in proposal as submitted to agency affecting human subjects involvement)

**ASSURANCE OF COMPLIANCE WITH THE DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE REGULATION UNDER
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964**

(Name of Applicant)

(hereinafter called the "Applicant")

HEREBY AGREES THAT it will comply with title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the Department of Health, Education, and Welfare (45 CFR Part 80) issued pursuant to that title, to the end that, in accordance with title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department; and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant by the Department, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the Federal financial assistance is extended to it by the Department.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Applicant by the Department, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Applicant.

Dated _____

(Applicant)

By _____

(President, Chairman of Board, or comparable
authorized official)

(Applicant's mailing address)

Explanation Of

HEW FORM NO. 441, ASSURANCE OF COMPLIANCE WITH THE DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE REG- ULATION UNDER TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

Section 80.4 of the Department of Health, Education, and Welfare's Regulation effectuating Title VI of the Civil Rights Act of 1964 requires that every application to the Department for Federal financial assistance shall contain or be accompanied by an Assurance that the program or facility to be assisted will be conducted or operated in compliance with Title VI of the Civil Rights Act and with all requirements imposed by or pursuant to the Department's Regulation.

Section 80.4 further provides that "the form of the foregoing Assurance and the extent to which like Assurances will be required of subgrantees, contractors, transferees, successors in interest and other participants," shall be specified by the responsible Department official. Under this authority, HEW Form No. 441 has been specified as the form of Assurance which shall apply to all applications for Federal financial assistance (except for continuing state programs which must meet the requirements of Section 80.4(b) and school districts availing themselves of Section 80.4(c) of the Regulation) submitted to the Department after January 3, 1965; also the circumstances have been specified under which an Applicant shall obtain comparable written Assurances of compliance from its subgrantees, contractors, and transferees. (See answers to Questions 11 and 12 below in this regard.)

HEW Form No. 441 constitutes a legally enforceable agreement to comply with Title VI of the Civil Rights Act of 1964, and with all requirements imposed by or pursuant to the Regulation of the Department of Health, Education, and Welfare issued thereunder. Applicants are urged to read the Department's Regulation before executing the Assurance.

The following explanation of the requirements of the Department's Regulation and the examples of the kinds of discriminatory practices prohibited by them are for the guidance of the Applicants.

1. *By executing the Assurance (HEW Form No. 441), what does an Applicant agree to do?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in providing to individuals any service, financial aid, or other benefit under any program receiving Federal financial assistance extended to the Applicant by the Department.

2. *What is meant by "distinction on the ground of race, color, or national origin"?*

A. "Distinction on the ground of race, color, or national origin" includes (1) any type of segregation, separate or different treatment, or other discrimination on that ground; (2) the imposition of any admission, enrollment quota, eligibility, or other requirement or condition which individuals must meet in order to be provided any service, financial aid, or other benefit under a program or to be afforded an opportunity to participate in a program, if the race, color, or national origin of individuals is considered in determining whether they meet any such requirement or condition; (3) the use of membership in a group as a basis for the selection of individuals for any purpose, if in selecting members of the group there is discrimination on the ground of race, color, or national origin; and (4) the assignment of personnel to provide services, or the assignment of times or places for the provision of services, on the basis of the race, color, or national origin of the individuals to be served. It does not, however, include distinctions on the ground of race, color, or national origin determined by the responsible Department official to be necessary to the conduct of research or experimental programs having as their primary objective the discovery of new knowledge concerning special characteristics of particular racial or other ethnic groups.

3. *What is meant by "service, financial aid, or other benefit"?*

A. "Service, financial aid, or other benefit" under a program receiving Federal financial assistance includes any education or training, any evaluation, guidance, counseling, or placement service, any health, welfare, rehabilitation, housing, or recreational service, any referral of individuals for any of the foregoing services, any scholarship, fellowship or traineeship stipend or allowance, and any loan or other financial assistance or benefit (whether in cash or in kind), which is made available to individuals (1) with the aid of Federal financial assistance, or (2) with the aid of the Applicant's or of other non-Federal funds required to be made available for the program as a condition to the receipt of Federal financial assistance, or (3) in or through a facility provided with the aid of Federal financial assistance or the non-Federal matching funds referred to in (2).

4. *What requirements are placed on the use of facilities?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in making available to individuals the use of any land, building, equipment, or other facility leased, acquired, constructed, improved, or equipped with the aid of Federal financial assistance extended to the Applicant by the Department, including—

- (a) the use of any room, dormitory, ward, or other space in the facility;
- (b) the use of any equipment in the facility;
- (c) the use of any office, waiting room, restroom, eating, recreational, concession, or other accommodation or convenience provided in the facility;
- (d) the use of any facility not provided with the aid of Federal financial assistance if the availability of such facility is required as a condition to the receipt of Federal financial assistance for the Federally-assisted facility.

5. *What requirements are placed on the opportunities to participate in a program receiving Federal assistance?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in affording opportunities to individuals to participate (other than as employees) in any program receiving Federal financial assistance extended by the Department to the Applicant, including opportunities to participate—

- (a) as providers of any service, financial aid, or other benefit to individuals under the program (e.g., as physicians, surgeons, dentists, or other professional practitioners seeking the privilege of practicing in a Federally-aided hospital or other facility),
- (b) as conferees, observers, consultants, or advisers, or as members of advisory or planning groups, or
- (c) as volunteers (e.g., as voluntary workers, or as patients or other subjects of study or experimentation in research, survey, demonstration, or like programs).

6. *Does that mean that an Applicant who signs the Department's Assurance may nevertheless make distinctions among his employees on the basis of race, color, or national origin?*

A. Title VI of the Civil Rights Act does not concern itself with employment practices except where a primary objective of the Federal financial assistance is to provide employment. Thus, where a basic objective of the program is to provide employment, the Applicant's employment practices are subject to the Department's Regulation. However, even where this is not the case an Applicant may be precluded from engaging in any discriminatory employment practices under the provisions of Title VII of the Civil Rights Act, Executive Orders 10925 and 11114, and the Merit System Regulations.

7. *When an Applicant's employment practices are covered by the Department's Regulation, what requirements must be met?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in its employment practices (including recruitment or recruitment advertising, hiring, layoff or termination, upgrading, demotion, or transfer, rates of pay or other forms of compensation, and use of facilities) with respect to individuals seeking employment or employed under any program receiving Federal financial assistance extended to the Applicant by the Department, in those programs where a primary objective of the Federal financial assistance is to provide employment to such individuals. This includes programs under which the employment is provided—

- (a) as a means of extending financial assistance to students or to needy persons,
- (b) to students, fellows, interns, residents, or others in training for related employment (including research associates or assistants in training for research work), or
- (c) to reduce unemployment or to provide remunerative activity to individuals who because of severe handicaps cannot be readily absorbed in the competitive labor market.

8. *What effect will the Regulation have on a college or university's admission practices or other practices related to the treatment of students?*

A. An institution of higher education which applies for any Federal financial assistance of any kind must agree that it will make no distinction on the ground of race, color, or national origin in the admission practices or any other practices of the institution relating to the treatment of students.

(a) "Student" includes any undergraduate, graduate, professional, or postgraduate student, fellow, intern, student, or other trainee receiving education or training from the institution.

(b) "Admission practices" include recruiting and promotional activities, application requirements, eligibility conditions, qualifications, preferences, or quotas used in selecting individuals for admission to the institution, or any program of the institution, as students.

(c) "Other practices relating to the treatment of students" include the affording to students of opportunities to participate in any educational, research, cultural, athletic, recreational, social, or other program or activity; the performance evaluation, discipline, counseling of students; making available to students any housing, eating, health, or recreational service; affording work opportunities, or scholarship, loan or other financial assistance to students; and making available for the use of students any building, room, space, materials, equipment, or other facility or property.

9. *Does the Assurance of nondiscrimination apply to the entire operation of an institution?*

A. Insofar as the Assurance given by the Applicant relates to the admission or other treatment of individuals as students, patients, or clients of an institution of higher education, a school, hospital, nursing home, center, or other institution owned or operated by the Applicant, or to the opportunity to participate in the provision of services, financial aid, or other benefits to such individuals, the Assurance applies to the entire institution. In the case of a public school system the Assurance would be applicable to all of the elementary or secondary schools operated by the Applicant.

10. *What about a university which operates several campuses?*

A. Section 80.4(d)(2) of the Regulation provides for a more limited Assurance only where an institution can demonstrate that the practices in part of its operation in no way affect its practice in the program for which it seeks Federal funds. This would be a rare case.

11. *If an Applicant intends to make use of other individuals to help carry out the Federally-assisted program, does the requirement not to discriminate apply to such a subgrantee or contractor?*

A. It does. The Applicant must require any individual, organization, or other entity which it utilizes, to which it subgrants, or with which it contracts or otherwise arranges to provide services, financial aid, or other benefits under, or to assist it in the conduct of, any program receiving Federal financial assistance extended to the Applicant by the Department, or with which it contracts or otherwise arranges for the use of any facility provided with the aid of Federal financial assistance for a purpose for which the Federal financial assistance was extended, to comply fully with Title VI of the Civil Rights Act of 1964 and the Regulation of the Department of Health, Education, and Welfare issued thereunder.

12. *Must this Assurance of nondiscrimination by the subgrantee, etc., be in writing?*

A. In the case (1) of any contractual or other arrangement with another such individual or entity which will continue for an indefinite period or for a period of more than three months, (2) of any subgrant, or (3) of any conveyance, lease, or other transfer of any real property or structures thereon provided with the aid of Federal financial assistance extended to the Applicant by the Department, the Applicant shall obtain from such other person, subgrantee, or transferee, an agreement, in writing, enforceable by the Applicant and by the United States, that such other individual or entity, subgrantee, or transferee will carry out its functions under such subgrant, or contractual or other arrangement, or will use the transferred property, as the case may be, in accordance with Title VI of the Act and the Regulation will otherwise comply herewith.

13. *What obligations does the Applicant have to inform beneficiaries, participants, and others of the provisions of the Regulation?*

A. The Applicant must make available to beneficiaries, participants, and other interested persons information regarding the provisions of the Regulation and protections against discrimination provided under Title VI of the Civil Rights Act. The Department will issue shortly more detailed instructions on carrying out this phase of the Regulation.

14. *What obligations does the Applicant have to keep records and to make them available to the Department?*

A. From time to time, Applicants may be required to submit reports to the Department, and the Regulation provides that the facilities of the Applicant and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the Regulation be made available for inspection during normal business hours on request of an officer or employee of the Department specifically authorized to make such inspections. More detailed instructions in this regard will also be forthcoming from the Department in the near future.

15. *Must separate Assurance forms be filed with each application?*

A. As a general rule once a valid Assurance is given it will apply to any further application as long as there is no indication of a failure to comply.

GRANT COST SHARING PROPOSAL

EXPIRE
18
11

1. NAME OF DHEW GRANTING AGENCY OFFICE OF CHILD DEVELOPMENT	2. DHEW AGENCY GRANT NO.
3. ADDRESS OF APPLICANT ORGANIZATION	4. PROJECT PERIOD FROM: TO :
5. TITLE OF PROJECT	

6. (NAME OF APPLICANT ORGANIZATION)

_____ proposes to share in the costs of this project during the project period specified above (or any subsequent revision of that project period) to the minimum extent of _____ percent of the total allowable costs of the project.² It is understood that if the project period consists of more than one budget period, this minimum percentage will apply to the project period as a whole, but not necessarily to each budget period.

7. SIGNATURE AND TITLE OF AUTHORIZED GRANTEE OFFICIAL	8. DATE
---	---------

¹ The project period includes the initial budget period and the budget period(s) of any non-competing continuation grant(s).

² Total allowable cost of the project includes both costs charged to the Federal grant funds and costs contributed by the grantee organization, and will be determined in accordance with the cost principles designated by the granting agency.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF HUMAN DEVELOPMENT

NOTICE TO APPLICANTS

Applicants for Demonstration grants, Service Improvement grants and Regional Child Abuse and Neglect Resource Center grants are subject to requirements of the

PROJECT NOTIFICATION AND REVIEW SYSTEM

The purpose of the system is to facilitate coordination of State, areawide, and local planning and development through the establishment and use of a network of State and areawide clearinghouses. The functions of the clearinghouses are to identify the relationship of any project to Statewide or areawide comprehensive plans and to evaluate the significance of projects to the plans or programs of particular State agencies or local governments. Clearinghouses will also assure that public agencies responsible for environmental standards or civil rights have an opportunity to review and comment upon proposed projects. The system is the means of carrying out the policies and directives of Title IV of the Intergovernmental Cooperation Act of 1968 and the requirements of Section 204 of the Demonstration Cities and Metropolitan Development Act of 1966.

Applicant's Responsibilities

1. As soon as an applicant decides to request support from the Department for a proposed project under this program, the applicant must notify both the State and appropriate areawide clearinghouses of the intent to apply for Federal assistance. In the case of an application in any State which involves multi-State activities the notification need be sent only to the State Clearinghouses. Involvement of the area wide clearinghouses in the review will be at the initiative of the State Clearinghouses. The notification must contain sufficient information to enable the clearinghouses to review the proposed activity and to determine those other agencies within the clearinghouse area which would have an interest in the proposed project. The information to be included in the notification and a suggested format for its preparation are shown on the attachment to these instructions.
2. Clearinghouses have 30 days after receipt of notification from the applicant in which to disseminate the information in the notification to other appropriate State, areawide, or local agencies, and in which to make their own review of the information. Within this 30-day period the clearinghouse(s) should also arrange with the applicant conferences or consultations on any issues raised on the proposed project.
3. If by the end of 30 days the applicant receives no request from the clearinghouse for further consultation, or if all issues raised are resolved through discussion between the applicant and the interested agency, applicants may complete and submit the application to the Department (except see 7 below).

4. During this 30-day period, and if necessary the ensuing period during which the application is being written, the applicant must confer with the clearinghouse(s) or other appropriate agencies when so requested to discuss any issues which the proposed project may have raised. An effort should be made to resolve issues in such a way that the application can be appropriately modified before it is submitted to the Federal agency (or to a State agency if the State agency is responsible for final approval of project applications).
5. If issues raised are not resolved through discussion, the clearinghouse may notify the applicant that it wishes to make comments on the completed application. Applicants must then submit the completed application to the clearinghouse before it is sent to the Department, and allow the clearinghouse 30 days in which to file comments with the applicant (see also 7 below).
6. Finally, the applicant must include with the application, when submitted to the Department (or to the State agency), either:
 - a. Any comments and recommendations made by or through clearinghouses along with a statement that such comments have been considered prior to submission of the application; or
 - b. A statement that the procedures outlined in this section have been followed and that no comments or recommendations have been received.
7. Applicants who intend to apply for a construction grant which is subject to Section 204 of the Demonstration Cities and Metropolitan Development Act of 1966 and which is located in an area covered by an areawide clearinghouse must be notified in writing by the areawide clearinghouse that it has no comment to make on the notification, or, if the clearinghouse has asked to comment on the completed application, must allow 30 days for the clearinghouse to make such comments.

Submission of Application

The notification to the clearinghouse, discussion to resolve issues while the application is under preparation, and the receipt of comments on the completed application (when necessary) are all actions to be completed before the application is submitted. Applications received which have not been processed through the project notification and review system in accordance with these instructions will be returned to the applicant as incomplete.

Addressees of Clearinghouses

A Directory of Clearinghouses is maintained in each DHEW Regional Office. Applicants should request the names and addresses of the clearinghouses to which they must submit the Notification. The areawide clearinghouse to which the Notification is sent is the clearinghouse which has responsibility for the geographic area in which the proposed activity will take place. If the proposed activity extends into two geographic areas or into two States, the clearinghouses in both areas must be notified.

Applicants can also obtain the names and addresses of the pertinent clearinghouses from the program office in Washington.

Submission of Continuation Applications

If applications were subject to A-95 review and the notification of intent to apply for Federal assistance or the completed application was submitted initially to the appropriate clearinghouses, the grantee is not required to send a continuation application to the clearinghouses except upon request unless the continuation involves substantial changes in the grant supported activity.

If the initial application was not subject to A-95 review at the time the application was submitted to the Program Office for funding, and the requirement has been imposed subsequent to the initial submission, the applicant must notify the clearinghouse of intent to apply. A copy of the continuation application will be sent to the clearinghouse upon request. A statement should accompany the continuation application informing the clearinghouse that the A-95 review was not required previously.

NOTIFICATION OF INTENT TO APPLY FOR FEDERAL ASSISTANCE

Note to Applicant: Check first with the appropriate clearinghouse to determine if the clearinghouse has prescribed a form and procedure to be followed in making notification. Follow clearinghouse instructions where available. In all other cases, the information to be submitted should cover the items listed below in the order and detail indicated.

1. Name and address of applicant organization.
2. Geographic location of the project to be assisted. Provide a map if appropriate.
3. Brief description of the proposed project by type, purpose, general size or scale, estimated cost, beneficiaries, or other characteristics including anticipated impact on the environment which will enable the clearinghouses to identify agencies of State or local governments having plans, programs, or projects that might be affected by the proposal.
4. A statement whether or not the applicant has been advised by the Federal agency from which assistance is being sought that he will be required to submit environmental impact information in connection with the proposed project, and the nature of such advice.
5. The Federal program and agency under which assistance will be sought, identify the program number and title as indicated in the most recent Catalog of Federal Domestic Assistance.
6. Estimated date by which time the applicant expects to formally file an application.

Name and title of person submitting Notification (this is person who will be contacted for further information and to whom clearinghouse will report on coordinated action)

Signature _____ Date _____

Telephone: Area Code:

Distribution: _____

_____ State Clearinghouse _____ Areawide Clearinghouse

_____ DHEW Regional Office

Acting Heads of the Children, Youth and Families Unit
Office of Human Development Services
Department of Health, Education and Welfare
Regions I-X

REGION I

Mr. Roy Fleischer, Acting Head
Room 2000, JFK Federal Building
Government Center
Boston, Massachusetts 02203
(617) 223-6450

REGION II

Mrs. Elaine Danavall, Acting Head
Federal Building
26 Federal Plaza - Room 3900
New York, New York 10007
(212) 264-2974

REGION III

Mr. Fred Digby, Acting Head
Post Office Box 13716
3535 Market Street
Philadelphia, Pennsylvania 19101
(215) 596-6763

REGION IV

Mr. John Jordan, Acting Head
Peachtree-Seventh Building
50 7th Street, N.E. - Room 358
Atlanta, Georgia 30323
8-404-831-3936

REGION V

Mr. Hilton Baines, Acting Head
300 South Wacker Drive
15th Floor
Chicago, Illinois 60606
(312) 353-1781

REGION VI

Mr. Gerald Hastings, Acting Head
Fidelity Union Tower - Room 500
1507 Pacific Avenue
Dallas, Texas 75201
(214) 749-2492

REGION VII

Mrs. Linda Carson, Acting Head
Federal Building
601 E. 12th Street, 3rd Floor
Kansas City, Missouri 64106
(816) 374-5401

REGION VIII

Mr. John Garcia, Acting Head
1961 Stout Street - Room 7417
Denver, Colorado 80202
(303) 837-3106

REGION IX

Mr. Samuel Miller, Acting Head
Federal Office Building
50 United Nations Plaza - Room 143
San Francisco, California 94102
(415) 556-6153

REGION X

Ms. Enid Welling, Acting Head
Mail Stop 622, Arcade Plaza Building
1321 2nd Avenue
Seattle, Washington 98101
(206) 442-0838

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Office of Human Development Service
Administration for Children, Youth and Families
Children's Bureau/ National Center on Child Abuse and Neglect

May, 1978

END