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PROGRAM INSTRUCTION

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

SUBJECT: Availability of fiscal year (FY) 2021 funds under the Community-Based Grants for the Prevention of Child Abuse and Neglect program created by Title II of the Child Abuse Prevention and Treatment Act (CAPTA) as amended by Public Law (P.L.) 115-271.

REFERENCES: The CAPTA Reauthorization Act of 2010; Title II of the CAPTA (42 U.S.C. 5116 et seq.).

PURPOSES: The purpose of this Program Instruction is to: (1) set forth the requirements for recipients of Community-Based Grants for the Prevention of Child Abuse and Neglect awards for FY 2021; and (2) provide guidance and instructions for the preparation and submission of the application and annual reports.

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PART I: BACKGROUND INFORMATION

Community-Based Child Abuse Prevention (CBCAP) programs, which are authorized as part of the Child Abuse Prevention and Treatment Act (CAPTA), have a rich history of promoting efforts to support families and prevent child maltreatment.¹ The law emphasizes support for community-based efforts to develop, operate, expand, enhance, and coordinate initiatives, programs and activities to prevent child abuse and neglect. This aligns with the focus of the Children's Bureau (CB), which oversees the implementation of CBCAP programs and has prioritized efforts to support families before any child is harmed. Recognizing individual child abuse and neglect prevention programs cannot do this work alone, CB has made a call to action to the child welfare field to implement primary prevention strategies to strengthen families and prevent the unnecessary removal of children from their homes.² CBCAP grantees are in a unique position of leadership in this effort, as CAPTA further promotes state lead agencies to develop networks of coordinated resources and activities and leverage funding streams to effectively strengthen and support families and reduce the likelihood of child abuse and neglect.

CAPTA also stresses the importance of identifying parent leaders and involving parents, including members from underrepresented and underserved groups, in the planning, implementation, and improvement of community-based child abuse prevention programs. In a recent Information Memorandum, CB emphasized that family and youth voice are critical to a well-functioning child welfare system and strongly encouraged collaborative efforts to ensure that family and youth voice are central in child welfare program planning and improvement efforts.³ These partnerships also offer the opportunity to understand the unique strengths and needs of the communities and to develop approaches that are effective in reaching families facing a range of challenges. CB further recognizes that effective primary prevention services must be located in communities where families live, where they are easily accessible, and culturally responsive.

CAPTA further promotes the use of evidence-based and evidence-informed programs and practices that effectively strengthen families and prevent child abuse and neglect. This includes efforts to improve the evaluation capacity of the states and communities to assess progress of their programs and collaborative networks in enhancing the safety and wellbeing of children and families. The CBCAP conceptual framework provides an overview of the primary purposes of the law; the relationship between the underlying conditions the program seeks to address and the main activities funded (directly and indirectly); the outputs; and the short-term, intermediate, and long-term outcomes for the program (See Attachment 1). Furthermore, CBCAP state leads are encouraged to fund programs, services and resources that enhance community capacity to address the basic and complex needs of families, build protective factors, and contribute to the healthy, positive, and productive functioning of children and youth into adulthood. Moreover, the FY 2021 will reflect a change in the minimum grant to better align the allocations with the statutory formula.

¹ Title II of CAPTA, as amended by P.L. 115-271, can be viewed here: <https://www.acf.hhs.gov/sites/default/files/documents/cb/capta.pdf>.

² See, for instance, Information Memorandum [ACYF-CB-IM-18-05](#).

³ See [ACYF-CB-IM-19-03](#) for more information.

A. PROGRAM PURPOSE

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

B. DEFINITIONS

ACF expects that lead agencies will require local service providers to describe their services and programs according to the definitions outlined in the law so that there are common frames of reference within and across states in the implementation of this program. The following terms used in this Program Instruction (PI) have the same meaning given those terms in Section 208 of CAPTA: (1) “community referral services”; (2) “community-based and prevention-focused programs and activities designed to prevent child abuse and neglect”; and (3) “respite care services”.

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

C. USE OF FUNDS

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

1. developing, operating, expanding, and enhancing community-based, and prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect that are accessible, effective, and culturally appropriate, and build upon existing strengths that:
 - A. offer assistance to families;
 - B. provide early, comprehensive support for parents;
 - C. promote the development of parenting skills, especially in young parents and parents with very young children;
 - D. increase family stability;
 - E. improve family access to other formal and informal resources and opportunities for assistance available within communities, including access to such resources and opportunities for unaccompanied homeless youth;

- F. support the additional needs of families with children with disabilities through respite care and other services;
 - G. demonstrate a commitment to involving parents in the planning and program implementation of the lead agency and entities carrying out local programs funded under this Title, including meaningful involvement of parents of children with disabilities, parents with disabilities, racial and ethnic minorities, and members of underrepresented and underserved groups; and
 - H. provide referrals to early health and developmental services.
2. fostering the development of a continuum of preventive services for children and families, including unaccompanied homeless youth, through state and community-based collaborations and partnerships, both public and private;
 3. financing the start-up, maintenance, expansion, or redesign of specific family resource and support program community-based child abuse and neglect prevention program services (such as respite care services, child abuse and neglect prevention activities, disability services, mental health services, substance abuse treatment services, domestic violence services, housing services, transportation, adult education, home visiting and other similar services) identified by the inventory and description of current services required under Section 205(a)(3) as an unmet need, and integrated with the network of community-based family resource and support child abuse and neglect prevention program to the extent practicable given funding levels and community priorities;
 4. maximizing funding through leveraging of funds for the financing, planning, community mobilization, collaboration, assessment, information and referral, startup, training and technical assistance, information management and reporting, reporting and evaluation costs for establishing, operating, or expanding community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect; and
 5. financing public information activities that focus on the healthy and positive development of parents and children and promotion of child abuse and neglect prevention activities.

D. AVAILABILITY AND DISTRIBUTION OF FUNDS

As of December 27 2020, the Consolidated Appropriations Act, 2021 (P.L. 116-260) made available \$58,359,400 for the CBCAP program in FY 2021.

A certain amount must be set aside for specific legislative purposes, including: (1) one percent of the total appropriation “to make allotments to Indian Tribes and Tribal organizations and migrant programs” (Section 203(a)); (2) continued funding for a National Center for CBCAP; and (3) continued funding for program support.

The remainder of the FY 2021 CBCAP funds will be distributed to the states and territories, as described below:

1. **Grants to States:**

A state⁴ is eligible for a grant under the CBCAP program if, in accordance with the eligibility requirements of Section 202, the Governor has designated a lead entity to administer funds under this program and provided certain assurances. The eligibility requirements are described in more detail below in Section E. of this PI.

Section 203(b)(1) provides that the funds available for distribution to the states under the CBCAP program will be allotted as follows:

- (a) **Seventy percent (70%)** of the funds will be allotted proportionately among the states based on the number of children under age 18 residing in each state⁵, “except that no state shall receive less than \$175,000.”
- (b) **Thirty percent (30%)** of the funds will be allotted proportionately among the states based on the amount of private, state, or other non-federal funds leveraged and directed through the currently designated lead agency in the preceding fiscal year (i.e., FY 2020, 10/1/19 to 9/30/20). The requirements for leveraged funds are discussed in Part II-F.

2. **Grants to Territories:**

The following territories are eligible to receive funds under the CBCAP program: the Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands. These territories are eligible to submit either (1) a consolidated grant application in accordance with 45 CFR Part 97, **OR** (2) an independent application that meets all of the requirements set forth in this PI.

Consolidated Application: If a territory chooses to submit a consolidated grant application, it need not submit an application under this PI. An eligible territory that applies for a consolidated grant will receive the base amount of \$175,000 authorized under the CBCAP program. These funds will be included in the territory’s consolidated grant.

Independent Application: If an eligible territory submits an independent application that meets the requirements of this PI, the territory is also eligible to submit a claim for its leveraged funds in accordance with Section 203(b)(1)(b) above, and receive its proportionate share of those funds, in addition to receiving the base amount of \$175,000

⁴ In the absence of a definition in Title II, we have interpreted “STATE” as having the meaning given the term in CAPTA, section 3(7), (i.e., “state” means each of the several states, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.)

⁵ The calculation of that portion of a state’s award under paragraph (A) of the formula will be computed by ACYF, using the most current population data provided by the Bureau of the Census, Department of Commerce.

for its population. If a territory’s independent application is approved, the designated lead agency of the territory must ensure that the CBCAP grant funds it receives will be used only for the purposes set forth in Part I of this PI.

E. STATE ELIGIBILITY

Designation of a Lead Entity:⁶

Before a state can apply for a FY 2021 grant under the CBCAP program, the Governor of the state must designate a lead entity⁷ to administer the funds for the implementation of community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (Section 202(1)(A)).

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

F. LEAD AGENCY ELIGIBILITY

1. Lead Entity Requirements:

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

- (a) Be an existing public, quasi-public, or nonprofit private entity that exists to strengthen and support families to prevent child abuse and neglect;⁸
- (b) Demonstrate the ability to work with other state and community-based agencies to provide training and technical assistance; and
- (c) Demonstrate the commitment to involving parents who are consumers and who can provide leadership in the planning, implementation, and evaluation of programs and policy decisions of the lead agency in achieving the outcomes of the program.

⁶ The term “entity” is used with respect to a Governor’s designation of a state entity to administer the CBCAP program. Once an entity has been designated, and for purposes of meeting the application requirements, the term “agency” (or “lead agency”) will be used in lieu of “entity” or “lead entity”.

⁷ Section 202(1)(C)&(D) provides that, in determining which entity to designate, the Governor of the state should “give priority consideration equally to a trust fund advisory board of the state or to an existing entity that leverages Federal, state and private funds ...” Section 202(1)(D) provides that, “in the case of a state that has designated a State trust fund advisory board [to be the lead entity]... and in which one or more entities that leverages federal, state and private funds... exist, the Governor shall designate the lead entity only after full consideration of the capacity and expertise of all entities desiring to be designated [as lead agency].”

⁸ The designated agency is not required to have been established pursuant to state legislation, executive order, or other written authority of the state.

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

G. COORDINATION AND COLLABORATION WITH RELATED PREVENTION EFFORTS

The CBCAP program is specifically authorized to foster the development of a continuum of preventive services for children and families through state and community-based collaborations and public-private partnerships. Lead agencies are strongly encouraged to establish new partnerships and build upon existing collaborative efforts with other federal, state or locally-funded public and private organizations, included faith-based organizations, serving the same populations and sharing the same goals and objectives. Funds can also be used to provide leadership for coordination of community-based resources that will integrate existing services to address unmet needs that have been identified in the state and communities. Types of organizations could include:

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

Please see Attachment 7 for a listing of program descriptions for potential CBCAP partnerships.

H. COORDINATION WITH OTHER CHILDREN’S BUREAU PROCESSES

CB believes it is important that CBCAP grantees work collaboratively with other CB programs and processes to implement prevention programs. Information on opportunities to collaborate are listed below.

Child and Family Services Plan

States are required to develop a Child and Family Services Plan (CFSP), a comprehensive five-year strategic plan that sets forth the vision and the goals to be accomplished to strengthen the states' overall child welfare system (Section 432(a)(2) of the Social Security Act). The CFSP consolidates plans for the following: the Stephanie Tubbs Jones Child Welfare Services

Program; the MaryLee Allen Promoting Safe and Stable Families (PSSF) Program; the John H. Chafee Foster Care Program for Successful Transition to Adulthood (Chafee) and the Education and Training Vouchers (ETV) Program; and the CAPTA State Plan update. By consolidating these plans into one submission it helps States comprehensively integrate the full array of child welfare services, from prevention and protection through permanency (45 CFR 1357.15(a)). States are required to make these plans available to the public and many of them are located online.

Annual Progress and Services Report

The Annual Progress and Services Report (APSR) provides an annual update on the progress made toward accomplishing the goals and objectives in the state's CFSP (Section 432(a)(2)(C)(i) of the Social Security Act).

While states are no longer required to submit a new plan for the CAPTA state grant program every five years, they are required to submit an annual update on their use of CAPTA State grant funds and to submit other updates to the CAPTA plan, as needed. These CAPTA plan reports and updates are submitted with the CFSP (and APSR) each year.

Child and Family Services Reviews

CB has announced plans to launch Round 4 of the Child and Family Services Reviews (CFSR) in fiscal year 2022. CFSRs provide federal oversight of states' compliance with title IV-B and IV-E plan requirements and help strengthen state child welfare systems and improve safety, permanency, and well-being outcomes for children and families served. CFSRs encourage states to complete a comprehensive assessment of their child welfare system using qualitative and quantitative data, including a core set of CFSR data indicators and case record review results, along with information collected through stakeholder interviews. Using findings from the CFSR, along with other data and information, states develop and implement targeted Program Improvement Plans to drive meaningful and long-lasting system, program, and practice change and to achieve quantifiable measures of improvement. States are required to demonstrate the active engagement of child welfare system partners and stakeholders throughout the CFSR and Program Improvement Process. The state's CFSP/APSRs should be coordinated with Program Improvement Plan (PIP) efforts related to the Child and Family Services Reviews (CFSR PIPs), and CBCAP grantees should be aware of upcoming efforts around Round 4 activities.

Opportunity for Collaboration

The CFSP for fiscal years 2020 – 2024 was submitted on June 30, 2019. In the PI for the 2020-2024 CFSP, states were asked to provide information on how they are collaborating with CBCAP grantees.⁹ States have been informed that the process of coordination and collaboration implemented during the 2020-2024 CFSP development should be continued and strengthened in the development of the 2022 APSR which is due June 30, 2021. When conducting the annual review in preparation for submission of the APSR, States have been encouraged to engage various entities, including the CBCAP grantee in their respective State, who are part of the ongoing CFSP-related consultation and coordination process.

⁹ See <https://www.acf.hhs.gov/cb/resource/pi2002> for more information.

There are particular opportunities for collaboration and coordination in planning for use of funds provided under CBCAP and the MaryLee Allen Promoting Safe and Stable Families (PSSF) program. The PSSF program provides funds to state child welfare agencies to prevent the unnecessary separation of children from their families, improve the quality of care and services to children and their families, and ensure permanency for children by reuniting them with their parents, by adoption or by another permanent living arrangement. PSSF provides for community-based family support programs, services to families at risk or in crisis (family preservation programs and family reunification services), and adoption promotion and support services. Funds for these programs are directed toward state and local child welfare services in order to achieve improved well-being for vulnerable children and their families, particularly those experiencing or at risk for abuse and neglect.

The Children's Bureau encourages CBCAP grantees to, at a minimum, develop and/or maintain an awareness of the overall goals and strategies of their respective child welfare agency. In addition, the Children's Bureau continues to encourage CBCAP state leads to become active and engaged participants in various stakeholder meetings and planning committees related to the CFSR, CFSP, and APSR.

Children's Bureau Regional Office and Central Office staff can assist CBCAP state lead agencies in making connections to improve collaboration and coordination to improve services for children and families (see attachment 8 for Regional Office contacts). CBCAP state lead agencies may contact their Federal Project Officer if they are unsure who to contact in their state regarding the CFSR and CFSP processes.

In addition, state lead agencies are also encouraged to seek out opportunities to learn more about efforts to implement services and requirements authorized through the Family First Prevention and Services Act (FFPSA) (enacted as part of the Bipartisan Budget Act of 2018, P.L. 115-123), in particular electing Title IV-E Prevention and Family Services and Programs and implementing Kinship Navigator programs. Please see Attachment 7 for more resources with information on FFPSA.

PART II: APPLICATION AND ANNUAL PROGRAM REPORT INSTRUCTIONS

The information presented in this section of the PI is intended to summarize the submission and review process for a CBCAP application and annual program report, and to describe the content and documentation that must be provided. The application requirements include specific materials necessary to establish the eligibility of the lead agency to submit the application and the leveraged funds to be matched by federal funds.

A. PREPARATION AND FORMAT OF APPLICATION

1. Preparation:

The application must be prepared and submitted by the lead agency designated by the Governor of the state to administer and oversee the implementation of the programs and activities provided under this grant.

2. Format:

Applications may be submitted in formats best suited to the needs of the applicant. States are strongly encouraged, however, to follow the content outline suggested below:

- I. Submission Letter
- II. Lead Agency Identifying Information
- III. Governor Documentation and Assurances
 - Lead Agency Designation Letter
 - Governor's Assurances
- IV. Lead Agency Assurances
- V. Leveraged Claim Form
- VI. Budget
- VII. Description of the Lead Agency's Leadership Role in State Prevention Activities
- VIII. Actions to Advocate for Systemic Change
- IX. Collaboration and Coordination
- X. Criteria for Funded Programs
- XI. Outreach Activities for Special Populations
- XII. Plans for Parent Leadership and Involvement
- XIII. Plan for Support, Training, Technical Assistance and Evaluation Assistance
- XIV. Evaluation Plans
- XV. Plan for Child Abuse Prevention Month and Public Awareness Activities in 2022
- XVI. Areas for Technical Assistance
- XVII. Certifications (Lobbying)
- XVIII. Attachments (optional)

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

2. Accompanying Documents:

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

B. SUBMISSION LETTER

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

Amanda Barlow,
Acting Commissioner
U.S. Department of Health and Human Services
Administration on Children, Youth, and Families
330 C Street SW, 3rd Floor
Washington, D.C. 20201

The letter should be signed by an appropriate official of the lead agency designated by the Governor to act for the state in administering the funds and assuming the obligations imposed by the terms and conditions of the grant award. The letter that officially transmits the application must include a description of the lead agency that will be responsible for the administration of funds and the oversight of prevention and family support programs funded through this program (Section 204(1)).

C. LEAD AGENCY IDENTIFYING INFORMATION¹⁰

Each application must include the following information:

1. The name, mailing address, and email address of the lead agency.
2. The lead agency's Employer Identification Number (EIN) and DUNS¹¹ number.
3. The name, telephone number and e-mail of the program specialist responsible for the CBCAP grant program.
4. The name, telephone number and e-mail of the fiscal agent responsible for the CBCAP grant program.

D. GOVERNOR DOCUMENTATION AND ASSURANCES

Each application for FY 2021 (i.e., October 1, 2020 – September 30, 2021) funding under the CBCAP program must include the following documentation by the Governor:

¹⁰ It is incumbent upon the lead agency to provide timely notification to the Federal program officer if there are any changes in the following lead agency information during the grant award period.

¹¹ All applicants must have a Dun & Bradstreet number. On June 27, 2003, the Office of Management and Budget published in the *Federal Register* a new Federal Policy applicable to all Federal grant applicants. The policy requires Federal grant applicants to provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number when applying for Federal grants on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (www.Grants.gov). A DUNS number will be required for every application for a new award or renewal/continuation of an award, including applications or plans under formula, entitlement and block grant programs submitted on or after October 1, 2003. Please ensure that your organization has a DUNS number. You may acquire a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711 or you may request a number online at www.dnb.com.

1. The original signed letter from the Governor of the state that: (1) designates the lead agency to receive the funds; and (2) contains a statement that the lead agency was designated only after giving full and equal consideration to the capacity and expertise of all entities desiring to be the lead agency, to the extent such requirement applies. (Sections 202(1)(A)(C) and (D)); and
2. The official signed “Governor’s Assurance Statement”; (Sections 202(2) and (3)). A copy of the Governor Assurance Statement is included as Attachment 3 in this PI.¹²

Governor’s Assurances Regarding the Lead Agency:

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

1. Community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from private and public sector members, parents, adult former victims of child abuse and neglect,¹³ and public and private nonprofit service providers and individuals and organizations experienced in working in partnership with families with children with disabilities (Section 202(2)(A));
2. Direction through an interdisciplinary, collaborative, public-private structure with balanced representation from private and public sector members, parents, adult former victims of child abuse and neglect, public sector and private nonprofit sector service providers, and parents with disabilities (Section 202(2)(B));
3. Direction and oversight through identified goals and objectives, clear lines of communication and accountability, the provision of leveraged or combined funding from federal, state and private sources, centralized assessment and planning activities, the provision of training, technical assistance, evaluation assistance and reporting and evaluation functions (Section 202(2)(C));

¹² To simplify procedures for the applicant, all statutory assurances contained in this PI are consolidated into two separate Assurance Statements, for signature by the state official who is responsible for making such assurances (the Governor of the state). These Assurance Statements are included as Attachments 3 and 4.

¹³ While the language in CAPTA requires assurances the CBCAP lead agency will partner with and provide services and programs to “adult former victims of child abuse and neglect,” CB urges all CBCAP lead agencies to consult with those individuals to determine a designation that may provide a more meaningful and empowering way to describe their experience and role in the CBCAP program, particularly when featured in public events or public facing documents. In August 2019, CB issued Information Memorandum (IM) [ACYF-CB-IM-19-03](#) on “Engaging, empowering, and utilizing family and youth voice in all aspects of child welfare” where CB issued a challenge to “Change the Words We Use to Describe Parents, Youth and Caregivers.” The purpose of this IM is to demonstrate that family and youth voice are critical to a well-functioning child welfare system and to ensure that family and youth voice are central in program planning and improvement efforts.

4. A demonstrated commitment to parental participation in the development, operation, and oversight of the community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect; (Section 202(3)(A))
5. An ability to develop a comprehensive strategy to provide a continuum of preventive, family-centered, comprehensive services for children and families, especially to young parents, to parents with young children and to parents who are adult former victims of domestic violence or child abuse and neglect through public and private partnerships (Section 202(3)(B));
6. Operational support (both financial and programmatic) and training, technical assistance and evaluation assistance to community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect, through innovative, interagency funding and interdisciplinary service delivery mechanisms (Section 202(3)(C)); and
7. Integration of its efforts with individuals and organizations experienced in working in partnership with families with children with disabilities, parents with disabilities and with the child abuse and neglect prevention activities of the state, and a financial commitment to those activities (Section 202(3)(D)).

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

E. LEAD AGENCY ASSURANCES

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

1. A description of the inventory of current unmet needs and current community-based and prevention-focused programs and activities to prevent child abuse and neglect, and other family resource services operating in the state, will be incorporated into the Annual Performance Report (Section 204(3));
2. Funds received under this title will supplement, not supplant, other state and local public funds designated for the startup, maintenance, expansion, and redesign of community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (Section 204(5));
3. The state has the capacity to involve parents who are consumers, including those with disabilities, family advocates, and adult former victims of child abuse or neglect who can provide leadership in the planning, implementation, and evaluation of the programs

and policy decisions of the applicant agency in accomplishing the desired outcomes for such efforts (Section 204(6)); and

4. The applicant agency will provide the Secretary with reports at such time and containing such information as the Secretary may require (Section 204(12)).

The assurance statement must be signed by an authorized official of the agency designated by the Governor to act for the state in administering the CBCAP funds and assuming the obligations imposed by the terms and conditions of the grant award. A form for this assurance statement is included in this PI as Attachment 4.

F. DOCUMENTATION OF LEVERAGED FUNDS FOR FEDERAL MATCHING FUNDS

For the purpose of submitting a claim under the CBCAP program (for FY 2021), each application must include a statement confirming the fiscal year for which state, private, and other non-federal funds were leveraged is FY 2020 (i.e., **October 1, 2019 - September 30, 2020**).

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

1. **Leveraged Funds that May Be Claimed:**

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

- (a) Leveraged by the state from private, state, or other **non-federal** sources during **FY 2020** (i.e., **October 1, 2019 - September 30, 2020**);
- (b) Directed through the CBCAP lead agency for FY 2020; and
- (c) Budgeted and spent during **FY 2020** for use in supporting community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect.¹⁴

Only funds that have **not** been used to leverage additional federal funds under any other program may be claimed as leveraged funds for this program. For purposes of this application, state and non-federal funds that are being used to meet the maintenance of effort, match or other cost-sharing requirements for other federal funding are **not** eligible to be claimed.

¹⁴ Leveraged funds that may be submitted for federal matching funds are those non-federal funds which, in the preceding fiscal year, were controlled by the CBCAP lead agency submitting the application, and were spent to provide the types of services and activities for which the current CBCAP federal funds may be used, as specified by the law and described under the Use of Funds section of this PI.

2. Completion of Leveraged Funds Worksheet:

In order for a state to document funds claimed as leveraged funds, the application must contain a completed copy of the Leveraged Funds Worksheet (see Attachment 5), which includes: (1) an itemization of the funds being claimed; and (2) an assurance statement that is to be signed by the responsible lead agency administrator and fiscal authority for the lead agency verifying the authenticity of the submitted claim.

G. ADDITIONAL APPLICATION REQUIREMENTS

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

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

The budget must allocate sufficient funds to provide for **at least one representative** from the state to attend an annual 2-5 day federally initiated CBCAP grantees conference, when the meeting is conducted in person. **Attendance at this meeting is a grant requirement.**

The nature of the formula provision is such that states claiming leveraged funds will not know what their total grant award will be when the application is submitted. Consequently, a state with a leveraged funds claim will not know what will constitute its 20 percent match. Therefore, for application purposes, the 20 percent match should be determined based on the population-only portion of the formula. Attachment 2 includes a table showing an estimate of the amount each state will receive based on population. Within 30 days of receipt of the Grant Award Letter, the lead agency must submit an amended budget to CBCAP@acf.hhs.gov to reflect a 20 percent match of the full amount of the grant award.

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

2. Description of the Lead Agency's Leadership Role in State Prevention Activities

Each applicant must describe the role of the lead agency and how it will lead the child maltreatment prevention activities in the state. This section describes the interdisciplinary, collaborative, and public-private structure, including its representation from private and public sector parents and service providers that will direct and support coordinated child abuse prevention resources and activities to better strengthen and support families (Section 204(1)).

This section should also include a description of how the community-based and prevention-focused programs and activities will operate including how community-based child abuse and neglect prevention programs and activities provided by public and private, nonprofit organizations, will be integrated into a developing continuum of family-centered, holistic, preventive services for children and families (Section 204(2)).

3. Actions to Advocate for Systemic Change

Each application must include a description of the actions that the lead agency will take to advocate systemic changes in state policies, practices, procedures and regulations to improve the delivery of community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (Section 204(11)).

This description should include plans or approaches to be implemented in the coming fiscal year to advocate for systemic change. States are strongly encouraged to describe planned efforts to conduct strategic, long-term, and outcome focused planning for their CBCAP program that will promote sustainable, systems change to strengthen and enhance the well-being of families to prevent child maltreatment. This section should describe how the state will conduct their action planning efforts and how these efforts will be integrated with other strategic planning efforts in child welfare, early childhood, public health, or other related systems. The description should also include any anticipated involvement in the implementation of the CFSP/APSR and/or the CFSR PIP, as applicable. CBCAP lead agencies are also encouraged to outline how they will contribute to efforts by the child welfare agency to implement primary prevention strategies to strengthen families. Please also include other planned actions to involve other statewide public and private agencies to promote system change, in particular activities to be conducted by the state's prevention network.

4. Collaboration and Coordination

Collaboration and coordination with other child and family support systems are critical for CBCAP programs. In this section, states should describe the extent and nature of federal, state, local, or private partnerships and collaborations that they plan to continue or enter into and how they intersect with their family strengthening and child maltreatment prevention programs and activities. States are encouraged to highlight how their work will be anchored and connected to more established prevention and promotion

activities in public health or other human services. Please see Attachment 7 for a list of potential federal, state and local programs who may be strong partners for strengthening families and child maltreatment prevention efforts.

5. Needs Assessment and Criteria for Funded Programs

Each application must include a description of the criteria that the lead agency will use to develop, or select and fund evidence-informed or evidence-based community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (Section 204(7)). This description must include information on how the current inventory of unmet needs and the current array of community-based child abuse and neglect prevention programs and activities will be used to inform the criteria for funding new programs and activities for the upcoming year.

This requirement may be met in part by the inclusion of the state's current announcement of the priority for local grant awards or solicitations (e.g. Request for Proposals) for CBCAP funds.

6. Outreach Activities for Special Populations

Each application must include a description of outreach activities that the lead agency and the community-based and prevention-focused programs and activities will undertake to maximize the participation of parents, racial and ethnic minorities, children and adults with disabilities, homeless families and those at risk of homelessness, unaccompanied homeless youth, adult former victims of child abuse and neglect or domestic violence, and members of other underserved or underrepresented groups (Section 204(8)).

Parents with mild to moderate disabilities are frequently underserved and should also be considered a target population for this outreach. Research has further demonstrated the importance of fathers in the healthy development of children. Fathers are an often-overlooked population and efforts should be taken to include them in the planning of outreach activities. States are encouraged to describe any other special populations that they will include in their outreach plans to meet local needs as identified in their inventory of unmet needs (e.g. families impacted by parent/caregiver incarceration, rural communities, teen parents or others).

7. Plan for Parent Leadership and Family Involvement

Each application must include a description about how the lead agency will implement activities and training to enhance parent participation and leadership in the upcoming year. Plans can include a description of how parents will be involved in the planning, implementation and evaluation of funded programs. This section should also describe anticipated training and technical assistance related to parent leadership and family involvement.

8. Plan for Support, Training, Technical Assistance and Evaluation Assistance

Each application must describe the lead agency's plan for providing operational support, training, technical assistance and evaluation assistance to community-based, prevention-focused programs and activities for the development, operation, expansion and enhancement of such activities (Section 204(9)).

These plans should include training and technical assistance to foster understanding, appreciation and knowledge of diverse populations in order to effectively strengthen families and prevent child abuse and neglect. This training may also focus on enhancing cultural competence across all funded programs and activities. Plans should also include training and technical assistance to foster the promotion of strong families. Plans should include a description of how the lead agency will provide assistance to their funded programs on developing evaluation plans which may include quantitative and qualitative methods. Plans can also include efforts to assist programs with implementing and sustaining evidence-based or evidence-informed programs and practices. States are encouraged to identify training and technical assistance efforts that will link with the CFSR/PIP and CFSP/APSR processes or early childhood systems integration, as appropriate.

9. Evaluation

Each application must include a description of how the lead agency's activities, and those of the network and its members, where appropriate, will be evaluated (Section 204(10)). States are encouraged to include evaluation activities that will assess culturally competent practices and parent leadership across all funded programs and activities. States are strongly encouraged to develop evaluation plans which incorporate a continuum of evaluation approaches including quantitative and qualitative data collection methods. This evaluation plan can include a peer review process. States which have allocated a large portion of their CBCAP for network support/ development are strongly advised to develop strategies and methods to evaluate the effectiveness of their network and its activities, as well as their funded programs.

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

10. Child Abuse Prevention Month and Public Awareness Activities

Each application must include a description of the activities the lead agency will coordinate or participate in, and the network's role in the promotion and observance of Child Abuse Prevention Month during April 2022. This section should also describe other public awareness and education efforts planned during FY 2022.

11. Areas for Technical Assistance

This section should describe any important contextual factors that may impact the ability of the lead agency to implement their proposed plans for the upcoming year. This section can provide information about state budget issues, staffing issues or other anticipated factors that may impact the work. This section should describe the potential nature of the challenge or barrier and how the lead agency plans to try and address issues as they arise or identify areas where they may need more support or technical assistance. Lead agencies may also provide information about other potential opportunities that were not described in the previous sections that could impact CBCAP in the upcoming year, such as the impact on service delivery due to the COVID-19 pandemic and the public health emergency.

H. ANNUAL PROGRAM REPORT REQUIREMENTS

General Requirement—Each state’s annual program report should: (1) document activities conducted during the grant award in the previous year; and (2) provide specific information to demonstrate compliance with the requirements for these funds. The deadline for the annual program report is approximately 120 days after the end of the FY grant period—January 30, 2022. The Children’s Bureau strongly encourages states to submit their annual program report before January 30th. However, because January 30, 2022 falls on a Sunday, the Children’s Bureau will accept submissions received on Monday, January 31, 2022 as timely for this year only.

Performance Measures—States receiving a grant under the CBCAP program shall, through reports provided to the Secretary, do the following:

1. Describe the statewide child maltreatment prevention leadership activities conducted by the lead agency in the past reporting period;
2. Describe the lead agency’s actions to advocate for systemic change during the reporting period. This should include a description of the following:
 - a. The lead agency’s involvement in statewide systemic change efforts such as the development and oversight of the CFSP/APSR and CFSR PIP, early childhood systems building, public health initiatives, and other related interagency collaboration activities, as appropriate (see Attachment 7), to include any efforts by the state to reorient the child welfare system to focus more on prevention;
 - b. Demonstrate (through information and documentation) the establishment or maintenance of innovative funding mechanisms, at the state or community level, that blend federal, state, local and private funds, and innovative, interdisciplinary service delivery mechanisms for the development, operation, expansion and enhancement of CBCAP programs;

3. Describe the nature and extent of collaborations and partnerships and its impact on the CBCAP program in the past reporting period;
4. Describe the status of the state's prevention service array:
 - a. Demonstrate how the CBCAP lead agency has assessed the unmet needs in the state and community;
 - b. Demonstrate that they have addressed the unmet needs identified by the inventory and description required by Section 204(3) (Section 206(3));
 - c. Provide the inventory and description of the services provided to families by local programs that meet identified community needs, including core and optional services as described in section 202 of this law and the description shall specify whether those services are supported by research (Section 206(2));
 - d. Demonstrate (through contracts, interagency agreements and other means) the effective development, operation and expansion of community-based and prevention-focused programs and activities that meets the requirements of the CBCAP program (Section 206(1)); and
 - e. Include a description of the number of individuals and families served, noting and including families with children with disabilities, parents with disabilities and the involvement of a diverse representation of families in the design, operation and evaluation of community-based child abuse and neglect prevention programs and activities funded under this law (Section 206(4)).

The participant numbers should be included for all individuals (children and parent/caregivers) who received direct preventative services. Parents and children with disabilities who received direct preventative services should be reported as a subset of the total number of individuals served. The numbers for individuals who received public awareness or public education activities should be counted separately. States can also choose to report the number of individuals who received training and technical assistance from the lead agency as a separate total (see Attachment 6);

5. Include a description of the actual outreach activities for special populations and cultural competence efforts conducted by the lead agency during the reporting period;
6. Describe the lead agency's activities and implementation plan to ensure the continued leadership and involvement of parents in the ongoing planning, implementation, and evaluation of CBCAP programs (Section 206(8));
7. Include a description of the training, technical assistance and evaluation assistance activities conducted or sponsored by the lead agency during the reporting period;

8. Provide evaluation data on the outcomes of programs and activities funded under this program, which should include the following:
 - a. Data reporting requirements and the national outcomes for the CBCAP program, as appropriate;
 - For the efficiency measure, provide data on the percentage of total funding that supports evidence-based and evidence-informed programs and practices;
 - b. A demonstration of the high level of satisfaction among families who have used the services of the CBCAP program; (Section 206(5));
 - c. A description of the results of evaluation, or the outcomes of monitoring, conducted under the state program to demonstrate the effectiveness of activities in meeting the purposes of the program (this may include a peer review process); (Section 206(7)); and
 - d. Evaluation data, where appropriate and available, on the effectiveness of funded programs, the lead agency, and the network;
9. Include a description of the Child Abuse Prevention Month and public awareness activities conducted during the reporting period; and
10. Include a description of the important contextual factors (i.e., challenges or barriers) that impacted the ability of the CBCAP lead agency to implement its proposed plans in the last reporting period. This may include any challenges that resulted due to the COVID-19 pandemic health emergency, if applicable.

I. CERTIFICATIONS

Certification Regarding Lobbying and Disclosure of Lobbying Activities Forms

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

No additional forms are needed for the certification listed above.

J. SUBMISSION OF APPLICATION AND ANNUAL PROGRAM REPORTS

The signed original FY 2021 application and all attachments must be submitted to the Federal Project Officers by **June 7, 2021**. FY 2020 annual progress reports must be submitted by **January 30, 2022**. The Children's Bureau strongly encourages states to submit their annual program report before January 30th; however, because January 30, 2022 falls on a Sunday, the Children's Bureau will accept submissions received on Monday, January 31, 2022 as timely for this year only. Applications and reports are to be submitted to CBCAP@acf.hhs.gov with a copy to the assigned Regional Office (see Attachment 8 for this information).

PART III: ADDITIONAL INFORMATION

A. CLOSING DATE FOR RECEIPT OF APPLICATIONS

The closing date for receipt of all applications under Title II of CAPTA for the Community-Based Grants for the Prevention of Child Abuse and Neglect program is **June 7, 2021**.

B. GRANT ADMINISTRATION REGULATIONS

The regulations that apply to the administration of these grants are contained in 45 CFR PART 75—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR HHS AWARDS. See <https://www.ecfr.gov/cgi-bin/text-idx?node=pt45.1.75> for more information on the regulations.

C. EXPENDITURE OF FUNDS

A state must obligate these federal funds no later than two fiscal years after the end of the federal fiscal year in which the funds are allocated. This means that the FY 2021 funds must be obligated by September 30, 2023. The Office of Administration (OA), Office of Grants Management (OGM), in cooperation with ACYF, will review the state's financial reports. If the state does not fully obligate and/or liquidate these funds as set forth in the Terms & Conditions that will accompany its award, all unobligated and/or unliquidated funds will be recouped.

D. REPORTING REQUIREMENTS

Under the provisions of 45 CFR Part 75 each state receiving a grant under the CBCAP program must provide both a financial report and a program report. The fiscal reports are due at the end of each FY. The project period for the CBCAP grant is 36 months.

1. Financial Reports:

- Funding (Project) Period/Obligation Deadline (10/01/2020-09/30/2023). In accordance with Section 203(c)(1), this program has a 3-year project/obligation

period starting the first day of the Federal Fiscal Year, October 1, for which funds were awarded and ending the last day of the second succeeding Federal Fiscal Year, September 30. Any Federal funds not obligated by the end of the respective obligation period will be recouped by this Department.

- **Liquidation Deadline (12/29/2023)**. All obligated Federal funds awarded under this grant must be liquidated no later than 90 days after the end of the funding/obligation period (i.e., December 30th following the end of Federal Fiscal Year 3). Any Federal funds from this award not liquidated by this date will be recouped by this Department.
- **Federal Financial Reporting System. Form SF-425, “Federal Financial Report.”** The expenditure reporting form used is the SF-425 Federal Financial Report. This report is submitted annually and must be submitted no later than December 30 - 90 days following the end of each Federal Fiscal year. SF-425 reports must be submitted each grant year funds are available: two interim reports covering year one thru two of the project period and a final report (cumulative) covering the entire project period.

These annual reports must be submitted electronically through the HHS Payment Management System (PMS). Every grantee should already have a PMS account to allow access to complete Form SF-425. If your office needs additional user access, please contact your PMS Liaison Accountant or the PMS helpdesk at PMSSupport@PSC.gov. Questions related to fiscal reporting and other administrative requirements should be directed to the assigned Grants Management Specialist identified in your Notice of Award.

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

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

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

F. PAPERWORK REDUCTION ACT

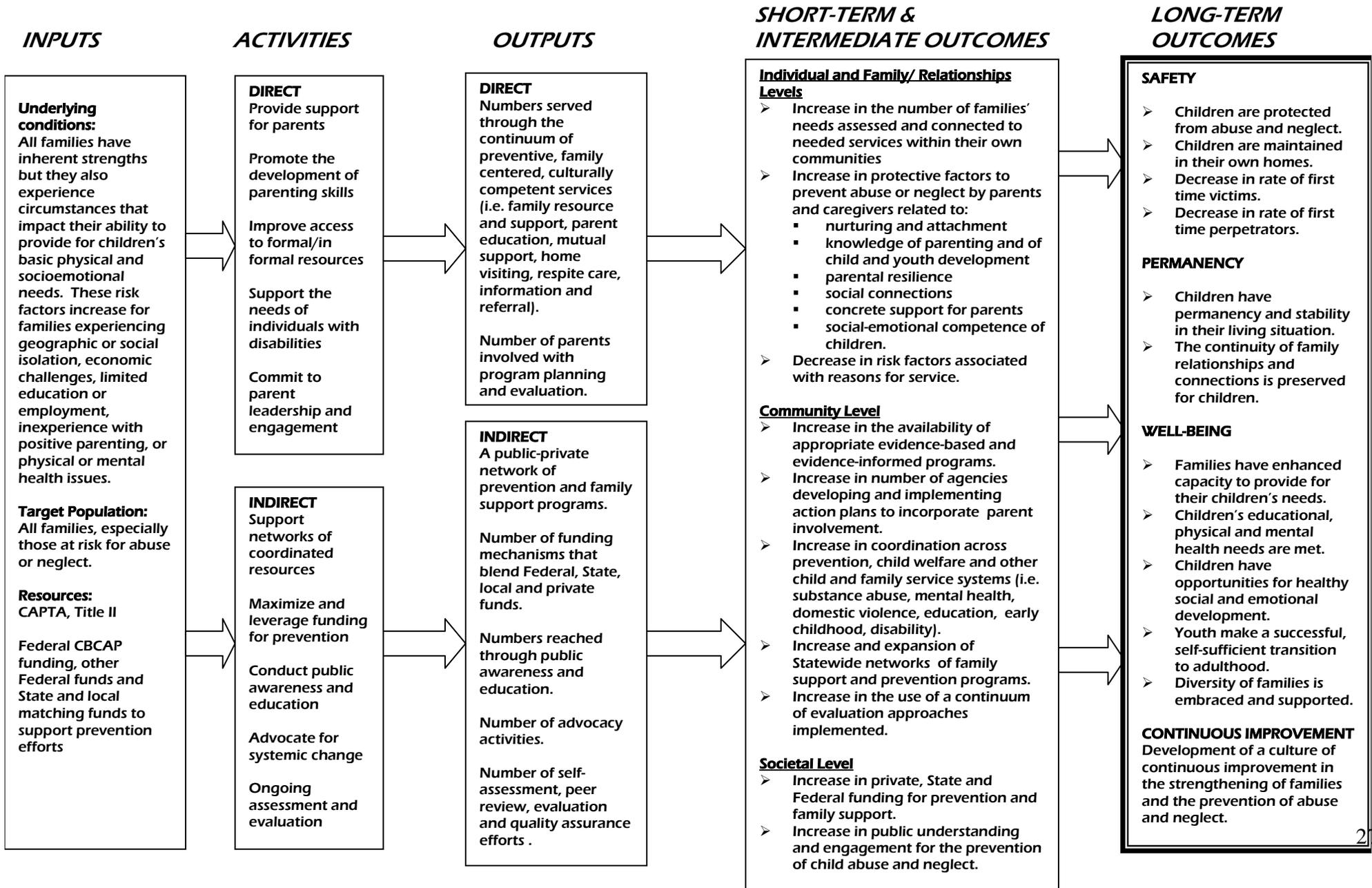
An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB Control Number. Public reporting burden for this collection of information is estimated to average 40 hours per application response, and

PART IV: ATTACHMENTS

- Attachment 1: CBCAP Conceptual Framework
- Attachment 2: Tentative Population Allocation of CBCAP Funds
- Attachment 3: Governor Assurance Statement
- Attachment 4: State Lead Agency Assurance Statement
- Attachment 5: Leveraged Funds Worksheet
- Attachment 6: CBCAP Annual Report Participant Numbers Guidelines
- Attachment 7: List of Programs for Potential Coordination and Collaboration With CBCAP
- Attachment 8: Regional Office Contacts for CBCAP

ATTACHMENT 1: CBCAP CONCEPTUAL FRAMEWORK

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



**ATTACHMENT 2:
Tentative Population Allocation of CBCAP Funds – FY 2021**

IMPORTANT NOTE: The following figures represent our best estimate of what each state, Puerto Rico, and the District of Columbia will receive for the population portion of their grant award allocation. These figures are based on a 70 percent formula figure, census figures available, and an assumption that each of the Territories will receive the base amount of \$175,000. These figures could change if census figures are updated, if there are additional set-asides in the appropriation, or if state participation differs from what is predicted at this time. The amount of funds available and population fluctuations have impacted the population distribution amounts for most of the states over last year's estimated allocation.

For purposes of submitting the application, each state may use this amount when calculating its budget and determining the 20 percent matching funds obligation as set forth in section III-G-1 of the PI. Since this amount is only tentative, each state must submit a revised budget to OCAN (at CBCAP@acf.hhs.gov, to complete the application, not later than October 31, 2021. The revised budget must be based on the actual amount awarded to the state, as verified in the Grant Award letter. For those States providing matching funds in excess of 20 percent, if the excess amount meets the 20 percent requirement of the final grant award, such states do not need to submit budget amendments.

ALABAMA	\$ 574,989	MONTANA	\$ 175,000
ALASKA	\$ 175,000	NEBRASKA	\$ 251,526
AMERICAN SAMOA	\$ 175,000	NEVADA	\$ 365,945
ARIZONA	\$ 866,593	NEW HAMPSHIRE	\$ 175,000
ARKANSAS	\$ 369,916	NEW JERSEY	\$1,024,217
CALIFORNIA	\$4,699,343	NEW MEXICO	\$ 251,401
COLORADO	\$ 665,447	NEW YORK	\$2,128,288
CONNECTICUT	\$ 384,331	NORTH CAROLINA	\$1,215,546
DELAWARE	\$ 175,000	NORTH DAKOTA	\$ 175,000
DC	\$ 175,000	N. MARIANA ISLANDS	\$ 175,000
FLORIDA	\$2,234,816	OHIO	\$1,362,056
GEORGIA	\$1,322,886	OKLAHOMA	\$ 503,100
GUAM	\$ 175,000	OREGON	\$ 457,834
HAWAII	\$ 175,000	PENNSYLVANIA	\$1,391,956
IDAHO	\$ 236,800	PUERTO RICO	\$ 302,593
ILLINOIS	\$1,488,780	RHODE ISLAND	\$ 175,000
INDIANA	\$ 828,414	SOUTH CAROLINA	\$ 587,076
IOWA	\$ 384,015	SOUTH DAKOTA	\$ 175,000
KANSAS	\$ 369,966	TENNESSEE	\$ 797,812
KENTUCKY	\$ 529,851	TEXAS	\$3,909,573
LOUISIANA	\$ 574,632	UTAH	\$ 491,976
MAINE	\$ 175,000	VERMONT	\$ 175,000
MARYLAND	\$ 705,161	VIRGINIA	\$ 983,149
MASSACHUSETTS	\$ 714,731	VIRGIN ISLANDS	\$ 175,000
MICHIGAN	\$1,132,713	WASHINGTON	\$ 878,652
MINNESOTA	\$ 688,502	WEST VIRGINIA	\$ 189,972
MISSISSIPPI	\$ 369,085	WISCONSIN	\$ 669,187
MISSOURI	\$ 724,127	WYOMING	\$ 175,000

ATTACHMENT 3: Governor's Assurance Statement

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

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

- (A) Community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from private and public sector members, parents, and public and private nonprofit service providers and individuals and organizations experienced in working in partnership with families with children with disabilities;
- (B) Direction to an interdisciplinary, collaborative, public-private structure with balanced representation from private and public sector members, parents, and public sector and private nonprofit sector service providers;
- (C) Direction and oversight to the network through identified goals and objectives, clear lines of communication and accountability, the provision of leveraged or combined funding from federal, state and private sources, centralized assessment and planning activities, the provision of training, technical assistance, evaluation assistance and reporting and evaluation functions.
- (D) A demonstrated commitment to parental participation in the development, operation, and oversight of the community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect;
- (E) A demonstrated ability to work with state and community-based public and private nonprofit organizations to develop a continuum of preventive, family-centered, comprehensive services for children and families;
- (F) The capacity to provide operational support (both financial and programmatic) and training, technical assistance, and evaluation assistance to community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect, through innovative, interagency funding and inter-disciplinary service delivery mechanisms; and
- (G) Integration of its efforts with individuals and organizations experienced in working in partnership with families with children with disabilities, parents with disabilities and with the child abuse and neglect prevention activities of the state, and demonstrate a financial commitment to those activities.

(Signature of Governor)

(Date)

OMB Control # 0970-0155 (Expires 04/30/2021)

ATTACHMENT 4: State Lead Agency Assurance Statement

COMMUNITY-BASED GRANTS FOR THE PREVENTION OF CHILD ABUSE AND NEGLECT PROGRAM (TITLE II OF THE CAPTA AMENDMENTS OF 2010 (P.L. 111-320)) <u>STATE LEAD AGENCY ASSURANCE STATEMENT</u>	
STATE:	LEAD AGENCY:

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

- (A) A description of the inventory of current unmet needs and current community-based and prevention-focused programs and activities to prevent child abuse and neglect, and other family resource services operating in the state, will be included with the Annual Performance Report (and subsequent year's reports);
- (B) Funds received under this title will supplement, not supplant, other state and local public funds designated for the start-up, maintenance, expansion, and redesign of community-based and prevention-focused programs and activities to strengthen and support families to prevent child abuse and neglect;
- (C) The state has the capacity to ensure the meaningful involvement of parents who are consumers and who can provide leadership in the planning, implementation, and evaluation of the programs and policy decisions of the applicant agency in accomplishing the desired outcomes for such efforts; and
- (D) The lead agency will provide the Secretary with reports at such time and containing such information as the Secretary may require (and every year on the same date for the life of the grant).

(Signature of Responsible Lead Agency Administrator)

(Typed Name and Title of Administrator)

(Date)

**ATTACHMENT 5: Leveraged Funds Worksheet with Example Worksheet and Guidance for
Differentiation Between Leveraged and Match Funds**

LEVERAGED FUNDS WORKSHEET for FY 2021 APPLICATION

STATE: _____ LEAD AGENCY: _____

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

INCENTIVE CLAIM ASSURANCE: All amounts figured into this claim are non-federal monies that have been leveraged by the state, directed through the CBCAP lead agency submitting the application, and budgeted and spent in FY 2020 (i.e., 10/1/19 – 9/30/20) to support community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect, as defined in the law, that coordinate resources among a range of existing public and private organizations for the purposes defined under this Title. No funds claimed here have been claimed to leverage any other source of federal funds. State and non-federal funds that are being used to meet the maintenance of effort, match or other cost-sharing requirements for other federal funding are not eligible to be claimed.

<u>TOTAL CLAIM</u>	PREPARED BY: (Fiscal Agent) (Date) SUBMITTED BY: (Lead Agency Authority) (Date) (Date)
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LEVERAGED FUNDS - EXAMPLE WORKSHEET

STATE: _____ LEAD AGENCY: _____

AMOUNT OF CLAIM	DATE(S) FUNDS WERE RECEIVED AND BUDGETED BY LEAD AGENCY ----- BUDGETED/SPENT	SOURCE OF FUNDS BEING CLAIMED	PURPOSE FOR WHICH FUNDS WERE BUDGETED AND SPENT
\$ 37,948.00	Monthly Installments (5/2020-9/2020) 9/1/20	Tax Check offs/Private Contributions	3 respite care programs for rural communities in XXX county, XXX county, and XXX county, to expand services available through our Inter-agency Agreement with "Child Care Services".
\$ 1,500,000.00	12/1/19 9/1/20	State Appropriation	129 (one per county) School-based Parent Education programs for young & single parents.
\$ 50,000.00	11/9/19 5/19/20	Foundation Gift (United Way)	5 training programs (one in each geographic region) to recruit & train parents as community interagency leaders/partners.

INCENTIVE CLAIM ASSURANCE: All amounts figured into this claim are non-federal monies that have been leveraged by the state, directed through the CBCAP lead agency submitting the application, and budgeted and spent in FY 2020 (i.e., 10/1/19 – 9/30/20) to support community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect, as defined in the law, that coordinate resources among a range of existing public and private organizations for the purposes defined under this Title. No funds claimed here have been claimed to leverage any other source of federal funds. State and non-federal funds that are being used to meet the maintenance of effort, match or other cost-sharing requirements for other federal funding are not eligible to be claimed.

<u>TOTAL CLAIM</u>	PREPARED BY:
\$ 1,587,948.00	(Fiscal Agent) (Date)
	SUBMITTED BY:
	(Lead Agency Authority) (Date)

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

<p>Leveraged Funds are those funds that were received by the CBCAP lead agency from private, state, or other non-federal sources during the prior Federal Fiscal Year (FY), and obligated and spent by the CBCAP lead agency during that same time frame to provide the types of services and activities for which the actual CBCAP federal funds may be used.</p> <p>All funds leveraged by your date and claimed when submitting the CBCAP application must have been:</p> <ul style="list-style-type: none"> • Leveraged by your state from private, state, or other non-federal sources during the prior Federal Fiscal Year. • Directed through the CBCAP lead agency submitting the application. (Note: Leveraged funds must be controlled by the CBCAP lead agency submitting the application. If the state lead agency has changed and the current lead agency submitting the application is not the same lead agency through which the leveraged funds were directed and obligated or spent in the prior Federal Fiscal Year, the current lead agency cannot submit a leveraged funds claim. In that case, your total grant award would be the amount determined by population of children under 18 years of age). • Budgeted and spent (spent, obligated, restricted) during the prior Federal Fiscal Year in supporting services and activities consistent with a network of community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect. • Used (spent, drawn down) during the prior Federal Fiscal Year to support services and activities for which the actual CBCAP Federal grant funds may be used. <p>Only funds that have not been used to leverage additional Federal funds under any other program may be claimed as leveraged funds for this program. State and non-federal funds that are being used to meet the maintenance of effort, match or other cost-sharing requirements for other Federal funding are <u>not</u> eligible to be claimed.</p>	<p>Match funds are those funds from non-federal sources that are included in the current application budget to supplement the federal portion of the grant and must amount to at least 20 percent (in cash, not in-kind) of the current application grant award for activities under this title.</p> <p>All Funds included as match funds in the current application budget must be:</p> <ul style="list-style-type: none"> • Received by the CBCAP lead agency from private, state, or other non-federal sources for use during the current federal Fiscal Year in which the application is being submitted. • Budgeted for the current Federal Fiscal Year in supporting a network of community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect. • Used during the Federal Fiscal Year in which it was applied to supplement the federal portion of the grant to support services and activities for which the CBCAP federal grant funds may be used. • In cash, not in-kind, and amount to at least 20 percent of the grant award. (Note: There is no requirement to include more than a 20 percent match of non-federal funds in the budget. However, if the state has a sizeable leveraged funds claim that ensures their grant award will be greater than the population allocation, the state may wish to figure in a higher percentage for match so that they do not have to submit a budget amendment in October. <p>The state may claim the money that it used for match in Federal Fiscal Year 2020 as part of their leveraged funds claim for their Federal Fiscal Year 2021 application, as long as this money is not leveraged to claim for any other source of federal funds, the funds were directed through the lead agency, and the lead agency has remained the same for FY 2020 and FY 2021.</p>
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ATTACHMENT 6: CBCAP Annual Report Numbers Guidelines

CBCAP Annual Report Participant Numbers Reporting Guidelines	
	DATA
Table	Children, Parents/Caregivers and Families Who Received Preventive Direct Services
I.	From the State During the Year – FY2021 Community-Based Child Abuse Prevention Program (CBCAP) Grant
SUMMARY DATA DEFINITION	
<p>Preventive direct services under CBCAP are beneficial activities aimed at preventing child abuse and neglect. Such activities may be directed at the general population or specific populations identified as being increased risk of abusing or neglecting their children. The primary focus of these activities are to better strengthen and support families by increasing protective factors and reducing the risk factors that can reduce the likelihood of abuse or neglect. The six primary protective factors to be increased by the preventive direct services include: nurturing and attachment, parental resilience, knowledge of parenting and of child and youth development, social connections, concrete supports for parents, and social and emotional competence of children. The primary risk factors that may be addressed include caregiver problems with mental health, substance abuse, and family and community violence, and other negative conditions in the child and family's life situation. Ultimately, the goals of these activities are to increase the strength and stability of families, to increase parents' confidence and competence in their parenting abilities, to afford children a stable and supportive environment and to increase the safety, permanency and well-being of children and families. Such activities do not include information and referral, one-time public education events, or public awareness campaigns.</p>	
INSTRUCTIONS / ERROR CONDITIONS	
<p>This is the number of children and number of families who received services aimed at preventing child abuse and neglect during the year. These services may be directed at specific populations identified as being at increased risk of becoming abusive or they may provide direct services to the general population. Direct services means that the services must be provided to an individual or family and the <u>planned</u> duration of the services should be more than a one-time event. Some examples of preventative direct services include: voluntary home visiting, parenting programs, parent mutual support, respite care, family resource centers, or other family support programs. If the participant only attends the direct service for one-time and drops out, they should still be counted in this category since the planned duration was for more than one-time.</p> <p>The data should reflect recipients of direct services funded by the CBCAP program. Direct services funded by CBCAP should reflect the Federal CBCAP funds plus the amount for the state's required 20% match as reflected in their application for this year's funding. (Note: Some states include more than a 20% match in their application). Since a number of states blend the CBCAP with other federal, state and local funding, these states will need to indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of the total.</p> <p>The data should not include recipients of information and referral services, one-time public education events, and other public awareness campaigns. The recipients of these activities should be counted <u>separately</u> as part of Public Awareness Activities (see Table III).</p> <p>The items in this section request data on recipients of preventive direct services under the CBCAP program. Data on the number of children, parents and the number of families receiving these services is requested. The three possibilities are provided since some programs report by "family", "parent/caregiver" and others report by "child". In answering these questions, to the extent possible, you should NOT duplicate your counts.</p> <p>This is the number of children, parents/caregivers, and families who received services aimed at preventing child abuse and neglect during the year funded by a Community-Based Child Abuse Prevention Program (CBCAP) Grant. The total number should also include the number of adults/children with disabilities who are receiving direct services.</p>	
STATE DATA	
<p>Can the state provide data for this item? (Y=Yes, N=No) []</p> <p>Total number of children who received preventative direct services:</p> <p>Total number of parents/caregivers who received preventative direct services:</p> <p>Total number of families who received preventative direct services:</p>	
STATE COMMENTARY / CONSTRUCTION LOGIC	
<p>The state should provide additional information about the numbers being reported above and the primary source of the data. If multiple funding sources are included in the recipient numbers, please indicate the total funding from all other sources, including CBCAP, and indicate the percentage of CBCAP funding that is part of that total. If no data is available, the state should provide an explanation why the data cannot be reported.</p>	

CBCAP Annual Report Participant Numbers Reporting Guidelines

DATA

CHARACTERISTICS

Table II.	Children, Parents/Caregivers with Disabilities Who Received Preventive Direct Services From the State During the Year – FY2021 Community-Based Child Abuse Prevention Program (CBCAP) Grant
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SUMMARY DATA DEFINITION

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

INSTRUCTIONS / ERROR CONDITIONS

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

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

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

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

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

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

STATE DATA

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

Total number of children with disabilities who received preventative direct services:

Total number of parents/caregivers with disabilities who received preventative direct services:

STATE COMMENTARY / CONSTRUCTION LOGIC

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

CBCAP Annual Report Participant Numbers Reporting Guidelines**DATA****CHARACTERISTICS****Table III.****Individuals Who Received Public Awareness or Public Information Activities**
From the State During the Year – FY2021
Community-Based Child Abuse Prevention Program (CBCAP) Grant**SUMMARY DATA DEFINITION**

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

INSTRUCTIONS / ERROR CONDITIONS

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

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

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

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

STATE DATA

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

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

STATE COMMENTARY / CONSTRUCTION LOGIC

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

ATTACHMENT 7: Information and Resources to Promote Collaboration and Coordination with Other Child and Family Support Systems

The information provided in this attachment includes descriptions of programs, services, and initiatives that may have similar target audiences, purposes or goals as the state's CBCAP programs. CBCAP lead agencies are encouraged to review the information provided on the programs to consider opportunities to collaborate to enhance the continuum of prevention services and resources implemented to strengthen and support families and communities in their states. CBCAP lead agencies who are currently partnering or plan to partner with the programs, services and initiatives below should include information on the collaborations in their applications and annual reports. In addition, the Children's Bureau has issued a number of Program Instructions and Information Memorandums to promote family support and prevention efforts. For more information and updates on these laws and policies, CBCAP state lead agencies are encouraged to visit: <https://www.acf.hhs.gov/cb/laws-policies/whats-new>.

Federal Programs and Agencies for Potential Collaboration

Administration for Community Living

The U.S. Department of Health and Human Services' Administration for Community Living advocates across the federal government for older adults, people with disabilities, and families and caregivers; funds services and supports provided primarily by states and networks of community-based programs; and invests in training, education, research, and innovation. For more information on this program, visit their website at <https://www.acl.gov/programs>.

Centers for Disease Control and Prevention

The Centers for Disease Control and Prevention is a national public health institute in the United States. For more information, visit: <https://www.cdc.gov/>.

Child Care Programs

Child Care programs support low-income working families by providing access to affordable, high-quality early care and after-school programs. For more information, visit <http://www.acf.hhs.gov/programs/occ>.

Child Support Enforcement Access and Visitation Programs

Funds are provided to enable states to create programs that support and facilitate access and visitation by non-custodial parents with their children. For more information, please visit the ACF Office of Child Support Enforcement at <https://www.acf.hhs.gov/css/grants/grant-updates-results/access-and-visitation-mandatory-grants>.

Early Childhood Comprehensive Systems (ECCS) Program

Early Childhood Comprehensive Systems are partnerships between interrelated and interdependent agencies/organizations representing physical and mental health, social services, families and caregivers, and early childhood education to develop seamless systems of care for children from birth to kindergarten entry. For more information, visit <https://mchb.hrsa.gov/earlychildhoodcomprehensivesystems>

Office of Early Childhood Development

The Office of Early Childhood Development acts as a catalyst to create a collective impact and support the early learning and care of our nation's children and their families. For more information, visit: <https://www.acf.hhs.gov/ecd/about-0>.

Early Intervention Programs through IDEA Part C

The Program for Infants and Toddlers with Disabilities (Part C of IDEA) is a federal grant program that assists

states in operating a comprehensive statewide program of early intervention services for infants and toddlers with disabilities, from birth through two years of age, and their families. For more information, visit <http://ectacenter.org/>.

Head Start & Early Head Start Programs

Head Start is a federal program for infants, toddlers and preschool children from low-income families. Head Start programs prepare America's most vulnerable young children to succeed in school and in life beyond school. For more information, visit the Early Childhood Learning and Knowledge Center at <https://eclkc.ohs.acf.hhs.gov/>.

Maternal and Child Health Bureau, Title V Program

The specific purpose of the Title V Block Grants to the states is the creation of federal-state partnerships that target the needs of low income or at-risk expectant and new mothers and their children. For more information, visit <https://mchb.hrsa.gov/maternal-child-health-initiatives/title-v-maternal-and-child-health-services-block-grant-program>.

Social Services Block Grant Program

The Social Services Block Grant is a flexible funding source that allows states and territories to provide essential social services to address their populations' needs. For more information, visit <http://www.acf.hhs.gov/programs/ocs/programs/ssbg>.

Temporary Assistance to Needy Families

The Temporary Assistance for Needy Families program is designed to help needy families achieve self-sufficiency. For more information, visit <https://www.acf.hhs.gov/ofa/programs/tanf>.

Office on Trafficking in Persons

The Office on Trafficking Persons develops anti-trafficking strategies, policies, and programs to prevent human trafficking; builds health and human service capacity to respond to human trafficking; increases victim identification and access to services; and strengthens health and well-being outcomes for survivors of human trafficking. For more information, visit <https://www.acf.hhs.gov/otip>.

Community-Based Programs for Potential Collaboration

Faith-Based and Community Organizations

Faith-based and community organizations often operate very close to the daily lives of individuals and families in need and thus can reach needy individuals and families that government cannot. For more information about the HHS Center for Faith-Based and Neighborhood Partnerships, visit <https://www.hhs.gov/about/agencies/iea/partnerships/about-the-partnership-center/index.html>.

Respite Care Programs

Respite care programs provide short-term, in-home or out-of-home nonmedical childcare by providing families or primary caregivers with periods of temporary relief from the pressures of demanding childcare routines and lessens the intensity of severe family stress. Respite services are included as services for funding under the CBCAP program (See sections 205(3)(A) and 208(3)). For information about these programs in your State, visit the ARCH National Respite and Resource Center website at <http://www.archrespite.org>.

ATTACHMENT 8: Regional Office Contacts for CBCAP

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