



**Maximizing Fiscal Resources
for the Community-Based
Child Abuse Prevention (CBCAP)
State Lead Agencies:
*A Guidebook and Tool Kit***



FRIENDS National Resource Center for
Community-Based Child Abuse Prevention Programs
Technical Assistance Series

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CBCAP State Lead Agencies, FRIENDS Technical Assistance Coordinators, and our own needs assessments and evaluations raised a number of specific questions, including: *what is leveraged, braided and blended funding?; how are allocations to states determined?; how are CBCAP funds leveraged?; what funds can be used for leverage?; how can more resources be generated overall?; and what are other State Lead Agencies leveraging?* We are particularly indebted to Melissa Lim Brodowski, the CBCAP Federal Project Officer, for helping to resolve these and other questions.

Presently, retirements, system reorganizations, and attrition are creating a significant number of transitions in the national CBCAP network. These changes make this tool kit on leveraging CBCAP funding even more timely. FRIENDS is pleased to provide this resource, which is intended to give direction and support to State Lead Agency staff.

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Introduction

CBCAP Lead Agencies are required to participate in efforts to “maximize funding through leveraging of funds 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.” (CBCAP Program Instructions 2006)

Creative financing strategies such as *leveraged, braided, blended or pooled funding and fundraising* (both public and private) can be confusing and may be considered challenging by some agencies. Although some of these are complex fiscal strategies, there are practices that can help ensure success in maximizing limited resources. These practices involve careful thought and planning and are based on sound principles. Many state CBCAP Lead Agencies have become adept at this process. Since few funding sources are targeted solely to prevention, agencies often must patch together a variety of resources to address the comprehensive needs of families.

Maximizing resources is broadly defined as *increasing or optimizing resources for a program or initiative*. This may involve leveraging, braiding or pooling resources, which can be monetary, human or other program enhancements. Maximizing resources brings increased funding as well as a broader base of partners to an agency’s initiative and strengthens the capacity of the State Lead Agency overall.

The purpose of this guidebook is to share strategies for maximizing funding for child abuse prevention activities and provide an overview of the leveraged fund-claiming process for CBCAP programs. We look forward to feedback from the network on the usefulness of the strategies and resources listed here.

I: Leveraged, Braided and Blended Funding for CBCAP Grantees

The Community-Based Child Abuse Prevention (CBCAP) Grants program, Title II of the Child Abuse Prevention and Treatment Act (CAPTA), was reauthorized in June 2003 as part of the Keeping Children and Families Safe Act of 2003. The program has provided communities with the unique opportunity to develop, operate, expand and enhance efforts to strengthen and support families and to prevent child abuse and neglect. CBCAP is designed to support a continuum of prevention services for children and families through state and community-based public and private partnerships.

The CBCAP program is the only federally-funded, formula grant program that has the sole purpose of preventing child abuse and neglect. The formula grant design recognizes that states can be very effective at creating statewide networks and community-based initiatives to protect children from child abuse and neglect. The CAPTA legislation authorizing the CBCAP program stipulates a minimum award per state of no less than \$175,000. In FY 2006, the minimum amount was \$200,000 per State Lead Agency. The legislation also requires that 70 percent of the CBCAP funds be allocated based the number of children under 18 residing in each state. The remaining 30 percent of the funds is distributed among the states based on the amount of private, state or non-federal funds *“leveraged and directed through the designated state lead agency.”*

In other words, the leveraged fund claim for the CBCAP program *MUST* be received and documented as spent on prevention and also *MUST* be directed through the lead agency’s budget. Additionally, the amount of each state’s final grant award is based on the percentage of the total amount leveraged that these dollars represent (see formula below).

Funding Formula for CBCAP Allocations

Total State CBCAP Allocation = base allocation (i.e. state child count x \$ per child) + state leveraged fund allocation

State Leveraged Fund Allocation = total \$ dollars leveraged/total amount leveraged by all states (= % of the whole) X 30% of total CBCAP funding reserved for the leveraged fund portion of the grant

The example below demonstrates how state allocations are calculated using this formula.

Calculation of the CBCAP Leveraged Fund Claim and Final Allocation

Part 1 of the Funding Calculation:

- Total CBCAP for FY 2006 = \$ 42,430,410

- Minus Deductions for NRC, tribal and migrant programs, other rescissions from the Budget Office - 1,925,891

Total Left for Grants to States = \$ 40,504,519

Part 2 of the Calculation:

- 70% allocated based on state population \$ 28,353,163
- 30% based on leveraged funds \$ 12,151,356

- For the FY 2006 application, the total leveraged fund claims submitted by all of the States (spent in FY2005) = \$ 243,833,515

- To calculate the leveraged fund allocation for a particular state, take the state's claim and divide it over the total of all of the claims.

Example:

- Of the total, YOUR STATE submitted a claim of \$1,000,000 or 0.0041 (0.4%) of the total leveraged fund claims submitted ($\$1,000,000 / \$243,833,515 = 0.0041$)

- Take YOUR STATE'S portion of the leveraged fund claims, 0.0041, X the 30% available to get the state's leveraged fund claim share. ($0.0041 \times \$ 12,151,356 = \$49,834$)

- FY 2006, all states received a rate of return for their leveraged fund claim of approximately 0.05 (or 5 cents, 5%). This is calculated by the formula:
Rate of return = leveraged fund allocation/ leveraged fund claim total for state. In YOUR STATE, this is: Rate of return = $\$49,834 / \$1,000,000 = 0.05$

- YOUR STATE'S final allocation for FY2006 is the tentative allocation (\$200,000) plus the \$49,834 leveraged fund allocation.

- The final allocation is $\$200,000 + \$49,834 = \$249,834$

These federal dollars are considered a federal investment meant to encourage additional or larger investments from local and state governments and private resources in programs to prevent child abuse and neglect. States are encouraged to maximize funding by leveraging dollars for the establishment, operation and expansion of community-based, prevention-focused programs and activities as well as by blending or braiding federal, state, local and private money for child abuse prevention activities.

What are Leveraged Fund Claims?

As a general term, leveraging is a very real, well-established mechanism for *using a few key dollars to generate larger amounts of capital and, in most instances, creating collaborative relationships that are beneficial to all parties involved and that advance the program's goal.*

Under CAPTA Title II, leveraged funds have a specific meaning; they are funds that were received by the CBCAP Lead Agency from *private, state or other non-federal sources.*

- Funds must be **received** during the prior Federal Fiscal Year (FFY) AND **obligated** or **spent** within that same time frame.
- Funds must be used to provide the same types of community-based child abuse prevention programs and activities that the actual CBCAP federal funds could be used for.
- Leveraged funds must be **directed through** the CBCAP State Lead Agency and **controlled by** the CBCAP State Lead Agency submitting the application.
- In-kind contributions do not count as leveraged fund claims under CAPTA.
- Matching dollars are also not allowable UNLESS these funds are directed through and controlled by the State Lead Agency for this initiative.

Sources of Leveraged Funding

Any private, state or other non-federal funding may be leveraged by State Lead Agencies for the CBCAP programs. Funds that can be leveraged come from a variety of sources; there are many opportunities for creative thinking. The table below lists examples of fund sources on the FY 2005 leveraged claim sheets. Additional strategies are described later in this document.

FY 2005 Leveraged Fund Claim Sources

| Private Sources | State Sources | Other Non-Federal Sources |
|--|---|--|
| <ul style="list-style-type: none"> ▪ <i>Foundation Grants</i> ▪ <i>Corporate Grants & Donations</i> ▪ <i>Individual Donations</i> ▪ <i>License Plate Sales</i> ▪ <i>United Way</i> ▪ <i>State Income Tax Check-off</i> | <ul style="list-style-type: none"> ▪ <i>Tobacco Settlement</i> ▪ <i>State General Fund</i> ▪ <i>State School Aid</i> ▪ <i>Marriage License Fees</i> ▪ <i>State Appropriations</i> ▪ <i>Birth & Death Certificate Fees</i> ▪ <i>Divorce Filing Fees</i> ▪ <i>Domestic Violence Funds</i> ▪ <i>Other Statutory Dedications</i> | <ul style="list-style-type: none"> ▪ <i>Endowment Disbursement</i> ▪ <i>Interest Income</i> ▪ <i>Earned Income (services, products, materials)</i> ▪ <i>Conference Registration Fees</i> ▪ <i>Contractual Services</i> ▪ <i>Special Events (auctions, races, signature events)</i> |

How To Leverage CBCAP Funds

The first step when trying to determine what should be included in a leveraged fund claim is to speak with the finance officer of the State Lead Agency to ensure that funds being considered are allowable.

Identify all possible sources of non-federal funds. Assess which funds are available and whether the funds could be better used to match CBCAP or other Federal funds. To make the best choice, analyze the expected costs versus the expected benefits of the various options.

Second, explore different approaches that would bring funds to the state to support community-based child abuse prevention efforts. Following are some examples of successful approaches used by State Lead Agencies.

- *Work with the state legislature to secure fees from vital statistics, income tax check-offs, license plates and tobacco settlement funds.*

Tennessee's Office of Child Safety, Department of Children's Services, uses a variety of funding mechanisms to support its programs, including a marriage license tax, a vehicle license tag called "Children First" and a state appropriation.

The Idaho Children's Trust Fund receives a large amount of funding from a check-off donation box on the Idaho state income tax form.

Minnesota's Department of Human Services uses funds from a surcharge on the sale of birth certificates to provide support and education programs to parents with children from infancy to five years old.

- *Partner with private foundations and community organizations that support child abuse prevention to secure space, food, publicity and funding.*

Wisconsin has received funding from foundations, corporations, churches and the United Way. The Wisconsin Children's Trust Fund has also held fundraisers that included craft fairs, nut sales and special event nights.

- *Develop an interagency agreement or memorandum of understanding between the state agencies that serve families and children to create pools of blended or braided funding support. (See the Appendix for a sample form.)*

In Colorado, two federal streams are combined to support family resource centers. These funds are disbursed through the Family Resource Center Association (FRCA), which also coordinates training and technical assistance for the centers.

- *Collaborate with local media and small businesses as well as health, education, law enforcement and religious institutions to promote family-strengthening messages.*

The Idaho Children's Trust Fund contracts with the State Broadcasters Association to encourage donations through public service announcements.

- *Contact local business councils and the local Small Business Administration to gather information about possible entrepreneurial ventures such as thrift stores and real estate.*

Colorado and Idaho have been successful in raising funds through grantee-operated thrift stores.

- *Hold special events.* Identify volunteers with development and fundraising expertise to plan and coordinate special events such as auctions, radio-thons, 5k races, published cookbooks, award dinners and concerts.

The Massachusetts Children's Trust Fund hosts several special events to support child abuse prevention activities, including the Fall River Family Fun Day and the Spring Fundraising Event. *Develop corporate partnerships.*

The New Jersey Task Force on Child Abuse and Neglect leverages funds to support its biennial conference on child abuse and neglect from corporations and agencies throughout the state. The Task Force also partners with Johnson & Johnson to produce the annual *Parenting Tips Calendar*.

State Activities Supported by CBCAP Leveraged Fund Claims

CBCAP leveraged fund claims support the four levels of prevention strategies as identified by the Social Ecological Model, a comprehensive approach that addresses an individual’s risk factors as well as the norms, beliefs and social and economic systems that create the conditions for child maltreatment to occur. (For a more complete description, see *World Report on Violence and Health*

(http://www.who.int/violence_injury_prevention/violence/world_report/en/.) This means that CBCAP Lead Agencies can use leveraged fund claims to address immediate programmatic needs and to support long-term systemic change. The chart below identifies examples of specific strategies conducted by CBCAP Lead Agencies with leveraged fund claims.

| Programs Supported by CBCAP Leveraged Funds | | | |
|---|---|---|---|
| Individual | Relational | Community | Societal |
| <ul style="list-style-type: none"> ▪ Parenting Classes ▪ Child Development Screening ▪ Youth Life Skills Training ▪ Information and Referral ▪ Parent Life Skills ▪ Respite Care and Crisis Stabilization ▪ Child Safety Training ▪ Training & TA | <ul style="list-style-type: none"> ▪ Parent Support Groups ▪ Mentoring ▪ Home Visitation | <ul style="list-style-type: none"> ▪ Service Collaboration | <ul style="list-style-type: none"> ▪ Public Awareness Activities ▪ Public Education Materials |

Braided and Blended Funding

As it becomes more evident that children and families have an array of needs that can best be met by coordinated, comprehensive and flexible programming, braided and blended funding becomes more practical. The federal government increasingly has recognized the practical benefits of braiding and blending resources to support cross-system collaboration. Blended funding pools have been used for many years but the concept of braided funding is a more recent approach. Both approaches, however, combine funds from different agencies or programs into a single source that is indistinguishable at the point of service delivery.

Blended funds (often called pooled funds) involve combining funds from several sources into a single pool from which allocations or disbursements are made. Blended funds offer maximum flexibility to the agency, reduce the work required for reporting and accountability and often provide gap funding or resources for activities not reimbursable through categorical funds. These funds are generally more difficult to obtain because the agency does not have control of the resources after pooling; therefore the amounts given are usually smaller. However, these funds are also the most flexible. Given the categorical nature of most major funding streams, flexible funds such as these are essential to ensuring that the various needs of families are being met comprehensively. In this current environment of categorical funding, the major challenge to service delivery systems is the ability to provide families with what they need or want rather than simply what is available. Resources such as these best meet individual families' needs and interests.

Braided funds may also come from a variety of sources, but the funds are tracked both collectively and individually. Accountability for each stream of money is maintained by both the funding source and the agency charged with administering the funds. Like a scarf knitted with several strands of colored yarn, "braided" funds remain in separate strands and can be tracked by each strand (or source) from allocation to service delivery. These coordinated funds are joined or braided into a comprehensive service package and are indistinguishable at the service level. Agencies favor braided funds because the funds are categorical and the agencies can maintain control. On the other hand, braided funding is more challenging for the agency responsible for the funds because of the varying reporting requirements, funding cycles and payment schedules. However, it is a very effective funding strategy that often generates more resources than is possible with blended funds.

Collaborative approaches offer opportunities to meet service demands at a reasonable cost while stretching limited available financial resources. Categorical funding often can only respond to narrowly-defined needs, while blended or braided dollars can address multiple needs in a more flexible manner. However, the *pooling of resources* should always be in accordance with negotiated written agreements. Having written agreements or memorandums of understanding greatly minimizes conflicts and is essential to ensuring that these strategies work. There are many examples within the CBCAP network of the "where there is a will there is a way" philosophy. For example, in *Minnesota*, legislative language stipulates that the Family Services and Community-Based Collaborative work to blend funds. The legislation

requires participating communities to maximize federal and private funds, match federal or private funds with local dollars and design services to meet requirements for state or federal reimbursement.

Prevention programs across the country have found ways to share resources and skills in formal and informal ways. Memorandums of understanding (agreements that describe what each partner will contribute to a specific project and the conditions of that partnership) are valuable tools in the collaborative process. (See the *Sample Interagency Agreement* on page 35.) These contributions by the partners may include services, money, staff time or facilities. Collaborations are usually cost-effective and ultimately help sustain the program, because a number of agencies or leaders have bought into its success.

Funding Strategies

| Blended Funding | Braided Funding |
|---|---|
| <ul style="list-style-type: none"> ✓ Offers significant flexibility to the agency ✓ Reduces work required for reporting and accountability ✓ Allows funding of activities not reimbursable through categorical sources ✓ Provides gap funding ✓ Can be politically difficult to obtain ✓ Increases resources but are generally smaller amounts of money | <ul style="list-style-type: none"> ✓ Allows resources to be tracked ✓ Allows agencies to maintain control ✓ Recognizes the categorical nature of funding ✓ Avoids some of conflicts that can arise with blending ✓ Increases opportunities to obtain larger amounts of funds ✓ Allows for both accountability and flexibility |

Successful Funding Strategies

Leveraging funding involves relationship building, knowledge of various revenue resources and a willingness to think creatively. Success depends on conducting background research, having patience, ensuring accountability and building a sound case for the proposed activities by documenting the need for partners and other funding sources to participate in the proposed project. It is important to demonstrate a positive return on investment and to highlight how this effort will benefit everyone involved, particularly the children and families served by the CBCAP programs.

A 2003 study by the Robert Wood Johnson Foundation found that successful fiscal or financing systems:

- have a clear vision of what they are trying to finance
- engage in collaborative planning
- understand the various resource options
- use resources from a variety of sources
- integrate resources behind a common plan
- are flexible
- focus on performance, outcomes and continuous efforts to improve the quality of services
- possess a data infrastructure that can provide the essential information needed to ensure accountability.

Five Key Strategies for Financing CBCAP Programs

Knowledge of various resource options is critical to maximizing and leveraging resources. The Finance Project, a non-profit research, consulting and technical assistance organization that specializes in finance, collaboration and investment issues that benefit children, families and communities, has identified five key financing strategies for local, state and collaborative decisionmakers to consider. Many of these are already used by most state and local systems. For CBCAP State Lead Agencies, each strategy is an opportunity to leverage, blend or braid funding, as well as increase resources available for CBCAP programming using other strategies

| STRATEGY 1: Better Use of Existing Resources | STRATEGY 2: Maximizing State and Federal Resources | STRATEGY 3: Creating More Flexibility in Categorical Funding | STRATEGY 4: Building Public/Private Partnerships | STRATEGY 5: Creating New Dedicated Streams of Funding |
|--|--|---|---|---|
| <p><u>Redeployment</u>—shifting funding from higher-cost to lower-cost programs and services. This may include shifting some state funds from more expensive services, such as out-of-home placement, to support services, such as intensive or comprehensive family support services.</p> <p><u>Operating More Efficiently</u>—cutting costs that can be reinvested in expanding or enriching services. This could include co-locating, pooling purchases and reducing duplication of effort.</p> | <p><u>Leveraging</u>—maximizing federal revenue by taking advantage of programs that provide funding contingent on state, local and private investment. This expands the value of funds by increasing the ability to draw down more funds. There are numerous examples of leveraging throughout this document.</p> | <p><u>Pooled or Blended Funding</u>—combining a portion of funds from several agencies and programs into a single unified funding stream. For example, Arizona’s State Lead Agency supports its Healthy Families programs and regional child abuse prevention councils with blended funding. The \$11 million pooled fund come from CBCAP, the state general fund, tobacco settlement, Temporary Assistance for Needy Families (TANF), Child Abuse Prevention Fund and the Governor’s Division for Substance Abuse Policy, Parents Committee.</p> | <p><u>Leveraging</u>—creating partnerships that expand the fiscal base for prevention strategies.</p> <p><u>Leadership</u>—building new, shared public-private leadership for investments in children and families.</p> <p><u>Technical Assistance</u>—creating opportunities for sharing the knowledge, skills and technical resources needed to create and sustain effective systems of support to children and families.</p> | <p><u>Fees for Services</u>—to help cover the program costs.</p> <p><u>Special Tax Levies</u>—an add-on to existing taxes, with the additional revenues earmarked for specific programs and services.</p> <p><u>Fees and Narrowly Based Taxes*</u>—fees or taxes on specific segments of economic activity, usually on goods or services. Several that are commonly used by CBCAP lead agencies are fees for birth, death and marriage certificates.</p> <p><u>Income Tax Check-Offs*</u>—taxpayers designate a portion of their tax liability or donate a part of their refund to specific services or programs. A number of CBCAP State Lead Agencies receive funds from state income tax check-offs.</p> |

| STRATEGY 1: Better Use of Existing Resources | STRATEGY 2: Maximizing State and Federal Resources | STRATEGY 3: Creating More Flexibility in Categorical Funding | STRATEGY 4: Building Public/Private Partnerships | STRATEGY 5: Creating New Dedicated Streams of Funding |
|---|--|---|---|--|
| <p><u>Reinvestment</u>—allocating funds that can be saved through redeployment, refinancing or reductions in spending to new or alternative supports and services. An example of reinvestment would be capturing the savings from case load decline and reinvesting it in prevention.</p> | <p><u>Grant Writing to Access Public and Private Sector Funds*</u>—applying for discretionary grants from public agencies, private foundations, corporations and other funding organizations. For example, in <i>California</i>, a partnership was formed between foundations and the State Lead Agency, the CA Department of Social Services/Office of Child Abuse Prevention, to fund training and technical assistance for the purpose of improving the sustainability of family resource centers.</p> <p>* Note: federal funds cannot be used to leverage other federal money</p> | <p><u>Coordination</u>—aligning categorical funding from a number of agencies and funding streams to support community- and program-level initiatives.</p> <p><u>Devolution</u>—delegating the authority for the allocation of funds from higher to lower levels of authority.</p> <p><u>Decategorization</u>—removing narrow eligibility requirements and rules governing allocations from existing funding streams.</p> | | <p><u>Legislative Allocations*</u>—funds dedicated or earmarked for a particular program or service. For example, the <i>Massachusetts Children’s Trust Fund</i>, the State Lead Agency, receives a substantial legislative appropriation for its Healthy Families home-visitor programs. The Connecticut State General Assembly, in collaboration with the Hartford Foundation for Public Giving, the City of Hartford and the Hispanic Health Council, funded the <i>Connecticut Children’s Trust Fund</i>, the State Lead Agency, to expand intensive home-visiting services to more high-risk, first-time parents in Hartford.</p> |

| STRATEGY 1: Better Use of Existing Resources | STRATEGY 2: Maximizing State and Federal Resources | STRATEGY 3: Creating More Flexibility in Categorical Funding | STRATEGY 4: Building Public/Private Partnerships | STRATEGY: 5 Creating New Dedicated Streams of Funding |
|---|--|--|---|---|
| | | | | <p><u>Children’s License Plates*</u>—a special fundraising license plate. Vehicle owners make a donation, above the base cost of the plate, to a specific organization, program or service. The <i>Indiana State Lead Agency</i> has raised as much as \$2.5 million a year from the sale of such license plates.</p> <p><u>Children’s Trust Funds*</u>—a separate, designated account in the public treasury for the specific purpose of funding child abuse prevention programs. Trust funds are governed by certain rules for managing the funds allocated to it. The funds can be substantial; many CBCAP State Lead Agencies are also Children’s Trust Funds with as much as \$22 million in the trust, which generates interest income in addition to the annual contributions.</p> |

*Adapted from *Thinking Broadly, Financing Strategies for Comprehensive Child and Family Initiatives* by Cheryl D. Hayes (2002), The Finance Project: Washington, DC. <http://www.financeproject.org/>

Potential Funding Resources for CBCAP Programs

To effectively maximize, sustain and grow their financial resources, CBCAP State Lead Agencies must diversify their funding base and become more knowledgeable about the resources available. What follows are potential funding sources for leveraging, braiding and blending funds or otherwise supporting CBCAP activities. Whatever sources are tapped, it is important to understand the rules governing them and to use them in the most advantageous ways possible for child abuse prevention initiatives. Each funding stream requires collaboration with others to achieve objectives.

Federal Fund Sources

In addition to the federal Office on Child Abuse and Neglect, which oversees the CBCAP Lead Agencies, other federal agencies also fund prevention and family support activities, along with their more specific category of interest. It is useful to explore opportunities to collaborate in ways that support CBCAP prevention goals and better serve the targeted population. This list is not exhaustive but gives suggestions about where to begin. Additionally, Grants.gov, listed below, provides access to all of the federal funding sources.

- CAPTA, Titles I & II (Child Abuse Prevention and Treatment Act): funding to states for the support of prevention, assessment, investigation, prosecution and treatment activities. For more information, visit the Children's Bureau website at http://www.acf.hhs.gov/programs/cb/programs_fund/index.htm
- CCDBG (Child Care and Development Block Grant): Discretionary; provides low-income families with financial assistance for child care; provides supports to improve the quality and availability of child care; funds early child development and before- and after-school programs. For more information, visit <http://www.acf.hhs.gov/programs/ccb/geninfo/index.htm>
- Community Mental Health Services Block Grant (The Center for Mental Health Services): awards grants to states for services for people with mental disorders. A joint federal-state partnership, CMHS supports existing public services and encourages the development of creative and cost-effective systems of community-based care for people with serious mental disorders. For more information, visit: <http://mentalhealth.samhsa.gov/publications/allpubs/KEN95-0022/>
- Early Learning Opportunities Discretionary Grants (ELOA): increases early learning opportunities for children and families. For more information, visit <http://www.acf.hhs.gov/programs/ccb/policy1/funding/eloa.htm>
- Grants.gov: At this website organizations can find and apply for more than \$400 billion in Federal grants. Grants.gov is THE single access point for over 1,000 grant programs offered by all Federal grant-making agencies. For more information, visit <http://www.grants.gov/>

- Head Start (HS) and Early Head Start (EHS): Head Start provides funding for comprehensive child development services to economically disadvantaged children and families, with a special focus on helping children develop the early reading and math skills they need to be successful in school. Early Head Start serves families with children pre-birth thru age three within the framework of Head Start. For more information, visit the Head Start Bureau website at <http://www.acf.dhhs.gov/programs/hsb/> or the early Head Start National Resource Center at: <http://www.ehsnrc.org/>
- IDEA (Individuals with Disabilities Education Act): pays for services, identified in a special education plan, to all children with special needs. For more information visit: <http://www.ed.gov/fund/landing.i.html> and <http://www.ed.gov/about/offices/list/osers/index.html>
- Juvenile Justice and Delinquency Prevention Funding: recognizes the connection between child welfare and juvenile justice; broadens categories to include victims of child abuse and neglect. Funds can be used to help various childcare systems and provide support for prevention. For more information, visit: <http://ojjdp.ncjrs.org/funding/funding.html>
- Maternal and Child Health Block Grant (Title V): Title V is the key source of support for promoting and improving the health of all the Nation's mothers and children, including children with special health care needs. For more information, visit: <http://mchb.hrsa.gov/>
- Medicaid (Home, EPSDT): eligibility based on family income or the severity of a disability. Medicaid pays for health-related services; waivers can help children from higher incomes qualify. For more information, visit <http://www.cms.hhs.gov/home/medicaid.asp>
- Mental Health and Substance Abuse Grant Funding: funds treatment and primary prevention programs and services. For more information, visit: <http://www.tie.samhsa.gov/sapt2005.htm> (Substance Abuse Prevention and Treatment block grant) and <http://www.samhsa.gov/grants/index.aspx> (SAMHSA Discretionary grants)
- Promoting Safe and Stable Families Program (PSSF) - Title IV-B, Subpart 2: States are to spend most of this funding for services that address family support, family preservation, time-limited family reunification, adoption promotion and support, support for promoting caseworker visits with children in foster care and support for families impacted by substance abuse. For more information, visit the Children's Bureau website at http://www.acf.hhs.gov/programs/cb/programs_fund/index.htm
- SCHIP non-Medicaid (State Children's Health Insurance Program): benefits vary per state but provide health insurance coverage for children. For more information, visit <http://www.cms.hhs.gov/home/schip.asp>
- Social Services Block Grant: services provided to low-income families, children and adults who have been abused and neglected and other vulnerable populations. Often used to supplement other services. For more information, visit <http://www.acf.hhs.gov/programs/ocs/ssbg/>

- TANF (Temporary Assistance for Needy Families): assists needy families so that children can be cared for in their own homes; reduces the dependency of needy parents by promoting job preparation, work and marriage; helps prevent out-of-wedlock pregnancies; supports fatherhood programs; and encourages the formation and maintenance of two-parent families. For more information, visit <http://www.acf.hhs.gov/programs/ofa/>

State Fund Sources

As previously discussed, sources of state funds for child abuse prevention programs sometimes include tobacco settlement payments, children’s trust funds, various fees, income tax check-offs and special license plates.

Leveraging Funds through Partnerships

Partnerships are a powerful part of the process of leveraging, braiding, or blending funds. There are important considerations for CBCAP Lead Agencies seeking to build partnerships. It is useful to identify how each system in your state currently supports prevention strategies and the various state resources that fund prevention programs and activities. It may be helpful to talk with FRIENDS staff regarding the resources available through FRIENDS and other national partners and resource centers, and review the websites www.grants.gov and www.childwelfare.gov/systemwide/funding and other resources identified in this guide.

Checklist for Developing Fiscal Partnerships for CBCAP Lead Agencies

When developing partnerships to share resources and funding, careful attention in the beginning to the following issues, can help ensure a more successful long-term partnership.

| Funding Sources and Partnerships | |
|---|---|
| <i>When exploring potential partnerships...</i> | |
| | <ol style="list-style-type: none"> 1. Identify areas of commonality, what each partner will contribute, and why the partnership seems useful. 2. Identify the shared vision and mission of the collaborative effort. Think carefully about how each system, prevention, and any other parties can work together collaboratively. 3. Learn about the policies and rules of each partner’s funding source (limitations, caps, how funds can be used and for whom). 4. Explore how each partner might maximize funding for all resources available. 5. Identify roles and tasks for each partner. 6. Develop a fiscal or interagency agreement or memorandum of understanding that formalizes this relationship. 7. Determine who should sign the agreement. Are multiple signatures required? If so, each partner should receive a copy with original signatures. 8. Clarify whether there are any match requirements. If so, be sure to specify cash or in-kind, and the amount. |

Blending and Braiding Funding

1. Specify how the partners will blend or braid the funds.
2. Reflect the amount and use of these funds.
3. Determine how the fiscal management systems will ensure the integrity of the separate funding streams.
4. Determine how braiding funds will enable partners to address issues of quality and access.

Fiscal or Interagency Agreement

1. Determine who needs to be involved in the development and approval of the fiscal or interagency agreement.
2. Identify which partner will be the fiduciary or have responsibility for the funding.
3. Determine if the agreement addresses service needs.
4. Clarify the details of the fiscal agreement to be included in the partnership or interagency agreement.
5. Ensure that the fiscal agreement addresses the process and timeframes for payments, reports, and deliverables.
6. Specify any other conditions of the partnership.
7. Ensure that the agreement supports the partnership's goals.
8. Develop a process and timeline for reviewing and revising the agreement. Include an escape clause to ensure that funds are committed *based on the availability of funding* and that there is a process to address any needed changes.

Fiscal Reporting

1. Identify the requirements for tracking and reporting the partnership expenditures, revenues, and match requirements for each partner.
2. Determine whether the partnership will develop fiscal reports and, if so, who is to receive, approve, analyze, and act on these.
3. Clarify any other fund source reporting or auditing requirements.

Adapted from *Spending Smarter*, National Center for Children in Poverty (www.nccp.org)

II: Other Fundraising Strategies

Fundraising is an important strategy for increasing state and private resources for CBCAP programs. Begin with identifying available funding sources. Then critically assess which ones are the most appropriate for the State Lead Agency's mission and goals. Some funding streams will be a better fit than others. These may be solicited, earned, or gifted. They include grant writing, individual or corporate donations, solicitations, pledges, bequests, events, sales, and any number of other options that can raise substantial funding. Many of these funds can be used as leverage for the CBCAP monies. These strategies can also have the additional benefit of bringing increased visibility and support to the State Lead Agency.

By definition, *fundraising is an organized activity or instance of soliciting money or pledges for a charitable organization or political campaign.* It is both a science and an art. A 2006 donor survey by Harris Interactive DonorPulse* found:

- More than nine in 10 adults say they or someone in their household made a financial contribution to a non-profit entity in the last year.
- Fifty percent gave less than \$500, while 6 percent gave more than \$5000.
- Those who have the least to give, give the most.
- In 2005, the largest percentages of donors gave to churches and religious organizations (50%) and disaster relief organizations (47%), followed by community groups and programs (35%), human service organizations (34%), and organizations that serve youth and children (30%).

When we look at where the money comes from we find that:

- *Individuals* are the largest single source of funding for non-profit agencies. Individual giving to non-profits reached \$199.07 billion in 2005.
- *Corporations* give to gain exposure, publicity, community respect, and market share. This funding can be a good source of support for new initiatives, special programs and events, and to braid with public money. Corporations have numerous resources to draw upon. These funds often come from their foundation, marketing, governmental relations or other discretionary funds.
- *Federated Funds* such as United Way and United Arts can be a good source of relatively large amounts of money.
- *Foundations* are non-governmental, non-profit organizations established under the Internal Revenue Code to "aid social, educational, charitable, religious or other activities serving the common welfare," primarily through making grants to non-profit charities. Foundation grants can be substantial and can also help leverage CBCAP funds, if the CBCAP activity matches those of the foundation. The various types of foundations include:

* *The Wall Street Journal Online.* "The Harris Poll: Older Americans More Likely to Make Charitable Donations." April 24, 2006, page R2. Accessed 10 Jan 2007 at http://online.wsj.com/public/article/SB114555345594531407-f1vkbeDJRUm6w2j4_pojoHfETXc_20060523.html.

- ◆ *Private Foundations* are supported by an individual, a group of individuals, a family or a company. They exist for the sole purpose of making grants for charitable, educational or religious purposes or, in some cases, of carrying out such activities themselves. They usually have large assets and issue annual reports with significant amounts of details.
 - ◆ *Corporate Foundations* are private foundations with close ties to the corporations that provide their funding. They are often flow-through foundations that use funds received the previous year to make grants the current year. Philanthropic priorities are usually set by the CEO and board of directors. The board is often made up of corporate officers.
 - ◆ *Community Foundations* are public charities, supported by the pooled contributions or assets of a large number of donors. They are good philanthropic vehicles for donors who wish to focus their philanthropy in a particular community. Community foundations usually confine their grant making to a specific locale and decisions are made by trustees who represent a broad spectrum of the community's residents.
 - ◆ *Family Foundations* are also private foundations that receive endowments from individuals or families for philanthropic purposes. The Council on Foundations defines a family foundation as one in which the donor or the donor's relatives play a significant role in governing and/or managing the foundation. These funds, in some cases, can be substantial.
- *Fundraising activities* can be episodic (such as one-time foundation or corporate grants or an event) or on-going (product sales, annual appeals, multi-year grants). A number of CBCAP State Lead Agencies have raised funds through special events, sports events, fundraising breakfasts, product sales, grants, public/private joint efforts and auctions.

An example of a fundraising activity that has used a number of the strategies discussed in this document to leverage additional CBCAP funds and generate other significant resources is the annual auction sponsored by the Michigan Children's Trust Fund. This State Lead Agency has a signature event called "Cherish the Children," the ultimate fantasy auction. Program attendees bid on donated items such as being a fighter pilot for the day, a seven-day stay at a castle in France, a visit to the set of the ABC hit "Lost," and other items large and small. The auction (live and silent), ticket sales and sponsorships recently raised \$326,000, which was used to leverage other funds. It has also become a public awareness tool and an avenue for building relationships with a wide range of volunteers and attendees.

The powerful relationships developed by this event were directly responsible for helping the Children's Trust Fund gain political support for reinstating its income tax check-off. The Auction Advisory Committee is co-chaired by the state legislature's House and Senate minority and majority floor leaders (and the Children's Trust Fund board chair) and includes

both public and private members. It is now one of the most powerful advisory committees in the state. Its members are comprised of representatives of government, including legislative staff, businesses, trade associations, the media, civic groups, as well as citizens and many others. Volunteers are recruited from both the public and private sector. This has increased the visibility and support for the Children’s Trust Fund and its important work to prevent child abuse and neglect.

When to Seek Funds

The following timetable for requesting funds from individuals, foundations and corporations is a helpful place to start in developing an annual fundraising plan.

| Timetable for Requesting Funds | |
|---|---|
| January | This may not a good month for raising money; however, it is an excellent month for planning and doing research. |
| February and March | Solicit foundations. |
| April | Solicit individuals. This is spring, “up time”. It is also tax time. |
| May | Solicit individuals. |
| June | This can be a hard time to raise funds from individuals. Colleges are asking their alumni for funds and it is too late to solicit. |
| July | This is another research and planning month. |
| August | Start your corporate solicitations now. Corporations are planning their budgets for the next year. This includes corporations with foundations. |
| September | This is a busy fundraising month. Solicit corporations and foundations. This is your second cycle for foundations. |
| October | Continue to solicit foundations. Most of your funding has been raised or committed by now. |
| November | November and December are mostly for charity fundraising. |
| December | This is only a half-month. Anything you do must be completed by the 15 th . Be sure to be available to accept donations through December 31 so donors can receive a tax deduction for their contribution to you. |
| Source: <i>Securing a Stable Funding Base: A Training Guide</i> , ARCH National Resource Center, 1994 | |

Grant writing

Grant writing is an important skill and a strong resource when developing proposals. Successful grant writing can yield significant funds for CBCAP programs but it requires solid planning and preparation. You must put as much time in finding the right funding match as you do “idea” and application itself. Writing a successful grant also requires detailed knowledge of your agency, community, field and the funding source. The following information is intended to help with this process and provide some general guidance on how to maximize resources.

Grant writing Tips

- Before beginning the application process, clearly define your project and what you want to accomplish.
- Thoroughly research potential fund sources. Look for a good match between the funder’s guidelines and your needs.
- After identifying the best sources, contact the funder. Learn as much as you can about the targeted fund source, the funder’s priorities, average size of grant awards, and any other pertinent information. Many funders also offer technical assistance. Your chances of success improve significantly if you take advantage of all the supports provided by the funder.
- Consider inviting collaborators to work with you on your proposed project. Many funders, especially federal agencies, like applications where more than one agency is involved.
- Ask to preview successful grant applications for similar projects, if available. An annual report will also help, if grants are not available
- For foundations, ask a program officer to review a 3- to 5-page concept paper and summary of your plan to make sure you are on the right track.
- Develop a timetable and always work from it. Make sure you have enough time to meet the funder’s deadline and submit your best work.
- Before applying, read application instructions very carefully and then read them again, especially federal instructions.
- Develop your proposal. Always ask for the amount you need – not too much or too little. Be sure your request is within the funder’s range of grant awards. Always be honest and get to your point quickly and clearly.
- Demonstrate that you have the skills and experience to succeed in the work you are proposing.
- Prove with statistics, case studies, testimony, and other measurable data the problem you are proposing to address.
- Carefully develop your budget and present it separately from your proposal.
- Avoid jargon. The key to a successful proposal often is simplicity.
- Take your time. A rushed proposal rarely wins. Good Luck!!!

Writing a Grant Proposal: Key Components

What follows is a general overview of some of the key issues related to grant writing. For more specific details on developing grant proposals, seek out more comprehensive publications, training or tutorials. It's helpful to remember, however, that the best way to learn to write a grant is to write one. Another useful strategy is to volunteer to be a grant reviewer. Learn what funders look for and what others consider to be effective proposals. CBCAP State Lead Agencies may request additional support through the FRIENDS National Resource Center, or there may be other resources available in each state.

A grant proposal has several key components. Always use and carefully follow the guidelines and format of the funder, if available. If none are provided, use the following proposal components most relevant to your project.

There are 3 basic types of proposals: 1) *full proposal*, 2) *letter of intent or inquiry*, and 3) *letter format proposal*.

1. General Components of a Full Proposal

- Cover Letter: Name of the organization, proposed project and amount requested and reason why this request matches the funder's priority areas.
- Title page (optional)
- Summary (one page): Briefly outline the need, project goal, and the organization's capacity to do the work.
- Background of the Organization – One page, with the opening paragraph or two briefly describing the purpose, mission, goals, and other relevant information regarding the organization. Also, list the accomplishments of the organization and future plans (strategic plan information).
- Need Statement: One or two pages that briefly describe the problem. Start with the global problem and then bring it down to the issue addressed in the proposal
- Project/Program Description: Two to three pages that summarize what is to happen. Begin with the goal and then the objectives, followed by paragraphs describing the project in detail, including timelines, work responsibilities, methodology, marketing, and other activities. The closing paragraph sells the reader on this plan.
- Evaluation: About one page, with an opening paragraph that tells who, what, when, where, and how the evaluation will be conducted. This includes methods of evaluation (tools), timeline for completion, proposed outcomes and how the results will be used and disseminated.
- Future or continued funding: identify strategies for the initiative that will be sustained with future funding.
- Budget: Develop two components to address the costs associated with the project: 1) budget narrative and 2) budget summary (or spreadsheet). The budget narrative states how cost figures were developed and represents the total dollar amount required for the project and the sum requested from the funder. The summary is a breakdown of the income and expenses including cash, in-kind, match (if required), compensation costs and other costs such as overhead, equipment, and so on.
- Attachments

2. Components of a Letter of Intent

- Short Overview: a one- to two-page document that introduces your organization and its proposed project.
- Follow the Guidelines of the Foundation: often this consists of a description of the project, the amount and uses of funds requested.

3. Letter Format Proposal

- Short Proposal: This is a condensed version of the full proposal, usually no more than five pages
- Use a Letter Format: The last page is generally a signature page
- Attachments: As required by the funder

Adapted from the ABC's of Grant Writing, Diane Gedeon-Martin

Additional resources, including an exceptionally detailed grant writing tutorial, are available on the FRIENDS website (www.friendsnrc.org). Other valuable grant writing information is available at the Child Welfare Information Gateway at www.childwelfare.gov/systemwide/funding

III: Tips, Tools and Resources

Web Sites

In addition to the FRIENDS National Resource Center's website, the following resources can provide additional information and support on funding resources for child abuse prevention, related issues and fundraising in general.

FRIENDS and Partner Agencies: Technical Assistance and Support

- Child Welfare League of America – www.cwla.org
- Circle of Parents – www.circleofparents.org/
- FRIENDS National Resource Center for Community-Based Child Abuse Prevention Programs – www.friendsnrc.org
- National Alliance of Children's Trust and Prevention Funds – www.ctalliance.org

Fundraising Resources

- *Association of Fundraisers* – www.nsfre.org – national organization on fundraising provides information, technical assistance, support, training, resources and fundraising research.
- *Child Welfare Information Gateway*, www.childwelfare.gov/systemwide/funding - provides a wealth of resources on funding, prevention, tools, technical assistance, information, fiscal plans.
- *Federal Grants*– www.grants.gov - website for federal fund sources as well as opportunities to apply to be a federal grant reviewer.
- *Foundation Center* – www.foundationcenter.org – provides research, resources, grant opportunities and much more.
- *MSU Library/Grantsmanship Techniques* – www.lib.msu.edu/harris23/grants - one of the largest collections on fundraising and grant writing. Covers topics such as grant writing, foundations, special events and research.
- *Non-profit Guides* – www.npguides.org/– grant writing tools for non-profit organizations. The web site includes grant writing tips, funding resources, a grant tutorial and internet links.
- *Norris Consulting Group* – www.norrisconsultinggroup.com – free E-newsletter on grant opportunities and deadlines.
- *The Grantsmanship Center* – www.tgci.com – resource on all aspects of grant writing, fund sources and training.

Other Valuable Resources

- *Connect for Kids* – www.connectforkids.org – background information, fund sources, data and advocacy
- *Finding Funding: A Guide to Federal Sources for Workforce Development Initiatives, 2005 Finance Project* – www.financeproject.org/Publications/workforcefunding.pdf – a catalog of 87 federal sources of funding as well as guidance on accessing federal funds, strategies and partnerships.

CBCAP Funding FAQs

“The Only Dumb Question Is the One Not Asked”

Below are questions that have been raised by State Lead Agencies regarding the CBCAP funding and the application process. If you have a concern that is not addressed here, talk with your FRIENDS state contact.

| | |
|---|---|
| 1. QUESTION: Can I leverage funds that are also being used as state match? | <p>ANSWER: Yes and No. It depends on whether you try to claim both in the same year. <i>Match is what the State plans to spend in the future to receive the Federal CBCAP funds for that year. As required by CAPTA, there is a 20% minimum requirement, but most States provide more. Leveraged funds are those the State already spent the previous year. You cannot claim both in the same fiscal year.</i></p> <p>Yes, if for the next year, the state includes the match as part of its leveraged fund claim, since it was spent in the previous year. For example, in FY 2006, the state includes a \$100,000 match in its application. In FY 2007, the state can then use that \$100,000 as part of its leveraged fund claim.</p> <p>One exception is if the prior year’s match was the local match from CBCAP Lead Agency grantees. Since this money was not directed through the lead agency, it may qualify as match for the application but not the leveraged fund claim</p> |
| 2. QUESTION: How long can you use blended funding? | <p>ANSWER: As long as you and your partners agree, and based on the duration of the interagency agreement or memorandum of understanding. Some are renegotiated annually and others may be for a longer period of time with an escape clause that says something like “based on the availability of funding.” In some cases the budget or allocation is annually approved.</p> |
| 3. QUESTION: What is the formula for leveraged funding? | <p>ANSWER: Seventy percent (70%) of the state CBCAP allocation is based on an identified base rate and the state’s population of children 18 years and under. The remaining part of the formula (30%) is based on the amount of money the state leveraged and what proportion of the remaining 30% this represents. See below.</p> <div style="background-color: #f0f0f0; padding: 5px;"><p>Total State CBCAP Allocation = base allocation (i.e. state child count x \$ per child) + state leveraged fund allocation</p><p>State Leveraged Fund Allocation = total \$ dollars leveraged/total amount leveraged by all states (= % of the whole) X 30% of total CBCAP funding reserved for the leveraged fund portion of the grant</p></div> |

| | |
|----|--|
| 4. | <p>QUESTION: What is the “value” or rate of return of each leveraged dollar?</p> <p>ANSWER: In FY 2006, all states received a rate of return of approximately 5 cents for every dollar of leveraged fund claim. (See the leverage funding calculation on page six)</p> |
| 5. | <p>QUESTION: How exactly is the leveraged fund claim computed?</p> <p>ANSWER: See the leveraged funding claim calculation example above and check the calculation on page six.</p> |
| 6. | <p>QUESTION: Can we leverage funds like TANF, PSSF or IDEA for our prevention programs and services?</p> <p>ANSWER: Yes and no. You may “leverage”, “braid” or “blend” these funds to help provide comprehensive, seamless prevention services. However, <i>these are federal funds and you cannot use them to draw down more federal dollars via the CBCAP leveraged fund claim formula.</i></p> |
| 7. | <p>QUESTION: We have a \$10 million endowment or trust fund that we use to fund our CBCAP programs. Can we count the trust as part of our leveraged fund claim?</p> <p>ANSWER: No. Endowment funds or trust funds are a legitimate funding source. However, you may claim only the amount spent from the endowment the previous fiscal year on prevention programs. This, in most cases, would not be the entire trust fund but interest income or some portion of it. That amount may be claimed.</p> |
| 8. | <p>QUESTION: All of our grantees are required to provide a local match of 25 percent to 50 percent, depending on the program. Can we count those local dollars (county, United Way, foundation, and so on) as part of our leverage dollars?</p> <p>ANSWER: No. Although these are all legitimate fund sources, they are not “<i>directed by and through</i>” the State Lead Agency. However, they still have much value, particularly to demonstrate the total amount of investment in the state’s prevention activities. This information would be important for marketing, funders, annual and legislative reports and even your federal CBCAP report to show the amount of community investment.</p> |

| | |
|------------|---|
| <p>9.</p> | <p>QUESTION: I am a new CBCAP State Lead Agency Director and have a number of other responsibilities. I don't know anything about the CBCAP grant requirements, application and report. I also don't know the questions I need to ask, much less how to maximize our state's funding. What am I to do?</p> <p>ANSWER: You are not alone. The FRIENDS National Resource Center (www.friendsnrc.org) has a designated technical assistance coordinator for each state. FRIENDS has a number of resources and supports available, including a CBCAP orientation for new CBCAP State Lead Agencies, a state peer support and mentoring program, a website full of helpful information and a prevention listserv. In addition, the federal Office on Child Abuse and Neglect convenes an annual meeting of CBCAP grantees. Attendance by the contact for the CBCAP State Lead Agency is a requirement for the grant. State agencies can always contact the FRIENDS Technical Assistance Coordinator to discuss how FRIENDS can assist them. A list of key contacts for other CBCAP Lead Agencies is also available on the FRIENDS website.</p> |
| <p>10.</p> | <p>QUESTION: What is the relationship between an allowable claim and a leveraged fund claim?</p> <p>ANSWER: The leveraged fund claim is what the State submits with the application. The allowable claim is what gets approved by the Children's Bureau.</p> |
| <p>11.</p> | <p>QUESTION: Do you see an alignment with PART and leveraging coming?</p> <p>ANSWER: Clearly the Program Assessment Rating Tool (PART) process may influence the availability of future funding for the program. Our efforts to improve the way we evaluate the CBCAP programs will ultimately help inform policymakers about the effectiveness of prevention. This may translate into increased funding for prevention, more effective use of scarce available resources and improved outcomes for children and families served by CBCAP programs.</p> |
| <p>12.</p> | <p>QUESTION: Can CBCAP dollars be spent for alternative responses?</p> <p>ANSWER: Yes, in some cases this makes sense. However, the focus of the program or service should be on families that are still intact and on preventing the family from entering the formal child welfare system. For example, a state may set up a system where CBCAP-funded programs are part of a network of community-based services available to families that are "screened out" of the system. FRIENDS will be working on a written document and some training to help CBCAP Lead Agencies determine when this is most appropriate and when it is not.</p> |

IV. Appendix

- A. Sample Leveraged Funds Worksheet for FY 2006 Application
- B. Sample Interagency Agreement
- C. Self-Assessment Financing Strategies Tool
- D. References

Appendix A:

Sample Leveraged Funds Worksheet for FY 2006 Application

Below is a sample Leveraged Funds Worksheet with several items listed. Even if you do not complete this form for your agency, to work effectively with your fiscal agent you need to understand what can and can not be leveraged to help maximize resources for your CBCAP program. It will be helpful to review this document and be sure that you understand it. If you have any questions, please contact FRIENDS National Resource Center for additional information.

STATE: My State

LEAD AGENCY: My 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 |
|-----------------|--|----------------------------|-------------------------------|---|
| \$ 350,000 | 10-1-04 thru 9-30-05 | 10-1-04 thru 9-30-05 | Fundraising Event/Auction | Public Awareness Campaign for Prevention |
| \$ 2,500,000 | 10-1-04 thru 9-30-05 | 10-1-04 thru 9-30-05 | Tobacco Settlement | Home visitor Programs |
| \$ 1,000,000 | Quarterly payments 1-1-05 thru 9-30-05 | 10-1-04 Thru 9-30-05 | Income Tax Check-off | Family Resource Centers |

OMB Control # 0970-0155 (Expires 06/30/2008)

| 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 |
|---|---|-------------------------------|--|
| \$ 2,000,000 | 10-1-04 Thru 9-30-05 | 10-1-04 Thru 9-30-05 | State General Funds Community Based Child Abuse Prevention Program Grants |
| <p>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 <u>budgeted and spent</u> in FFY 2005 (i.e. 10/1/04 – 9/30/05) to support community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect, as defined in the legislation, that coordinate resources among a range of existing public and private organizations for the purposes defined under this Title. No funds claimed here have been claimed to leverage any other source of Federal funds. State and non-federal funds that are being used to meet the maintenance of effort, match or other cost-sharing requirements for other Federal funding are <u>not</u> eligible to be claimed.</p> | | | |
| <p><u>TOTAL CLAIM</u> \$ <u>5,850,000</u></p> | <p>PREPARED BY: _____ (Date) May 14, 2006 (Fiscal Agent) John Hancock</p> <p>SUBMITTED BY: <u>My State Director</u> _____ (Date) May 15, 2006 (Lead Agency Authority)</p> | | |

Appendix B:
(Sample Interagency Agreement Format for CBCAP State Leads)

INTERDEPARTMENTAL AGREEMENT AMONG

THE

(Identify all the Agencies Involved)

FOR

(Identify the Program or Initiatives)

1. Purpose

Identify the purpose of this agreement, goals and a description of the program or initiative.

2. Period of Agreement

Identify when the terms of this agreement takes effect and when it ends, including caveats such as “provided funding continues” or “based on the availability of funding”.

3. Program Budget and Agreement Amounts

Clearly delineate the amount of funding each agency will contribute, sources of funding to be provided and the fiscal year.

Example: The following funding agencies, sources of funds and amounts will be provided for fiscal year 2006:

- *Department of Education (State School Aid Act)* \$ 2,000,000
- *Department of Social Services (Federal TANF)* \$ 4,000,000
- *Children’s Trust Fund* \$ 1,000,000

4. Methodology and Program Content (Statement of Work)

Clearly identify the work to be conducted; how it is to be conducted; the agency designated as the lead responsible for administering the funds; how funding decisions will be made; when this begins; if this is a multi-year agreement, or other key pieces of information.

5. Method of Payments and Financial Reports

Clearly delineate how the money will be disbursed, financial reports required, and any other requirements the various funding agencies need for accountability. If other non- funding, but tangible supports (e.g. staffing, space, etc.) are given these should also be listed in the agreement. However, they cannot be leverage on the CBCAP Leverage Form.

6. Responsibilities

Clearly identify the roles and responsibilities of each party to this agreement. These may range from providing a specified amount of funding to day to day operations or oversight and advisory roles. However, be VERY specific for each partner so there will not be misunderstandings later.

7. Performance/Progress Reports

Clearly state the type of reports required, frequency of such and any other reporting requirements (e.g. written quarterly report, annual presentation to Department heads, etc.).

8. Modifications

Clearly state the conditions for modifications of this agreement.

Example: Any changes, amendments or revisions to this agreement shall only be effective with the written concurrence of all parties.

9. Termination

Clearly state the conditions for termination of this agreement.

Example: This agreement shall be in full force and effective for the period specified in this agreement. Any of the parties may terminate their involvement in this agreement by giving at least a 60-day written notice. Upon the failure of any party to carry out the terms of this agreement, termination of the party's involvement in this agreement may be requested by the remaining parties by giving 30-days written notice stating the cause and the effective date.

10. Special Condition

Delineate any other conditions not covered or that you wish to emphasize. For Example: *This agreement is conditionally approved subject to and contingent upon the availability of funds.*

11. Special Certification

The individual or officer signing this agreement certifies by his or her signature that he or she is authorized to sign this agreement on behalf of the responsible governing board, official, or agency.

12. Signature Section

Date

Department Director's Signature

Date

Director's Signature

Date

Director's Signature

13. Copies

Copies of this agreement with original signatures will be provided to each party of the agreement.

Appendix C: Worksheet for Assessing Funding Sources

FRIENDS National Resource Center

Service to be Funded: _____

Possible Financing Strategy: _____

Amount: _____

| | Advantages | Ways to Enhance Advantages | Disadvantages | Ways to Mitigate Disadvantages | Other Possible Benefits |
|---|------------|----------------------------|---------------|--------------------------------|-------------------------|
| Mission Does this funding source enable the State Lead Agency to follow its mission to prevent child abuse and neglect? | | | | | |
| Quality Does this financing strategy enable the State Lead Agency to provide a high quality of work that improves results? | | | | | |
| Accessibility Does this financing strategy enable the State Lead Agency to serve the population it wants to serve? | | | | | |

Worksheet for Assessing Funding Sources (cont.)

| | Advantages | Strategies for Enhancing Advantages | Disadvantages | Strategies for Mitigating Disadvantages | Other Possible Benefits |
|--|------------|-------------------------------------|---------------|---|-------------------------|
| Efficiency Do the benefits of this financing strategy outweigh the administrative costs? What is the opportunity cost? | | | | | |
| Politics Does the financing strategy help the State Lead Agency gain allies and partners? What friends or opposition will it bring? What are the ramifications? | | | | | |
| Other Are there other considerations the State Lead Agency needs to address? | | | | | |

Adapted from Watson, S and Westheimer, M. *Financing Family Resource Centers: A Guide to Sources and Strategies*, The Finance Project, Washington, D.C., April 2000 (www.financeproject.org)

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