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PART IV



**DEPARTMENT OF
HEALTH,
EDUCATION, AND
WELFARE**

Office of Human Development



**CHILD ABUSE AND
NEGLECT, RESEARCH AND
DEMONSTRATION
GRANTS PROGRAMS**

General Information

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

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CHILD ABUSE AND NEGLECT RESEARCH AND DEMONSTRATION GRANTS PRO- GRAMS

General Information

This announcement contains general information regarding the Office of Child Development's Child Welfare and Child Abuse and Neglect Research and Demonstration Grants Programs, including legislation, regulations, policy and procedures governing the two programs.

A summary of program priorities and estimated funding levels for each fiscal year will be disseminated in separate announcements.

INTRODUCTION

The Office of Child Development (OCD) was established on July 1, 1969 within the Office of the Secretary of the Department of Health, Education, and Welfare to serve as the coordinating agency for Federal programs for children and youth.

In June 1973, the Office became part of the newly-created Office of Human Development, headed by an Assistant Secretary for Human Development.

OCD's functions are carried out through the Office of the Director and its two major bureaus: the Children's Bureau, authorized by the Children's Bureau Act of 1912 to investigate and report "upon all matters pertaining to the welfare of children and child life among all classes of our people," and the Head Start Bureau, which administers Project Head Start.

To accomplish its goals, the Office of Child Development has set for itself three major missions:

(1) To act as an advocate on behalf of children of all ages, and especially those children who are handicapped physically or emotionally, economically deprived, victims of the disruption of the family unit, or of child abuse and neglect, by bringing the needs of these children to the attention of other Government agencies and the public; by promoting beneficial changes in child and family development; and by planning new programs for children and their families;

(2) To coordinate the activities of Federal programs for children and their families as well as all Federal research in early child development;

(3) To ensure high quality services for children through effective administration of such programs as Head Start and Parent-Child Centers and through leadership in the development of standards, policies, and models in child welfare and other child-oriented programs.

TWO RESEARCH AND DEMONSTRATION GRANTS PROGRAMS

One of the significant ways in which the Office of Child Development carries out its objectives is through the support of high quality research and demonstration projects in the areas of child and family development, child welfare, serv-

ices to children and families, and child abuse and neglect.

OCD is authorized by law to administer two grants programs, the Child Welfare and the Child Abuse and Neglect Research and Demonstration Grants Programs. These are administered jointly by the Research and Evaluation Division, located in the Office of the Director, and the Children's Bureau.

CHILD WELFARE RESEARCH AND DEMON- STRATION GRANTS PROGRAM

This program is authorized by 42 USC 626(a)(1) (A) and (B), (Section 426, Part B, Title IV of the Social Security Act). This legislation provided the Department of Health, Education, and Welfare with responsibility for conducting Child Welfare research, training, and demonstration projects.

Child Welfare services are defined in section 425 as "public social services which supplement, or substitute for, parental care and supervision for the purpose of:

- (1) Preventing or remedying, or assisting in the solution of problems which may result in, the neglect, abuse, exploitation, or delinquency of children,
- (2) Protecting and caring for homeless, dependent, or neglected children,
- (3) Protecting and promoting the welfare of children of working mothers, and
- (4) Otherwise protecting and promoting the welfare of children, including the strengthening of their own homes where possible, or, where needed, the provision of adequate care of children away from their homes in foster family homes or day care or other child care facilities."

The Child Welfare Research and Demonstration Grants Program is stated in section 426 as follows: "(a) There are hereby authorized to be appropriated for each fiscal year such sums as the Congress may determine—

(1) For grants by the Secretary—

(A) To public or other nonprofit institutions of higher learning, and to public or other nonprofit agencies and organizations engaged in research or child welfare activities, for special research or demonstration projects in the field of child welfare which are of regional or national significance and for special projects for the demonstration of new methods or facilities which show promise of substantial contribution to the advancement of child welfare;

(B) To State or local public agencies responsible for administering, or supervising the administration of, the plan under this part, for projects for the demonstration of the utilization of research (including findings resulting therefrom) in the field of child welfare in order to encourage experimental and special types of welfare services."

Within this general legislative authority, the Office of Child Development supports major research and demonstration efforts in selected areas of high impact and national concern where the utilization of findings is expected to make a substantial contribution to the development and welfare of children and their families.

Recent areas to receive support include demonstrations of the provision of comprehensive emergency services to maintain children in their homes in times of crisis, development of comprehensive day care models with an emphasis on child development, education in parenting which combines the study of child development and child care for teenagers with meaningful cross-age experiences, demonstrations to increase the number of adoptive and foster homes, demonstrations of methods to bring about changes in the institutional care of children, research on the impact of television as a socializing agent on the infant, preschool child and family, research on the effects of early intervention programs, research on child/family/institution interaction, and on the child welfare service delivery system.

Through the utilization and dissemination of findings of successful projects, a nationwide program of Education for Parenthood is ongoing in close to 3,000 of the nation's high schools and national voluntary organizations, and Comprehensive Emergency Services projects which have proved successful in maintaining children in their own homes in times of crisis through provision of services such as emergency homemakers are being replicated. Another successful demonstration project currently being replicated is one dealing with children in long-term foster care. Many of these children were returned to their biological homes, while in other cases, the parental relationship was terminated in order to provide nurturing adoptive homes for these children. Other significant ongoing programs are providing information which will lead to the development of a functional national policy on child and family development.

CHILD ABUSE AND NEGLECT RESEARCH AND DEMONSTRATION GRANTS PROGRAM

This program is authorized by 42 U.S. Code 5101, the Child Abuse Prevention and Treatment Act of 1974. The Act created the National Center on Child Abuse and Neglect within the Children's Bureau of the Office of Child Development.

The Act defines "child abuse and neglect" as the physical or mental injury, sexual abuse, negligent treatment, or maltreatment of a child under the age of eighteen by a person who is responsible for the child's welfare under circumstances which indicate that the child's welfare under circumstances which indicate that the child's health or welfare is harmed or threatened thereby, as determined in accordance with regulations prescribed by the Secretary." The authority of the Secretary has been delegated to OCD, and the program is in the Children's Bureau's National Center on Child Abuse and Neglect. Under paragraphs 2(b)(5) and 2(c), the Children's Bureau is authorized to "conduct research into the causes of child abuse and neglect, and into the prevention, identification, and treatment thereof."

Under section 4(a) of the Act, the Children's Bureau "is authorized to make grants to, and enter into contracts with,

public agencies or nonprofit private organizations (or combinations thereof) for demonstration programs and projects designed to prevent, identify, and treat child abuse and neglect." Demonstrations constitute a major portion of activities conducted under the Act. Suggested areas of activity are: training of professionals and paraprofessionals in various disciplines involved in the prevention, identification, and treatment of child abuse and neglect; the establishment and maintenance of centers which provide a broad range of services related to child abuse and neglect; "and other innovative programs and projects that show promise of successfully preventing or treating cases of child abuse and neglect as the Secretary may approve."

Among the child abuse and neglect activities the Children's Bureau has been supporting under the Act are: demonstrations of the delivery of services to abused children and their families in general and specifically to military, rural, and Native American populations; demonstration resource projects, providing technical assistance and training to service providers through different models: demonstrations by State agencies and professional organizations of the use of the Children's Bureau-developed multidisciplinary staff training curriculum; and research into the causes of child abuse and neglect and into the relationship between drugs or alcohol abuse and child abuse and neglect.

ELIGIBILITY

Grants under both the Child Welfare and Child Abuse and Neglect Research and Demonstration Grants Program may be awarded to public or private nonprofit organizations. Grants are not made to individuals even though they may be affiliated with a public or private nonprofit institution. In certain cases, a specific program announcement may further define or limit eligibility. For example, a recent announcement of intent to fund projects dealing with foster care limited eligible applicants to the single State agency or organizational unit responsible for social services to children and families.

Support is available under both of these programs for both research and demonstration projects. Support is not available for the expansion of ongoing programs or services, such as the provision of day care services, or for projects that demonstrate a service that has already been established in other communities and is generally accepted as part of a comprehensive child welfare, child development, or child abuse and neglect program. Under the Child Welfare Research and Demonstration Grants Program, support is not available for staff training.

Research, both basic and applied, and demonstration are defined as follows:

Basic research refers to research directed primarily toward the increase of knowledge, the improvement of understanding, the provision of background information, and the discovery of basic

relationships. It is not necessarily applicable to solutions of immediate problems, and may include theory building.

Applied research refers to research in which results are intended to be more directly applicable to immediate problems than basic research. It may be derived from basic research or theory or may be empirical. It may be aimed at showing how existing knowledge can be used in new and useful ways.

Demonstration and/or replication refer to activities designed specifically to show the method of operation or applicability of a research or program model.

HOW TO APPLY

Names of individuals and organizations will be added to mailing lists to either or both grants programs on request. Inquiries should be addressed to Research and Evaluation Division, Office of Child Development, P.O. Box 1182, Washington, D.C. 20013. Potential applicants should specify whether the request is related to the Child Welfare or Child Abuse and Neglect Research and Demonstration Grants Program.

Priority statements (program announcements) are disseminated by the Office of Child Development to inform the research community of the types of projects the Agency is most interested in supporting during that fiscal year. When priorities for the current fiscal year become available, they are sent along with an application kit, deadline information, and other pertinent materials, to the organizations and individuals on OCD's mailing list. This information is also published in the FEDERAL REGISTER.

OCD also supports a very small number of projects known as "unsolicited" projects, which while not specifically related to the issues and projects identified in the priority statements, nevertheless show promise of making a substantial contribution to our knowledge regarding the development and welfare of children, as consistent with the stated OCD goals.

All applications must be submitted on the forms supplied and in the manner prescribed by the Office of Child Development. Failure to do so might remove a proposal from consideration.

REVIEW AND AWARD PROCESS

Completed and eligible grant applications go through a series of steps which comprise the review process.

ADVISORY COMMITTEE

Most proposals are reviewed by members of the Child and Family Development Research Review Committee, a 20-member non-Federal Advisory Committee composed of experts in the fields of child development and child welfare. (Proposals submitted by an institution represented by a member of the Committee and therefore subject to a possible conflict of interest if reviewed by the Committee, will usually be reviewed by a non-Federal Ad Hoc Committee representing the same level of professional expertise and utilizing the same evaluation criteria.)

EVALUATION CRITERIA

All proposals reviewed by the Advisory Committee or an Ad Hoc Committee are evaluated at a minimum according to the following elements:

1. Appropriateness of cost to the government in view of anticipated results
2. Qualifications of project personnel and adequacy of organizational facilities and resources
3. Capability of proposed procedures (scientific or otherwise), if well executed, of attaining project objectives
4. Responsiveness to priority statement, i.e., capability of achieving specific program objectives defined in program announcement.

Additional criteria will be used by the Advisory Committee as is appropriate to a particular priority statement. The specific criteria will be published as part of the priority statement.

"Unsolicited" proposals, those which are not submitted in response to OCD priority statements, must meet all the standards of quality of the solicited proposals. They are evaluated on Items 1-3 (above) as well as the following criteria:

The research addresses problems of OCD target populations or identifies a new target group of concern to OCD, e.g., learning-disabled, Oriental-American.

The research is within the long-range goals of OCD.

The research is a new approach to a problem or brings together a new configuration for addressing a problem.

FUNDING DECISIONS

The Child and Family Development Research Review Committee and Ad Hoc Committees function in an advisory capacity. They make their recommendations in the form of a numerical score and narrative critique for each proposal to the Director of the Office of Child Development, who makes the final funding decisions. These decisions are based upon the recommendations of the Committee, program priorities, availability of funds, and other relevant factors, such as equitable geographic distribution of funds, as is mandated in the Child Abuse and Neglect Research and Demonstration Grants Program.

NOTIFICATION OF DECISION

Notification of final decisions is made in writing to the person designated on the application as the official authorized to obligate the applicant agency. Applicants of approved projects will receive a "Notice of Grant Awarded," (NGA), the official grant award document that notifies the grantee and others of the award of the grant, contains or references all terms and conditions of the grant, and provides the documentary basis for recording the obligation of Federal funds in the Department's accounting system.

Unsuccessful applicants will receive a letter from the Office of Child Development which will include an explanation of the reasons for disapproval or indicate that an explanation may be obtained upon request.

POST AWARD MANAGEMENT OF GRANTS

I. Acceptance by an agency of a grant indicates that the agency agrees to be bound by DHEW, OHD and OCD legislation, regulations, and policies. There are several significant policy documents which the grantee agency should be aware of.

1. Part 205 of Title 42 of the Code of Federal Regulations, (42 CFR Part 205) entitled "Research Projects Relating to Maternal and Child Health Services and Crippled Children's Services, and Research or Demonstration Projects relating to Child Welfare Services," implements the Child Welfare Research and Demonstration Grants Program conducted by the Office of Child Development under section 426 of the Social Security Act.

2. Part 1340 of Title 45 of the Code of Federal Regulations (45 CFR Part 1340), entitled "Child Abuse and Neglect Prevention and Treatment Program," implements the research and demonstration programs conducted under the Child Abuse Prevention and Treatment Act of 1974.

3. Part 74 of Title 45 of the Code of Federal Regulations (45 CFR Part 74), entitled "Administration of Grants," implements for all of DHEW a single consistent body of administrative rules and contains uniform cost principles for all of the classes of grantees eligible to receive funds under the Child Welfare and Child Abuse and Neglect Research and Demonstration Grants Program. The policies of 45 CFR Part 74 supersedes all policy in other regulations cited above where the policies in 45 CFR 74 are not consistent with these other regulations.

4. *Department of Health, Education,*

and Welfare Staff Manual—Grants Administration (DHEW/GAM) contains policies binding on grantees. It includes further guidance on the administrative regulations contained in 45 CFR Part 74. The GAM also contains additional DHEW policy which speaks to areas of administrative activity not described by regulation.

5. *Office of Human Development—Grants Administration Manual (OHD/GAM) reflects the DHEW/GAM and discusses areas where governing policy for OHD programs varies from standard DHEW policy. These variances are generally due to specific legislative requirements.*

6. *Special Conditions.* The Office of Child Development may apply special conditions to a grant prior to the acceptance of that grant. Where such conditions are imposed, they must be met by the grantee.

AVAILABILITY OF RULES AND MANUALS

The regulations implementing the two program authorities, 42 CFR Part 205 and 45 CFR Part 1340 are available on request from the Office of Child Development. Requests should be sent to the Research and Evaluation Division, Office of Child Development, P.O. Box 1182, Washington, D.C. 20013.

The OHD/GAM may be obtained from the Division of Grants and Contract Administration, Office of Administration and Management, Office of Human Development, HEW South Portal Building, Room 345F, Washington, D.C. 20013.

Part 74 of Title 45 of the Code of Federal Regulations and the DHEW/GAM are available for a reasonable charge from the Superintendent of Doc-

uments, U.S. Government Printing Office, Washington, D.C. 20402.

DURATION OF SUPPORT

The average duration of support for a project is three years. Generally, when more than one year is required to realize the objectives of a project, the grant is approved at the outset for continued support and the total project period indicated on the "Notice of Grant Awarded." However, applications for continuation of support must be submitted and approved annually. Approval beyond the first year is dependent upon satisfactory progress of the project as indicated in a progress report and by the availability of funds as determined by the Congressional appropriation for the current fiscal year.

PROJECT OFFICER

Each approved project is assigned to a staff member of the Division of Research and Evaluation or Children's Bureau who serves as project officer. The project officer facilitates the operation of the project in meeting its objectives, reviews applications for continuation, and makes site visits and consults with project staff as is appropriate. The project officer should be consulted when questions arise.

(Catalog of Federal Domestic Assistance Numbers 13.608—Child Welfare Research and Demonstration, 13.628—Child Abuse Research and Demonstration.)

Dated: January 19, 1977.

STANLEY B. THOMAS, Jr.,
Assistant Secretary
for Human Development.

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