

## **Request for Applications for Doctoral Dissertations**



**A Project of the  
Children's Bureau  
U.S. Department of Health and Human Services  
Administration for Children and Families  
Administration on Children, Youth and Families  
2008-2013**

**Request for Applications for Doctoral Dissertations  
October 1, 2009 to September 30, 2011**

**Information concerning this solicitation is available  
at [www.DifferentialResponseQIC.org](http://www.DifferentialResponseQIC.org)**

**Questions may be directed to John Fluke, Ph.D. at  
[qicdr@americanhumane.org](mailto:qicdr@americanhumane.org)**

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## 1.0 Statement of Purpose

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This is an announcement of the availability of funding to support doctoral research in the area of Differential Response (DR) in Child Protective Services. The aim of these awards is twofold: (1) to expand the knowledge base for DR and (2) to help develop researchers who can make an ongoing contribution to child welfare research.

The purpose of the Quality Improvement Center on Differential Response in Child Protective Services (QIC-DR) is to determine, through research and demonstration projects and doctoral-level dissertations, the impact of DR models on outcomes for children within the child protective services and child welfare systems. The QIC-DR works to generate knowledge about effective practice models of DR in child protective services and to incorporate community and prevention approaches to serve families that are involved in child protective services systems. In addition, the QIC-DR works to foster collaborative research, demonstration, and dissertation projects that address DR in child protective services across the various systems that interface to maximize family strengths and keep children safe: neighborhood and community-based organizations, prevention programs, child protection, child welfare, health, education, housing, financial, and family support.

As part of the QIC-DR, a maximum of four awards of \$25,000 per year will be awarded over two year cycles to doctoral candidates. The award requires an annual non-competitive reapplication for continuation. The cap is \$50,000 total over the two years, and is contingent upon availability of American Humane funds and satisfactory progress of the research, which is measured, in part, by the timely submission of required reports every six months.

## 2.0 Award Information

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The research award program is intended to provide a one to two-year research award that a doctoral-level researcher will apply to dissertation research in the field of child welfare with particular emphasis on expanding the knowledge base of differential response. Individual applicants with approved dissertation proposals may apply for up to two years of funding. Successful applicants will receive awards of up to \$25,000 each year. The second year of funding is available pursuant to a performance review based on yearly progress and adherence to all requirements of this Request for Applications (RFA). *These awards are tax exempt and not considered compensation.*

The project can support up to four individual doctoral research awards in total. Applications will be accepted beginning October 15, 2009. A schedule of application deadlines and review periods is provided in Section 5.0 of this RFA.

### **3.0 Project Focus**

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This funding will support dissertation research on DR and will be conducted in collaboration with the QIC-DR. Possible topic areas include:

- Evaluation of DR implementation in connection with DR initiatives funded by the QIC-DR;
- Research regarding fundamental infrastructure associated with DR implementation, including:
  - assessment protocols,
  - worker and supervisory decision making,
  - information technology, and
  - studies addressing services;
- Fidelity scale construction and testing;
- Secondary analysis of administrative data regarding DR at national or State levels;
- Outcome-based cost-effectiveness evaluation of DR;
- Analysis of the connections between DR and child welfare disparities;
- Analysis of DR law and policy across States; and
- Other research consistent with the research objectives of the QIC-DR.

The topics above may be the subject of wholly independent research or, if the applicant desires, the proposed research may be directly tied to aspects of the evaluation of the QIC-DR demonstration sites (see section 7.0). There are a range of opportunities for applicants to work with the sites and the evaluation data. Applicants interested in considering integrating their research with the demonstration site evaluation are urged to contact the QIC-DR team as early as possible for more information, and preferably before obtaining final approval of their dissertation proposals ([qicdr@americanhumane.org](mailto:qicdr@americanhumane.org)).

### **4.0 Eligible Applicants**

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Eligible applicants are doctoral-level graduate students enrolled in accredited public, State-controlled, and private institutions of higher education in the United States, including faith-based institutions of higher education, Hispanic-Serving Institutions, Historically Black Colleges and Universities, and Tribally Controlled Land Grant Colleges and Universities.

We welcome applications from all qualified applicants who:

- have demonstrated academic excellence;
- are currently enrolled in a doctoral program in social work, psychology, sociology, or other related programs;
- have an approved dissertation proposal; and

- are pursuing research in an area of interest consistent with the goals and interests of the U.S. Department of Health and Human Services, Administration for Children and Families, Administration on Children, Youth and Families, Children's Bureau, and the QIC-DR.

Applicants who are not funded are eligible to reapply in later rounds (see section 5.0).

## **5.0 Timeline and Due Dates**

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Applications for dissertation awards will be accepted throughout Federal Fiscal Year (FFY) 2010 and FFY 2011 (October 1, 2009 to September 30, 2011). A maximum total of four awards will be made across both years, and awards will be based upon the review of the QIC-DR Academic Scholars Panel (ASP). While applications will be accepted continuously throughout the time period, they will be reviewed only twice each year.

### *5.1 Receipt of Applications*

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Applications must be received by the below specified dates by 5:00 pm Mountain Time (see Section 11.0).

### *5.2 Application Review*

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FFY 2010:

- Applications submitted before January 15, 2010
  - Review by ASP completed on March 1, 2010
  - Award announced March 15, 2010
  - Award distributed within 30 days, or upon completion of required documentation
- Applications submitted before July 1, 2010
  - Review by ASP completed on August 16, 2010
  - Award announced September 1, 2010
  - Award distributed within 30 days, or upon completion of required documentation

FFY 2011:

- Applications submitted before January 14, 2011
  - Review by ASP completed on February 28, 2011
  - Award announced March 15, 2011
  - Award distributed within 30 days, or upon completion of required documentation
- Applications submitted before July 1, 2011
  - Review by ASP completed on August 15, 2011
  - Award announced September 1, 2011
  - Award distributed within 30 days, or upon completion of required documentation

### 5.3 *Pre-application*

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Interested applicants are encouraged to contact QIC-DR staff with questions:

QIC-DR

Dissertation Application

American Humane Association

63 Inverness Drive East

Englewood, CO 80112-5117

Email: [qicdr@americanhumane.org](mailto:qicdr@americanhumane.org)

Phone: John Fluke, Ph.D., 720-873-6793 or Amy Rohm, MSW, 303-925-9413.

### 5.4 *Selection and Award*

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Up to two awards will be made each fiscal year. During each application submission period, if no applicant is deemed sufficiently qualified, no award will be presented. Qualified applicants will be rated according to the pertinence of their research to child welfare and DR, as well as the quality of the proposed research.

## 6.0 **Problem Statement**

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Historically, there has been one response by the child protection agency to accepted reports of alleged maltreatment—an investigation. Given that the majority of families that come to the attention of the child protection agency are not experiencing immediate child safety issues, there has been a developing trend for the last 15 years to respond to these families differentially in a supportive manner by applying available resources to services rather than investigations. Differential response is often accompanied by greater efforts to identify, build, and coordinate formal and non-formal services and supports. There is a need understand whether or not this differential response is effective.

## 7.0 **QIC-DR Project Description**

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The Children’s Bureau funded the American Humane Association and its partners, Walter R. McDonald & Associates, Inc., and the Institute of Applied Research, to create and operate the QIC-DR. The American Bar Association Center on Children and the Law and the National Conference of State Legislatures are also contributing partners.

The goals for the QIC-DR are to:

1. promote innovation, evidence-based practice improvements, and advancement of knowledge about child welfare outcomes through experimental research that tests practice models of DR;

2. establish a national collaborative information-sharing network, resource, and peer learning community on DR and its related child welfare outcomes and to use multiple networks to aggressively disseminate information gained through this QIC;
3. gain, disseminate, and support the application and replication of knowledge at multiple levels regarding the identification of the core elements that support successful implementation of DR, and the viability of DR as an effective practice model in CPS; and
4. supplement rigorous research that will be undertaken by research and demonstration sites and cross-site evaluators by supporting doctoral dissertations on DR that can also contribute to building knowledge and answering key questions about this and related child welfare reform efforts.

The purposes of the QIC-DR are to improve child welfare outcomes by implementing DR, and to build cutting-edge, innovative, and replicable knowledge about DR; enhance capacity at the local level to improve outcomes for children and families identified for suspected abuse or neglect; and provide guidance on best practices in DR. Throughout the five years of this project, information gained from the QIC-DR will be disseminated to the Children’s Bureau; research and demonstration sites; public and private child welfare agencies; child abuse prevention organizations, family support agencies and family resource centers; mental health, domestic violence, economic development, and other system partners; legislators, judges, and other legal professionals; national foundations and advocacy groups; academic and university stakeholders; and members of the training and technical assistance network.

The QIC-DR has a two-phase approach. The **Phase I focus** is on the identification of knowledge gaps, service gaps, research priorities, and experimental design. The **Phase II focus** is on the implementation of the research design in three to five research and demonstration sites located across the nation, as well as dissertation research and the development of a dissemination process that will provide the most current and state-of-the-art information to practitioners, policymakers, administrators, and researchers. Using a collaborative approach, the QIC-DR serves as a laboratory for innovation, application, and learning.

A **National Advisory Council (NAC)** guides the project team and the Children’s Bureau along the process of research focus selection, discernment of key outcomes, development of resources, dissertation outreach and selection, technical assistance, and any other issues that arise as the QIC-DR progresses. The NAC brings together representatives and leaders from the following disciplines: State child welfare, county and city child welfare, tribal communities, community-based partners, parents and consumers, research, law and policy, systems of care, prevention and family support, and other national children’s organizations. The experience and knowledge of each NAC member greatly guides both phases of the project and provides critical perspectives to the examination of issues, field experimentation, and dissemination plans.

An **Academic Scholars Panel (ASP)** consists of three to four expert child welfare researchers. They will support the doctoral dissertation part of the QIC-DR by advising on strategies to recruit and guide the work of doctoral students and their faculty. The ASP will provide technical assistance to the QIC-DR and awardees to ensure sufficient rigor in the design, data collection, and analysis of their dissertations.

The research foci of the QIC-DR research and demonstration sites are as follows:

- Are children whose families receive the non-investigation pathway as safe as or safer than children whose families receive the investigation pathway?
- How is the non-investigation pathway different from the investigation pathway in terms of family engagement, caseworker practice, and services provided?
- What are the cost and funding implications to the child protection agency of the implementation and maintenance of a DR approach?

### *7.1 Phase I: Comprehensive Needs Assessment Summary*

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During Phase I, the QIC-DR performed a comprehensive needs assessment and knowledge gap analysis that included a qualitative data analysis of four regional information summits, eight multidisciplinary focus groups, and approximately 50 key informant interviews. The purpose of the needs assessment and knowledge gap analysis was to inform a research focus area and selection criteria for project applications. As a relatively new practice approach, DR is replete with areas of inquiry in which what is unknown is far greater than what is known. Salient knowledge gaps about differential response include:

- Lack of sufficient evidence on safety for children in non-investigation pathway.
- Lack of sufficient evidence for the short and long term costs of introducing DR into a CPS agency.
- Which specific elements of DR practice have the greatest impact on child safety.
- Which strategies and models are most effective with individual populations.
- The precise differences between practice in the non-investigation pathway and practice in the investigation pathway.
- Whether a practice of family engagement can be implemented consistently in both the non-investigation and investigation pathways.
- The impact of introduction of DR on the CPS agency as a whole.
- Outcomes for children, families, workers, agencies, and communities.

The project's literature review (available at [www.DifferentialResponseQIC.org](http://www.DifferentialResponseQIC.org)) supported the information that was gained from the field during the key informant interviews, focus groups, and other activities. The literature review found that the core values of most DR approaches were grounded in family support and child welfare best practices, and therefore provided a bridge

between child protective services and other child welfare components. However, the use of core DR components, as identified by the QIC-DR, was unevenly applied. For instance, several jurisdictions implemented what they termed a DR approach, but only included paths for reports screened out from being formally responded to by the child protection agency, or for those screened-in reports, still made a finding or maltreatment determination. Jurisdictions that implemented DR early and engaged in regular evaluation and adjustment of their approaches (i.e., Minnesota, Missouri, and North Carolina) provided valuable guidance for those which came later. For instance, the sharing of risk, safety, and family assessment tools and protocols among jurisdictions and in the literature was valuable to subsequent implementation of DR.

Of all the literature reviewed, evaluation reports provided the greatest insight into child, family, agency, and community outcomes achieved in using the DR approach. Most DR evaluation studies were process-oriented, and most used a natural or quasi-experimental design; only the Minnesota DR approach was evaluated using an experimental design. The premier and most consistent finding of existing evaluations, regardless of evaluation methodology, is that ***differential response does not result in increased harm to children***. Most evaluations found that both families and program staff were more satisfied with the non-investigation pathway than with the investigation pathway. Outcomes achieved by serving families through a non-investigation pathway were generally positive, with considerable variation in the extent to which this was demonstrated across jurisdictions. A cost evaluation was completed in only one jurisdiction. Evaluation studies of newer DR approaches that are currently in process will add greatly to the breadth and depth of the literature during the next one to three years. The QIC-DR research and demonstration sites will also significantly augment this knowledge and evidence base.

Other products completed by the QIC-DR during Phase I (for example, reports from the Information Summits, a full bibliography, and a legal analysis) are also posted on the QIC-DR website and can be accessed as background information in response to this RFA.

Based on the information and data-gathering activities during Phase I, the following have been identified as core elements of DR in child protective services systems:

- Use of two or more discrete response pathways for cases that are screened in and accepted;
- Establishment of discrete response pathways is codified in statute, policy, or protocols;
- Pathway assignment depends on an array of factors (e.g., presence of imminent danger, level of risk, the number of previous reports, the source of the report, and/or presenting case characteristics such as type of alleged maltreatment and age of the alleged victim);
- Original pathway assignment can change based on new information that alters risk level or safety concerns;

- Services are voluntary on a non-investigation pathway:
  - families can choose to receive the investigation response, or
  - families can accept or refuse the offered services if there are no safety concerns;
- No substantiation of alleged maltreatment for families served in a non-investigation pathway; in other words, families are served without a formal determination of child maltreatment; and
- Differential use of central registry depending on pathway, meaning the name of the alleged perpetrator is not entered into the central registry for those individuals who are served through a non-investigation pathway.

## **8.0 Project Requirements**

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Applicants chosen to participate in this project will be required to:

- Submit project progress and financial reports every six months to the QIC-DR in a manner consistent with the format in Appendix G, Sample Financial Status Report;
- Participate in at least one QIC-DR National Advisory Committee (NAC) meeting during the two-year award funding period. The QIC-DR will support the travel of successful applicants; and
- Propose and budget to attend at least one national conference annually to present their research.

## **9.0 Application Content**

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The application shall consist of the following items, which are listed and described below:

- I. Cover Letter and Statement of Agreement
- II. Narrative Description (15-page limit)
  - a. Executive Summary
  - b. Personal Essay
- III. Complete and Approved Dissertation Proposal
- IV. Budget and Budget Justification
- V. Attachments
  - a. Contact Information Form (Appendix B)
  - b. Application Certification (Appendix C)
  - c. Certification Regarding Lobbying (Appendix F)
  - d. References
  - e. Résumé/curriculum vitae
  - f. Letter of support from applicant's dissertation chair
  - g. Dissertation committee names/contact information
  - h. Graduate school transcripts

*I. Cover Letter and Statement of Agreement*

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Include a brief introduction of the applicant, the proposed dissertation topic, and the applicant's primary area of research. Within this letter, applicants should:

- include a statement that indicates their understanding of, and agreement to, the expectations for QIC-DR funded dissertation projects;
- state that, if they are awarded a contract as a result of their application, they agree to acknowledge the source of QIC-DR funding in any professional publications or presentations that result from the applicant's dissertation research; and
- acknowledge that they have received all addenda issued, if any.

*II. Narrative Description (15-page limit)*

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The application must include a narrative description of the dissertation proposal. The narrative description must not exceed 15 double-spaced pages, in 12-point font, with 1-inch page margins. The items required to be included in the narrative description are described below, along with the maximum number of points that may be awarded for each item during the evaluation of applications.

*a. Executive Summary (10 points)*

Applicants shall provide an executive summary of their proposal and its relationship to DR. The executive summary should provide a clear, concise description of how the applicant's dissertation research project fits with the goals and interests of the QIC-DR described in Section 5.0 and at [www.DifferentialResponseQIC.org](http://www.DifferentialResponseQIC.org).

*b. Personal Essay (5 points)*

The essay should describe the applicants' overall career goals and how they believe their work will contribute to the field of child protection and child welfare.

*III. Complete and Approved Dissertation Proposal (30 points)*

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Applicants shall provide a copy of their approved dissertation proposal. The proposal must address Institutional Review Board approval processes that the applicant will adhere to as applicable. A copy of the signed proposal signature page must be included.

*IV. Budget and Budget Justification (5 points)*

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Applicants shall complete a proposed budget summary, using the Sample Budget Information Form (Appendix D) as a guide. The proposed budget included with the application applies to the first year of funding only; a second-year budget will be requested in connection with the second-year funding review. Applicants must demonstrate that project costs in addition to stipend are

reasonable and justified by the proposed activities or requirements. A more detailed budget and budget justification (see Appendix E) shall accompany the proposed budget.

#### V. *Attachments*

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- Applicants shall complete and sign the Contact Information Form, Application Certification and Certification Regarding Lobbying (Appendices B, C, and F, respectively), and submit them with their application.
- Three references of people familiar with the applicant's scholarly work. Each reference shall include the person's name, address, phone number, email address, and brief descriptive information about the nature of the work with which the reference is familiar.
- Résumé/curriculum vitae of the applicant.
- A letter of support from the applicant's dissertation chair.
- The names and contact information of the members of the applicant's dissertation committee.
- Applicant's graduate school transcripts. (Unofficial transcripts are acceptable.)

#### **10.0 Application Precautions**

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- Applicants whose written applications do not meet the minimum requirements, do not adhere to the required format, or are otherwise noncompliant or nonresponsive will be notified in writing that their applications were rejected without review.
- Failure to adhere to the specifications contained in this RFA may result in rejection of the application. Applicants should not attach any documentation that is not required or not requested under this RFA. Acceptance of any correction or re-submission after the application deadline shall be at the discretion of the QIC-DR.
- Applicants must use the same headings as the application content described in Section 9.0 so that reviewers can readily find information that directly addresses each of the specific review criteria.
- Applicants bear all risks associated with delays in the U.S. mail or electronic mailing systems. The review of applications received after the deadlines will be at the sole discretion of the QIC-DR.
- Applicants providing substantially false, misleading, incomplete, or deceptively unresponsive statements in connection with an application shall be sufficient cause for rejection of the application. The evaluation and determination in this area shall be in the QIC-DR's sole judgment, and the judgment shall be final.

## 11.0 How to Submit the Application

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Applications may be submitted either electronically or by mail (refer to Section 5.0):

1. Email: Applications may be sent via email to: [qicdr@americanhumane.org](mailto:qicdr@americanhumane.org). Applicants will receive a confirmation email within one business day of our receipt of the electronic application.
2. Regular mail: Applicants must submit one (1) original and one (1) copy, each clipped individually, to:  
Amy Rohm, MSW  
QIC-DR, Dissertation Application  
American Humane Association  
63 Inverness Drive East  
Englewood, CO 80112-5117

## 12.0 Available Technical Assistance for Students

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Technical assistance will be available to applicants during the application process, as well as to awardees.

### 12.1 Technical Assistance during the Application Process

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Questions may arise as applicants prepare their applications. All questions will be addressed and posted with the responses on the QIC-DR website at [www.DifferentialResponseQIC.org](http://www.DifferentialResponseQIC.org) until the application deadlines outlined in Section 5.0. Applicants are strongly advised to check the website periodically for updates.

### 12.2 Ongoing Technical Assistance to Students

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QIC-DR staff and the ASP will provide a variety of ongoing technical assistance to awardees based on their needs. Potential areas of technical assistance include:

- Access and support related to funded site-level QIC-DR evaluation data.
- Support in working with secondary data.
- Review of designs, data collection instrumentation, or assistance with other methodological concerns.
- Assistance in accessing data from secondary sources.
- Participation in doctoral committees.

In addition, QIC-DR staff will create an information-sharing network that is nationally accessible. This will engage and inform other professionals and communities about the work of the QIC-DR, its research and demonstration projects, and the doctoral dissertations. This network will help address the barriers the awardees encounter and share in the successes they

experience. Awarded students are expected to participate fully in this information-sharing network; experiences and learnings are to be contributed to and discussed with the network.

### **13.0 Selection and Notification**

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Applicants selected for funding will be notified by phone and/or email, in accordance with the schedule in Section 5.0, followed by a formal notification letter. Those who are not awarded funding will be notified by letter within 90 days of FFY 2010 and FFY 2011 scheduled award announcement dates listed in Section 5.0.

The QIC-DR reserves the right to contact applicants with follow-up questions about their application. Once the awardees are selected, they will be required to sign contracts with American Humane within one month of the announcement of selection.

### **14.0 Terms and Conditions**

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Awards are expected to commence pursuant to the dates outlined in Section 5.0.

The final terms and conditions of award may differ from the sample terms and conditions provided herein. Submission of an application shall constitute acknowledgment and acceptance of all of the terms and conditions in the RFA, except those which have not been expressly accepted.

#### *14.1 Formal Approval of Agreement*

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The QIC-DR staff, the QIC-DR National Advisory Committee, and the Academic Scholars Panel retain the right to exercise their judgment concerning the selection of applications and the terms of any resultant award and to determine which application best serves the interests of the QIC-DR and the U.S. Department of Health and Human Services. The QIC-DR staff members make the final determination regarding applicant selection; they are the ultimate decision-makers in presenting an award.

#### *14.2 Rights of QIC-DR*

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- The QIC-DR shall not be liable for any costs incurred in connection with the preparation of applications submitted in response to this RFA.
- The QIC-DR reserves the right to waive, at its sole discretion, any irregularity or irregularities encountered in an application if the QIC-DR determines that such irregularity is inconsequential.
- The QIC-DR reserves the right to waive, at their sole discretion, any formality in the evaluation process in order to expedite such process; accommodate minor human error by the QIC-DR or applicant personnel; or respond to unforeseeable conditions.

- The QIC-DR has the right to ask the applicant for an explanation of any information provided in the application which the QIC-DR, at its discretion, deems necessary for an accurate determination of the application’s qualifications or capacity to carry out the proposed research plan. By applying for QIC-DR funding, the applicant agrees to this right.
- Any changes made to this RFA will be posted on the QIC-DR website: [www.DifferentialResponseQIC.org](http://www.DifferentialResponseQIC.org). The QIC-DR reserves the right to issue more than one addendum to the RFA. The QIC-DR will not be responsible for any other explanation or interpretation. Should any addendum set forth additional requirement(s), an application’s failure to address the requirement(s) of such addendum may result in the rejection of the application, as determined at the sole discretion of the QIC-DR.

The QIC-DR reserves the right to request additional information beyond that provided in the applications and/or to conduct interviews with the applicants. The review committee may then make adjustments in the final scores, where appropriate, based on the additional information.

#### *14.3 Conflict of Interest*

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No QIC-DR employee, no QIC-DR advisors whose positions enable them to influence the award or administration of this application process, and no spouse or economic dependent of such individuals shall be employed in any capacity by applicant in association with the work performed under the contract, or have any other direct or indirect financial interest in any resulting award.

#### *14.4 Disclaimer*

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The QIC-DR is not responsible for representations made by any of their officers or employees prior to the presenting of an award by QIC-DR personnel, unless such understanding or representation is expressly included in this RFA or in subsequent authorized addenda.

The QIC-DR is not responsible for any cost(s) or other liability(ies) associated with the preparation, delivery, or submission of any application in response to this RFA.

#### *14.5 Lobbying Certification*

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The final award is contingent upon the applicant signing the Lobbying Certification Form (Appendix F).

#### *14.6 Drug-Free Workplace Requirements*

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The final award of a contract is contingent upon the applicant certifying that a drug-free environment will be maintained during the performance of this contract, as required by the “Drug-Free Workplace Act.”

## Appendix A - American Humane Association Sample Award Notification

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January 1, 2010

**Reference: Award Number XX-XXXX**

[name]

[address]

[city], [state] [zip]

Dear:

We are pleased to inform you that the Quality Improvement Center for Differential Response in Child Protective Services (QIC-DR), through the American Humane Association, has approved your application for dissertation funding in the amount of (up to \$25,000) for the period of April 15, 2010, through April 14, 2011. The award requires annual reapplication for a non-competing continuation of the award for an additional \$25,000 for a total cap of \$50,000 over two years, and is contingent upon availability of American Humane funds and satisfactory progress of your research, which is measured, in part, by the timely submission of required reports every six months.

Pat Molloy will be American Humane's staff person responsible for financial management of this award.

Pat Molloy  
Manager, Grants Administration  
American Humane Association  
63 Inverness Drive East  
Englewood, CO 80112

Email: [qicdr@americanhumane.org](mailto:qicdr@americanhumane.org)

### **Description of Work and Products**

As specified in the proposal submitted to the QIC-DR, [recipient] agrees to:

- Submit project progress and financial reports every six months from the date of the contract. These reports are due within 15 days of the end of the period.
- Participate in and budget for at least one QIC-DR advisory meeting during the two-year award funding period.

**Payment Provisions**

Based on the approved enclosed budget, American Humane agrees to pay [recipient] up to \$25,000 for this work in the first year (April 15, 2010, through April 14, 2011). Our understanding is that these funds will be spent according to the attached budget. Any changes in this approved budget that exceed 15% of any line item must be approved by the QIC-DR.

Program and financial reports are due every six months. Two (2) originals of each report shall be submitted to the QIC-DR/American Humane, 63 Inverness Drive East, Englewood, CO 80112. They should be sent to the attention of Amy Rohm, MSW and should include the QIC-DR award number designated on the front page of this document.

Further specific provisions of this award are described in the attached Standard Terms and Conditions from the Department of Health and Human Services, Administration for Children and Families, Administration on Children, Youth and Families.

Acceptance of American Humane’s funding for your QIC-DR award constitutes your certification of your compliance with statutes governing: drug-free workplaces; debarment; suspension and other responsibility matters; and environmental tobacco smoke. If you find the terms of this contract acceptable, please sign below and return the complete original to Pat Molloy at the above-mentioned address and retain a copy for your records.

Sincerely,

Dale L. Austin  
Chief Operating Officer  
American Humane Association

Encl: Award Budget  
Standard Terms and Conditions  
W-9  
Financial Status Report

Accepted by:

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[Applicant] \_\_\_\_\_ Date \_\_\_\_\_

## Appendix B - Contact Information Form

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This form is to be submitted with the application. All spaces below are to be filled in, and it must be signed where indicated.

**It is important to include an email address.** As information is provided during technical assistance emails and phone calls, it will be forwarded (via email) to those who submit an application. Failure to provide current and accurate email information will result in the applicant possibly not having all information provided during technical assistance correspondence.

Those who do not have email should contact John Fluke, Ph.D. (720-873-6793) for updated information shared through phone/email technical assistance before they submit their application. American Humane and the QIC-DR are not responsible for information from phone/email technical assistance not being received by applicants.

### Contact Information for Proposed Project

Applicant's Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Signature: \_\_\_\_\_

**Appendix C - Application Certification**

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I certify that this application is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting an application for the same materials, supplies, equipment, or services and is in all respects fair and without collusion or fraud. I certify that I have no representatives or employees who are within the purview of the QIC-DR or American Humane code regarding conflict of interest. I agree to abide by all conditions of the application.

Applicant's Signature \_\_\_\_\_ Date \_\_\_\_\_

Name \_\_\_\_\_ (print or type)

Institution Name \_\_\_\_\_  
(print or type)

**Appendix D - Sample Budget Information Form**

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<i>Budget Object Class</i>	<i>Federal Resources</i>
<b>Stipends</b>	<b>\$ 19,000.00</b>
<b>Tuition</b>	<b>\$ 2,950.00</b>
<b>Travel</b>	
Local mileage @ \$0.50/mile	\$ 300.00
Conference incidentals	\$ 200.00
<i>Subtotal</i>	<b>\$ 500.00</b>
<b>Equipment</b>	
Laptop	<b>\$ 1,500.00</b>
<b>Supplies</b>	
Paper/binders	<b>\$ 500.00</b>
<b>Contractual</b>	
Data input etc.	<b>\$ 300.00</b>
<b>Other</b>	
Telephone/internet	\$ 150.00
Postage	\$ 50.00
Duplication	\$ 25.00
Misc. expenses	\$ 25.00
<i>Subtotal</i>	<b>\$ 250.00</b>
<b>Total Grant</b>	<b>\$ 25,000.00</b>

## **Appendix E - Budget and Budget Justification**

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Provide a budget with line-item detail and detailed calculation for each budget object class identified on the Budget Information Form. Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. For the matching requirement, include a breakout by the funding sources.

Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

### **GENERAL**

Use the following guidelines for preparing the budget and budget justification. Federal resources shall be detailed and justified in the budget and budget narrative. “Federal resources” refers only to the QIC-DR awards for which you are applying. The budget justification should be in a narrative form.

### **STIPENDS**

Description: Amount of the award to be used to offset general living expenses (e.g., rent, utilities, automotive costs, etc.)

Justification: List appropriate personal expenses by category.

### **TUITION**

Description: Cost of applicant’s tuition and related school expenses.

Justification: Identify the cost of tuition and related expenses (student fees, etc.). Do not include personal expenses.

### **TRAVEL**

Description: Costs of project-related travel by the applicant.

Justification: For each trip, show: travel destination (if known); duration of trip; lodging and per diem; mileage allowance, if privately owned vehicles will be used; and other transportation costs and subsistence allowances.

### **EQUIPMENT**

Description: “Equipment” means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation, shall be included in or excluded from acquisition cost in accordance with the organization’s regular written accounting practices.)

Justification: For each type of equipment requested, provide: a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use on the project; as well as use and/or disposal of the equipment after the project ends. An applicant who uses his or her own definition of equipment should provide a copy of the policy, or section of the policy, that includes the equipment definition.

### **SUPPLIES**

Description: Costs of all tangible personal property other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

### **CONTRACTUAL**

Description: Costs of all contracts for services and goods except those that belong under other categories, such as equipment, supplies, etc. Include third-party evaluation contracts, if applicable, and contracts with secondary recipient organizations, including delegate agencies.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition.

Recipients might be required to make available to the QIC-DR pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc.

Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each delegate agency, by agency title, along with the required supporting information referred to in these instructions.

### **OTHER**

Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: insurance, food (not per diems), professional services or consultant stipends, space and equipment rentals, printing and publications, basic telephone usage, postage, computer use, training costs, and administrative costs.

Justification: Provide computations, a narrative description, and a justification for each cost under this category.

### **TOTAL AWARD BUDGET**

## **Appendix F - Certification Regarding Lobbying**

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### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its

instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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Signature

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Date

**Appendix G - Sample Financial Status Report**

**FINANCIAL STATUS REPORT**

National Quality Improvement Center on Differential Response in Child Protective Services

Subgrant Number:		Final Report:      Yes    No		Page:	
Dissertation Award Recipient:					
Employer Identification Number: N/A					
Funding/Grant Period	From (MM/DD/YY)		To (MM/DD/YY)		
Period Covered by this Report	From (MM/DD/YY)		To (MM/DD/YY)		
<b>Transactions</b>					
Line Item	Budgeted	Previously Reported	This Period	Cumulative	Variance
Stipends					
Tuition					
Travel & Transportation					
Equipment					
Other (supplies, printing, phone, etc.)					
Contractual					
Total					
<b>Program Income</b>					
	N/A				
<i>Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing</i>					
<b>Certification</b>					
		I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays are for the purposes set forth in the award documents			
Typed or Printed Name and Title					
Telephone					
Date Report Submitted					