June 22, 2015

TO: ALL INTERESTED PARTIES

RE: CHILD ABUSE TREATMENT (CHAT) PROGRAM
REQUEST FOR PROPOSAL (RFP) FISCAL YEAR 2015-2016

The California Governor’s Office of Emergency Services (Cal OES), Criminal Justice/Emergency Management & Victim Services Branch, Children’s Unit, is soliciting proposals for the Child Abuse Treatment (CHAT) Program for the 2015-2016 fiscal year.

The purpose of the CHAT Program is to fund agencies that provide child abuse treatment services to child victims in California (regardless if they report the crime/abuse to law enforcement or other investigatory bodies). Applicants eligible to apply for the CHAT Program are existing governmental, private nonprofit, or community-based organizations who have a history of providing ongoing direct mental health services to child victims of crime, abuse, and/or neglect, and are financially solvent.

Proposals will be rated and ranked competitively. Applicants should read this Request for Proposal (RFP) carefully to ensure proposals contain all required elements. Please refer to the RFP for the proposal due date and submission options.

The CHAT Program will be supported with Victims of Crime Act funds. Approximately $8,798,428 is available for 2015-2016; this amount is provisional and contingent upon Cal OES’ receipt of the federal grant award and passage of the 2015 State Budget Act.

Approximately 43 proposals will be selected for funding and receive an annual allocation of up to $125,000; $175,000; or $225,000, based upon the agency’s county placement on the Counties by Caucus list. Each grant period will be for twelve months. The first grant period begins October 1, 2015, and ends September 30, 2016. In the future, a non-competitive reapplication for continuation of funding must be submitted for the second through the fifth year of funding.

PLEASE NOTE: Due to the changes in the new OMB Uniform Guidance CFR2, Part 200, (Super Circular), the 2015 Subrecipient Handbook (SRH) will not be released until later this year. Until that time, you may continue to use the 2014 Recipient Handbook (RH). However, some changes that will eventually be included in the 2015 SRH were made to this document; therefore this document supersedes the 2014 RH.
Questions regarding this RFP must be submitted in writing to Richard Bunch, Program Specialist, via email at richard.bunch@caloes.ca.gov.

Thank you for your interest, and we look forward to working with you.

Sincerely,

MARK S. GHILARUCCI
DIRECTOR
# CHILD ABUSE TREATMENT (CHAT) PROGRAM

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A. INTRODUCTION

This Request for Proposal (RFP) provides the information and forms necessary to prepare a proposal for California Governor’s Office of Emergency Services (Cal OES) grant funds. The terms and conditions described in this RFP supersede previous RFPs and conflicting provisions stated in the Recipient Handbook. The Recipient Handbook provides helpful information for developing the application and is accessible on our website at www.caloes.ca.gov. Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs” then select “Handbooks, Reports & Publications.”

B. CONTACT INFORMATION

Questions concerning this RFP, the proposal process, or programmatic issues should be submitted in writing by e-mail to:

Richard Bunch  richard.bunch@caloes.ca.gov

Cal OES staff cannot assist the Applicant with the actual preparation of their proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, Cal OES can only respond to technical questions about the RFP.

C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS

One original and three copies of the proposal must be delivered to Cal OES’ Criminal Justice/Emergency Management & Victim Services Branch by the date and time indicated below. A late proposal will be deemed ineligible for funding. Submission options are:

Regular or overnight mail, postmarked by Tuesday, July 28, 2015, OR hand-delivered by 5:00 p.m. on Tuesday, July 28, 2015, to:

California Governor’s Office of Emergency Services
Criminal Justice/Emergency Management & Victim Services Branch
3650 Schriever Avenue
Mather, CA 95655
Attn: CHAT Program, Children’s Unit
D. ELIGIBILITY

Cal OES intends to fund approximately 43 agencies statewide offering comprehensive treatment services to child victims of crime, abuse, and/or neglect, especially underserved child victims, through the Child Abuse Treatment (CHAT) Program.

All existing governmental, private nonprofit, or community-based organizations who have a history of providing ongoing direct mental health services to child victims of crime, abuse, and/or neglect, and are financially solvent are eligible to apply. The CHAT Program is designed to fund established child abuse treatment agencies that have a minimum of two years experience providing child abuse treatment services in California. The agency staff must consist of at least one Licensed Clinical Social Worker, a Marriage and Family Therapist in good standing with the California Board of Behavioral Sciences, or a Licensed Psychologist with a Doctorate Degree in Psychology in good standing with the California Board of Psychology. This licensed clinician must be experienced at providing therapy to children, and will be the primary provider of mental health services to the CHAT Program clients.

Although all American Indian agencies or American Indian tribes or consortium of tribes located on the reservation or in the catchment area as defined by the Bureau of Indian Affairs, or American Indian organizations providing services in urban communities are eligible to apply, there is a concurrent RFP for the American Indian Child Abuse Treatment (AI CHAT) Program being released, which more appropriately meets the cultural needs of the American Indian child victim population. However, you may apply for either the CHAT Program, or the AI CHAT Program, not both.

Applicants must receive a minimum score of 310 on the Rating Sheet to be eligible for funding.

Federal agencies and in-patient treatment facilities are not eligible to apply.

E. FUNDS

1. Funding Amount/Grant Period

There is approximately $8.7 million available for the CHAT Program. The amount of funding for which each agency may apply is listed by county on the Counties by Caucus list (Attachment A), which was provided by the California State Association of Counties. Agencies are encouraged to only apply for the amount of funds they believe they can spend, up to their maximum amount. The grant period will commence October 1, 2015, and end September 30, 2016. Projects must budget funds for the full 12-month period. Execution of this Grant Award is contingent upon Cal OES receipt of the Victim of Crime Act (VOCA) award and passage of the State Budget Act.

The following table shows the amount of VOCA funding each Applicant may apply for based upon their classification as rural, suburban, or urban.
CHILD ABUSE TREATMENT (CHAT) PROGRAM

<table>
<thead>
<tr>
<th>County Classification</th>
<th>VOCA Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rural counties</td>
<td>$125,000 each</td>
</tr>
<tr>
<td>Suburban counties</td>
<td>$175,000 each</td>
</tr>
<tr>
<td>Urban counties</td>
<td>$225,000 each</td>
</tr>
</tbody>
</table>

2. Source of Funds

The CHAT Program is supported solely with federal VOCA funds. Specific information for this funding source is outlined below:

**Legislative Authority** – the VOCA Formula Grant Program is authorized by the Victims of Crime Act of 1984 as amended, 42 U.S.C. 10601, *et seq.*

**Purpose** – VOCA authorizes federal financial assistance to states for the purpose of compensating and assisting victims of crime, providing funds for training and technical assistance, and assisting victims of federal crimes.

**Match** – VOCA requires a cash and/or in-kind match equal to 20 percent of the total project cost, or five percent of the total project costs for American Indian organization on reservation or in catchment area. **Federal monies cannot be used to meet the match requirement.** Below is the match requirements based upon the type of Applicant:

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Match</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governmental, Non-Profit, Community Based Organization</td>
<td>20% of total project cost</td>
</tr>
<tr>
<td>American Indian organization, not on reservation or in catchment area</td>
<td>20% of total project cost</td>
</tr>
<tr>
<td>American Indian organization on reservation or in catchment area</td>
<td>5% of total project cost</td>
</tr>
</tbody>
</table>

**Restrictions/Guidelines**

- VOCA funds are restricted to the provision of direct services for victims of crime.
- VOCA regulations prohibit the use of funds for indirect costs.
- VOCA guidelines allow community and school presentations when the primary purpose is to identify crime victims and provide, or refer the victim to needed services.
• Volunteers must be utilized, unless there is a compelling reason to waive the requirement.

• Funds may be used for organizational membership in no more than three national or state criminal justice or victim’s organizations.

• Original publications (written, visual, or sound) produced in whole or in part must contain the following statement: “Funding made possible through the United States Department of Justice, Victims of Crime Act, 2015-VA-GX-___.”

3. Reversion Policy & Procedures

Recipients reverting unused funds back to Cal OES in an amount greater than $2,500 per year, over two consecutive fiscal years, will be subject to the following:

• Reduction of funding for at least one fiscal year immediately following the two-year period;

• The reduction will be equal to the lesser amount reverted during the prior two-year period;

• The Recipient will be required to work with Cal OES to develop and implement plans to prevent future reversions; and,

• The Recipient will not be eligible for CHAT Program-wide increases during the reduction period.

Upon successful implementation of plans to prevent future reversions, Cal OES will reinstate the Recipient to the original funding level and apply any applicable CHAT Program-wide increases.

Recipients may elect to amend the Grant Award to reduce funding and return funds to Cal OES prior to July 31 (of the given fiscal year) if they are unable to utilize all funds awarded during that fiscal year. This will allow Cal OES to reallocate funds before they expire, and the Recipients will not be subject to the Fund Reversion Procedure previously described (Recipients funding level will not be reduced).

The Fund Reversion Procedure is intended to assist Cal OES in ensuring all funds are utilized by the CHAT Program prior to their expiration. Expired funds are reverted to the original source and can no longer be utilized by the CHAT Program.

4. Catalog of Federal Domestic Assistance (CFDA)

The CDFA number for the federal VOCA funding for this grant is: 16.575 and may be looked up and referenced at:

https://www.cfda.gov/index?s=program&mode=list&tab=list
F. PROGRAM INFORMATION

1. Program Information

The CHAT Program is designed to fund established child abuse treatment agencies that have a minimum of two years experience providing child abuse treatment services in California. Projects implementing this Program are either governmental, private nonprofit, community-based organizations, or American Indian tribes/organizations. Funds for the CHAT Program must be used to enhance existing services for victims of crime and/or child abuse. The CHAT Program provides psychotherapy services to child victims of crime, abuse and neglect by the most qualified clinicians who have applicable education and experience working with this population.

Recipient must provide comprehensive treatment services to children under the age of 18 who are victims of:

- Physical abuse, sexual abuse, sexual exploitation, and/or emotional abuse;
- Neglect, severe neglect, and/or general neglect;
- Domestic violence and/or witness to violence in the home;
- Parental chemical substance abuse;
- Child abduction by a family member or a non-family member;
- Witnessing crime/violence in the school or community;
- Victim of crime; and/or
- Bullying per California Education Code 48900(r).

2. Program Requirements

a. Clients to be Served

Recipients must provide comprehensive psychotherapy services to, at a minimum, 30 child victims annually per one full-time equivalent (FTE) clinician funded by the CHAT Program. Child victims should be children who do not have access to services due to non-availability of services, lack of resources, lack of mental health insurance, and non-eligibility for other programs or services. Priority should be given to child victims who are underserved or are dependents of the court and involved in the child welfare system. Underserved children are child victims who are non-English speaking, with disabilities, of racial or ethnic minorities, LGBTQ, or residing in remote rural areas or crime-ridden, poverty-stricken urban areas.

b. Highly Qualified Staff

Recipients must utilize highly qualified staff in the CHAT Program. The CHAT Program must consist of at least one Licensed Clinical Social Worker, a Marriage and Family Therapist in good standing with the California Board of Behavioral Sciences, or a Licensed Psychologist with a Doctorate Degree in Psychology in good standing with the California Board of Psychology. The licensed clinicians must be experienced in providing therapy to children and must be the primary provider of mental health services to the CHAT Program clients.
Cal OES recognizes a licensed-eligible staff as one who has completed the qualifying hours and courses for licensure, is waiting to take the licensure examination, and is registered with the respective discipline’s Board (e.g., California Board of Behavioral Sciences). Licensed-eligible staff may fulfill the above stated licensed clinical staff. Recipients must ensure the licensed-eligible staff is supervised by a licensed clinician who has met the supervisory training requirements, and must follow the requirements set forth by the licensed-eligible staff's respective Board.

If the Recipient is unable to secure a licensed or licensed-eligible clinical staff as described above, Cal OES will allow the use of post-graduate (MSW, MFT, Ph.D.) staff who are registered interns with the respective discipline’s Board, who have completed the required qualifications as set forth by the respective discipline’s Board, and who are now fulfilling the supervision required hours as well as all requirements set forth by the discipline’s respective Board. The Recipient must ensure the registered intern staff is supervised by a licensed clinician who has met the supervisory training requirements, and must follow the requirements set forth by the registered intern’s respective Board. Registered intern staff should have, at a minimum, two years experience providing treatment-related services to abused children.

For Recipients unable to secure a licensed clinician paid by the CHAT Program to provide supervision to unlicensed staff, Cal OES will allow the Recipient to subcontract for this service.

c. Staff and Volunteer Background Checks

CHAT Program staff and volunteers cannot have contact with children of the CHAT Program until a background check has been completed and the individual designated by the agency has reviewed the results. The following must be completed:

1) Written Application and Reference Checks – A formal application, including three references checked by agency’s program administrators and/or designated staff must be completed.

2) Criminal Background Checks – A criminal background check on staff and volunteers must be completed prior to contact with children receiving services. The criminal background check includes fingerprinting and processing through the Department of Justice.

If CHAT Program staff and volunteers have resided in California less than three years, out-of-state criminal history check (FBI check) is also required.

3) Department of Motor Vehicles Checks – A check of the Department of Motor Vehicles records must be completed for staff and volunteers who will drive a vehicle where child victims, siblings, their non-offending family members, and/or care providers are being transported.

Should the background check result in a finding, however insignificant, the individual cannot provide services through the CHAT Program unless the project
applies for a waiver of this rule and receives written approval from Cal OES. The waiver request must:

- Be on agency letterhead;
- Include the name of the individual;
- Include the position title and description of how this position interacts with clients;
- Include the conviction(s) and penal code; and
- Include an explanation of why this person’s conviction will not interfere with, jeopardize the safety of, or potentially negatively affect CHAT clients coming in contact with this person.

d. Staff and Volunteer Training Required

CHAT Program staff and volunteers who provide face-to-face services to child victims of crime, abuse and neglect, and who do not have up to two years of experience or training working with child abuse victims, are required to complete at least 40 hours of training which must include topics on, but not limited to:

1) Crisis intervention;
2) Behavioral issues of children exposed to violence and those who have experienced abuse and/or neglect;
3) Domestic violence and its effect on children;
4) Identifying and reporting child abuse and neglect; and
5) Issues related to abused children with disabilities.

e. Supervision of Volunteers

Direct supervision by a professional staff, with expertise in the delivery of direct services to child abuse victims is required.

f. Personnel Records

Recipients and subcontractors must have on file personnel records for project staff and volunteers which should include, but not limited to:

1) Copies of licenses and degrees;
2) Documentation of special training specific to the services performed on this grant;
3) Documentation of supervised hours, if applicable;
4) Substantiation of what makes the supervisor knowledgeable in the dynamics of child abuse; and
5) Documentation of the completion of background checks/clearances, including the results and applicable waivers such as:

- Written application and reference checks;
- Department of Justice Criminal History Check and Clearance;
- Department of Motor Vehicles Clearance;
- Cal OES-approved waivers, if applicable;
• Copy of signed Acknowledgement of Mandated Reporter Status and Legal Duty to Report; and
• Copy of the signed confidentiality agreement.

Personnel files must be made available for review by Cal OES program staff during a technical assistance visit, performance assessment/site visit and/or monitoring visit of the CHAT Program.

g. Operational Agreements

Recipients must have a goal of ensuring the congruency of services, consistency of care, and reduction of duplication of services. To achieve this goal, the Recipient must demonstrate the ability to proactively collaborate with other service providers serving child victims and their non-offending family members by securing Operational Agreements (OAs) with other agencies. It is mandatory that an OA be obtained with the local Victim Witness Assistance Center and be submitted with the application. Other OAs should be obtained to fulfill this goal.

OAs must be current for the Grant Award cycle and include a start and end date. The OAs may be secured to cover a three-year period. They must be signed with original signatures and signed by the Recipients agency’s authorized person to sign the CHAT Program Application. OAs do not need to be submitted with the application package (except as noted above), however, they must be available for review by Cal OES staff during a technical assistance visit, performance assessment/site visit, and/or monitoring visit. All OAs must be listed on the Operational Agreements Summary Form (Cal OES 2-160). The Cal OES 2-160 must be completed with all secured and pending OAs and submitted with the application package.

h. Mandatory Services to Child Victims

Recipients must provide the following comprehensive services to child victims and secondary victims, such as minor siblings:

• Outreach;
• Intake;
• Crisis intervention;
• Individual psychotherapy and group mental health counseling;
• Meeting with the child’s non-offending family member and/or caregiver in order to help he/she assist with therapeutic services for the child;
• Case management;
• Information and referral services;
• Assistance in providing information on crime victim compensation services by referring the child client to the local victim/witness assistance center;
• Assistance in understanding and helping the child prepare to attend criminal justice procedures by referring the child client to the local victim/witness assistance center; and
• Transportation services for the child victim and non-offending family member and/or caregiver.
In providing mandatory services, Recipients must adhere to the following:

1) Charging for Services

Recipients cannot charge child victims for services under the CHAT Program; services are to be free of charge.

2) Cultural Sensitivity

Recipients must ensure that mental health services are provided in a culturally sensitive and competent manner. Cultural definitions of family and what constitutes appropriate family dynamics, roles, and child rearing methods can vary widely. There may be a great deal of within-group cultural variations due to acculturation, racial identity, language, as well as intergenerational issues. It is essential that individuals working with child victims be especially aware of cultural issues and how these affect family dynamics. Recipient staff must have the ability to communicate with individuals from various cultures regarding cultural expectations, practices, and traditions. To this end, professional development in the form of written information, in-service training, and consultation with other mental health professionals is recommended if the professional staff does not reflect the multi-languages and multi-cultures existing in the service area.

3) Coordination of Services

Recipients must promote within the community, coordinated public and private efforts to aide child victims such as participating on state, federal, local task forces, commissions, working groups, coalitions, and/or multidisciplinary teams. Coordination of efforts enhances the Recipient's qualifications to receive VOCA victim assistance funds, but is not an activity supported with VOCA funds.

3. Mandatory Objectives

Recipients must incorporate into the CHAT Program the following mandated objectives:

a. Provide Psychotherapy Services

For the purpose of the CHAT Program, this means intensive psychotherapy provided on an outpatient basis to child victims. Psychotherapy includes individual treatment with adjunct child specific group treatment when appropriate. Group treatment must not be the only method of psychotherapy provided to a child; each child attending a group must also be seen individually by a clinical staff that evaluates the child's case plan and periodically assesses if child group treatment is still the appropriate course of treatment.

Psychotherapy means the use of psychosocial methods within a professional relationship to: assist the person or persons to achieve a better psychosocial adaptation; acquire greater human realization of psychosocial potential and adaptation; and modify internal and external conditions which affect individuals,
groups, and/or communities in respect to behavior, emotions and thinking in respect to their interpersonal and intrapersonal processes.

The clinical staff must have basic clinical skills to assess the impact of trauma, presenting problem(s), develop a diagnosis based on the *Diagnostic and Statistical Manual of Mental Disorders (DSM-5)* published by the American Psychiatric Association, knowledge of differential diagnosis associated with children, and formulation of treatment plans consistent with the diagnosis. These skills must consist of effective treatment interventions and the use of standardized assessment instruments to measure treatment outcomes.

Services to youth/adolescent perpetrators must **not** be provided while they are detained at a youth facility or at home; however, services may be provided upon their release even while on probation. The treatment plan should focus only on their history of abuse and maltreatment.

Psychotherapy services for non-offending parents and/or caregivers are not allowable services funded via the CHAT Program. Services for non-offending family members and/or caregivers may be incorporated into the child victim’s treatment plan only as an adjunct service, by the child’s therapist, to enhance the therapeutic success for the child, and be the direct result of providing services to the child victim. Services, under VOCA funds, to non-offending family members and/or caregivers are not to be designed to address their own abuse history or support their participation in self-help groups (e.g., Parents United and Parents Anonymous).

**Please Note:** Psychotherapy should be center-based as opposed to home-based due to issues related to psychosocial boundaries and liability. However, there are situations when treatment services at home is the best avenue such as treatment for a child with a disability with limited mobility; when the primary custodian of the child may have a disability and cannot easily transport the child to therapy services in the CHAT Program office; or due to the remote location where the child lives. When this is the situation, the Applicant must address this issue in the application and present a plan addressing accessibility concerns for children and families with disabilities and/or those residing in remote areas. If this is not a need by the Recipient at the time of responding to this application, but at a later date the Recipient finds this to be a need for some of its clients, the Recipient staff must request approval from Cal OES prior to providing therapy at home. **Please Note:** VOCA funds cannot support child abuse prevention services or services to families who are at-risk for abusing their children.

b. Provide Assistance With Crime Victim Compensation Services

Recipients must provide information to all CHAT Program child victims on the availability of the Victim Compensation Program (VCP), explaining the procedures and referring the child victim to the local Victim Witness Assistance Center. Other allowable services which may be provided to meet this objective include, but not limited to: providing child victims with informational pamphlets about the VCP; providing assistance with completing the required forms for child victims; gathering necessary documentation; and providing follow-up contact with the VCP agency on behalf of the child victim.
Please Note: It is not the role or duty of the CHAT Program Recipient’s staff to determine eligibility.

**Information Only:** the California Victim Compensation and Government Claims Board (VCGCB) administers the VCP. This program is available to aid individuals who have been victims of a crime and can be a valuable resource to crime victims who wish to obtain outpatient psychotherapy services to ameliorate the effects of the crime. The VCGCB makes the determination of the claim.

If a child victim is approved for VCP benefits for therapy, the child victim may no longer receive psychotherapy services provided by the CHAT Program. However, other supportive services under the CHAT Program are still available to the child victim, i.e., information and referral services. Once the VCP benefits are exhausted, the child victim may once again receive psychotherapy services under the CHAT Program.

c. **Provide Assistance With Participation in Criminal Justice Proceedings**

Recipients must refer child victims to the local Victim Witness Assistance Center for assistance with court-related services. Other allowable services to meet this objective may include: support, assistance, and advocacy provided to child victims at any stage of the criminal justice process (including post-sentencing services); advocacy services on behalf of the child victim; accompaniment to criminal justice offices and court; transportation to court; child care to enable a victim to attend court; notifying a child victim of trial dates; providing case disposition information; notifying the child victim of parole consideration procedures; providing assistance with victim impact statements; and, providing emergency legal assistance (i.e., filing restraining orders or obtaining emergency custody/visitation rights when directly connected to family violence cases to ensure the health and safety of the child victim).

d. **Use of Volunteers**

Recipients must utilize a volunteer in their agency to provide VOCA allowable services, unless there is a compelling reason to waive this requirement. If there is a compelling reason why a volunteer cannot be secured, the Applicant may request a written waiver to waive the volunteer requirement which must be submitted with the RFP to Cal OES for approval.

**Please note:** Court Appointed Special Advocates’ (CASA) volunteers cannot be used to fulfill the volunteer requirement, the match requirement, or other staff requirement of the CHAT Program.

4. **CANRA – Obligations of the Agency Employing Mandated Reporters**

Employees of public and private organizations identified as mandated reporters must comply with the mandated reporting requirements of the Child Abuse and Neglect Reporting Act (CANRA).

Recipients must provide to employees defined to be mandated reporters a written statement which informs them of their status as mandated reporters, their reporting
obligations, and their confidentiality rights. The *California Penal Code Sections 11164 – 11174.4*, known as CANRA, is available on [www.leginfo.legislature.ca.gov](http://www.leginfo.legislature.ca.gov) by selecting California Law, and in the Search area, selecting PEN in the Code dropdown menu, enter 11164 in the Section box, and then click Search.

The *Suspected Child Abuse Report Form SS-8572* is available from the Attorney General’s Office at its website: [http://www.oag.ca.gov](http://www.oag.ca.gov). Once on the website, enter SS-8572 in the Search box and click Search.
CHILD ABUSE TREATMENT (CHAT) PROGRAM

PART II – RFP INSTRUCTIONS

A. PREPARING A PROPOSAL

The instructions in this section correspond to each of the proposal components and to the forms required to complete the proposal.

The Applicant must use the forms provided in Part IV of this RFP or on our website at www.caloes.ca.gov. The forms must be printed on plain white 8½” x 11” paper for the proposal. The Project and Budget Narrative templates provided on the website are formatted to Cal OES standards. If you create your own Project and/or Budget Narrative forms, the format must duplicate the Cal OES templates and not allow for more space than provided by Cal OES. If a space limitation is specified for a component, strict adherence to the space limitation is required.

NOTE: Failure to comply with the spacing/formatting requirements is one of the factors that may negatively impact the Applicant’s comprehensive assessment score.

The following nine components are required for a complete proposal:

- Proposal Cover Sheet (included in Part IV)
- Grant Award Face Sheet (Cal OES 2-101)
- Project Contact Information (Cal OES 2-102)
- Signature Authorization and Instructions (Cal OES 2-103)
- Certification of Assurance of Compliance – Victims of Crime Act (VOCA) Fund (Cal OES 2-104f)
- Federal Grant Funds Log (Cal OES 2-105)
- Project Narrative (Cal OES 2-108)
- Project Budget (Including the Budget Narrative (Cal OES 2-107) and the Budget Forms (Cal OES 2-106a)
- Proposal Appendix (refer to Part II, E)

Click the link below to access Cal OES forms or go to www.caloes.ca.gov, Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs” then select “Forms.” Or, paste the following link into your browser:
NOTE: The Applicant must ensure that all information requested by the RFP is included in the appropriate section of the proposal in order to receive credit. Failure to include the required components may result in a reduced score or disqualification. Cal OES will not advise the Applicant if the proposal is incorrect and/or incomplete prior to rating or disqualification.

Copies of the proposal must be assembled separately and individually fastened in the upper left corner. Do not bind the proposal.

B. CERTIFICATION OF ASSURANCE OF COMPLIANCE (Cal OES 2-104f)

Cal OES is required by law to obtain written certifications of compliance. The Certification of Assurance of Compliance form is a binding affirmation that the Recipient will comply with the following regulations and restrictions:

- State and federal civil rights laws;
- Drug Free Workplace;
- California Environmental Quality Act;
- Federal grant fund requirements;
- Lobbying restrictions;
- Debarment and Suspension requirements; and
- Proof of Authority documentation from the city council/governing board.

C. PROJECT NARRATIVE

The Project Narrative is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the Applicant to implement the proposed plan.

The primary intent of the CHAT Program is to provide mental health services in the treatment of child victims, and the most effective practices for addressing the effects of emotional trauma in child victims of violent crimes as put forward in the Mental Health Care for Child Crime Victims – Standards of Care Task Force Guidelines, 2001, Victims of Crime Program, California Victim Compensation and Government Claims Board.

1. Problem Statement (Maximum 5 Pages)

   The Applicant must describe the problem to be addressed and include supportive county data and statistics, and include the following:

   - Describe the geographical size and location.
   - Describe the current demographical information.
• Describe the substantiated cases and reports of child abuse, neglect, domestic violence, school and community violence, child abduction, school bullying and other crimes against children. Data to be no older than 2013.

• Describe the services and resources currently available to children, a brief analysis of their strengths and weakness, availability, and accessibility.

• Describe the types of services needed to address the victimization of children.

• Describe the prevalence of statutory rape, sexual exploitation, dating violence, runaways, substance abuse, and other problems experienced by youth/adolescents.

2. Plan (Maximum 15 Pages)

The Applicant must describe the service plan and make sure to incorporate the following processes:

• Eligibility: Describe the eligibility process of how the child victim is determined to receive psychotherapy services.

• Intake/Assessment: Describe the process of gathering relevant background information of child victims and usage of standardized psychological assessment and evaluation tools.

• Legal and Ethical Evaluation: Describe how informed consent will be obtained; or describe how and if the parents/caregivers of 12-year old clients will be informed of their treatment; describe any release of information forms which will be utilized to discuss clinical information with any source, including to allow Cal OES staff to review clinical documentation at monitoring, technical assistance, and site visits; and, describe how client confidentiality will be enforced.

• Treatment Plan: Describe the treatment plan and include measurable goals and interventions consistent with DSM-5 diagnosis; describe the formulation of the child’s treatment plan, as well as trauma-specific treatment modalities and therapy tools; and describe the process to review and revise treatment plans, including how often this is done.

• Psychotherapy Services: Describe how psychotherapy services are delivered to child victims.

• Clinical Documentation: Describe the recordkeeping and management process of accessing records; note-taking practices; and how clinical records will be filed and maintained.

• Evaluation of Treatment Outcome: Describe what instruments and/or utilization of other resources are used to measure treatment outcome/effectiveness of therapy and/or post assessment, including the periodic intervals used by the clinical staff to evaluate the process of psychotherapy treatment.

• Supervision: Describe the process for consultative and clinical supervision.

Additionally, the Applicant must include the following:

• Primary Clinical Focus and Range of Services: Describe the clinical staff’s qualifications, ability to provide various psychotherapy modalities, and make
treatment available and accessible to the range of child victims in the services area.

- Objectives and Activities: This section should describe the Applicant’s plan to address the four mandated objectives, using the exact wording of each objective as provided.

**Please Note:** Please use the exact wording as provided for each bolded objective heading below:

| Objective 1: Provide Psychotherapy Services | The estimated number of child victims provided psychotherapy services is ________. |
| Objective 2: Provide Assistance With Crime Victim Witness Compensation Services | The estimated number of child abuse victims provided information and referral to the local Victim Witness Assistance Center for crime victim compensation services is ________. |
| Objective 3: Provide Assistance With Participating in Criminal Justice Proceeding | The estimated number of child victims referred to the local Victim Witness Assistance Center for services to provide understanding and participation in the criminal justice system is ________. |
| Objective 4: Use of Volunteers | The estimated number of Full Time Equivalency (FTE) of the volunteers who assist in the execution of the project is ________. |
| | The estimated number of volunteers who have completed the required 40-hour training is ________. |

For each objective, provide a quantified estimate of the services to be provided during one grant period (use whole only, e.g., do not use, “between 30-40”). Discuss the manner in which those services will be provided, and the activities to be performed to support those services. The information provided for each objective must describe the following:

- How the objectives and activities will be achieved within one year of operation;
- How the licensed clinical staff and other support staff are to achieve the stated objectives;
- How the source documentation will be collected and maintained to measure results; and
- How a source document is defined and records are used to validate the Applicant’s activities and achievements as these pertain to the objectives outlined.
3. Capabilities (Maximum 3 Pages)

- Administrative Evaluation: Describe administrative functions to comply with grant guidelines, i.e., the ability to provide basic management, accounting functions, and experience administering previous grants.
- Describe the Applicant’s experience collaborating with governmental, non-profit, and community based organizations.
- Describe the Applicant’s experience providing therapeutic services to child victims.
- Describe the Applicant’s experience implementing a grant program.
- Describe the Applicant’s experience working in a victim services focused grant program.

D. PROJECT BUDGET

The purpose of the Project Budget is to demonstrate how the Applicant will implement the proposed plan with the funds available through this Program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include only those items covered by grant funds, including match funds, when applicable. Projects may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, Applicants should not include in the Project Budget matching funds (if applicable) in excess of the required match. Budgets are subject to Cal OES modifications and approval.

Cal OES requires the Applicant to develop a line-item budget which will enable the project to meet the intent and requirements of the Program and ensure the successful and cost-effective implementation of the project. The Applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract from the accomplishment of the objectives and activities of the project.

Note: The following information is provided to assist in the preparation of the budget:

- Strict adherence to required and prohibited items is expected.
- Where the Applicant does not budget for a required item, the Applicant assumes responsibility.
- Failure of the Applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project.
- You may only budget for direct service costs. Indirect costs are not allowed.
- Budgeted staff must provide direct services to child victims; provide direct supervision of direct service staff; administrative and support staff may only charge their time for project staff time management, program documentation and victim records, and other program required reports and statistics.
- While Applicants may budget for and request the maximum grant amount for which they are qualified to receive, Applicants may request and budget for lesser amounts if they do not believe that they can spend the maximum grant amounts.
The Applicant should refer to the *Recipient Handbook* for additional information concerning Cal OES budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at [www.caloes.ca.gov](http://www.caloes.ca.gov). Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs” then select “Handbooks, Reports & Publications.” Should you have additional budget questions, contact the person listed in Part I, section B.

The CHAT Program RFP Budget requires a 20 percent match. The match, cash or in-kind, must be clearly identified in the budget. The match must not be derived from federal monies. The match is intended to augment the amount of resources available to the project. Expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. All of the match specified in the budget will become part of the grant award. State funds can be used to match federal funds only if the (a) other funding source does not prohibit this practice; (b) the funds are to be used for identical activities; and, (c) programmatic instructions allow this practice.

Cash match sources must be clearly identified in the project budget pages or narrative (fundraising; First Five Commission; etc.)

All funds designated as match are restricted to the same uses as VOCA funds.

- **Calculating Match** – The total Project Cost method is to multiply the amount by the percentage of match to obtain the match amount. To calculate a 20 percent match, divide the grant award amount by 80 percent; this determines the total project cost; next, multiply by 20 percent to determine the match.

1. **Budget Narrative**

   The Applicant is required to submit a narrative with the Project Budget. The narrative must be typed and placed in the proposal preceding the budget pages, describing:

   - How the project’s proposed budget supports the Program’s objectives and activities;
   - How funds are allocated to minimize administrative costs and support direct services;
   - The duties of project-funded staff, including qualifications or education level necessary for the job assignment (this does not take the place of the brief justification required in the line-item budget);
   - How project-funded staff duties and time commitments support the proposed objectives and activities;
   - Proposed staff commitment/percentage of time to other efforts, in addition to time allocated to this project;
   - The necessity for subcontracts and unusual expenditures; and
   - The mid-year salary range adjustments.
2. Specific Budget Categories

In Part IV of this RFP, or on our website, you can access Excel spreadsheets (Cal OES 2-106a) for each of the following three budget categories:

a. Personal Services – Salaries/Employee Benefits

1) Salaries

Personal services include services performed by project staff directly employed by the Applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be budgeted as a part of salaries. If the Applicant’s personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the Applicant must be shown as participating staff (see Recipient Handbook, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, C.2.b. - Operating Expenses - paragraph two).

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The Applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the Applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses

Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (i.e., to further the Program objectives as defined in the Grant Award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the Applicant,
travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with a cost of less than $5,000 (excluding tax,) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the Applicant must be shown as consultant and/or participating staff costs (whichever is applicable per Recipient Handbook, Sections 3710 and 4500), under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the Recipient and made available for review during a Cal OES site visit, a monitoring visit, or an audit. In the case of grants being passed through a Recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

Budget for anticipated training related to the project. The Applicant must include sufficient per diem and travel allocations for person(s) to attend required Cal OES training conferences or workshops.

Applicants should budget for required Project Director’s Meetings to be held in various locations in the State. The Project Director and Financial Officer should plan on attending, or someone in their place who is familiar with the grant and the functions of the officer for which they will represent. Budget for travel, lodging and per diem all at the approved State rate.

c. Equipment

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and a cost of $5,000 or more per unit (excluding tax).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

**NOTE:** The left column of each budget category on the spreadsheet requires line-item detail including the calculation and justification for the expense. Enter the *whole dollar amount only* (no cents) on each line item and the match amount (if applicable) in the correct column of the Budget Category form. You may add extra rows if necessary. The spreadsheets automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment page. The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 12G) on the Grant Award Face Sheet.
E. PROPOSAL APPENDIX

The Proposal Appendix provides Cal OES with additional information from the Applicant to support components of the proposal. The following must be included:

- **Organizational Chart:**
  The Organizational Chart should clearly depict the structure of the Applicant organization and the specific unit within the organization responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those in the Budget and Budget Narrative.

- **Operational Agreement (OA) Summary Form (Cal OES 2-160)**
- **Operational Agreement with the local Victim Witness Assistance Center**
- **Project Summary (Cal OES 2-150)**
- **Noncompetitive Bid Request (Cal OES 2-156) [if applicable]**
- **Out-of-State Travel Request (Cal OES 2-158) [if applicable]**
- **Emergency Fund Procedures (Cal OES 2-153) [if applicable]**
- **CHAT Other Funding Sources**
- **Prior, Current, and Proposed Cal OES Funding (Cal OES 2-152)**
- **Project Service Area Information (Cal OES 2-154)**
- **Computer and Automated Systems Purchase Justification Guidelines (Cal OES 2-157) [if applicable]**
- **Staff Duty Statements**
- **Staff Resumes**

Click the link below to access Cal OES forms or go to [www.caloes.ca.gov](http://www.caloes.ca.gov), Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs” then select “Forms.” Or, paste the following link into your browser:

[http://www.caloes.ca.gov/grant-forms](http://www.caloes.ca.gov/grant-forms)
NOTE: The Applicant is strongly encouraged to review the following sections before preparing the proposal:

A. SELECTION OF PROPOSAL FOR FUNDING
B. FINALIZING THE GRANT AWARD
C. ADMINISTRATIVE REQUIREMENTS
D. BUDGET POLICY

A. SELECTION OF PROPOSAL FOR FUNDING

1. Proposal Rating

Eligible proposals received by the deadline are generally rated by a three member team. The rater scores are averaged and then ranked numerically. The Rating Form used for this process is included in Part IV of this RFP and is for informational purposes only.

2. Funding Recommendation

Final funding decisions are made by the Director of Cal OES. Funding recommendations are based on the following:

- The ranked score of the proposal;
- Consideration of funding priorities or geographical distribution specific to this RFP; and
- Prior negative administrative and programmatic performance, if applicable.

Projects previously funded by Cal OES will be reviewed for poor past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions:

a. The project may not be selected for funding;
b. The amount of funding may be reduced; or
c. Grant award conditions may be placed in the Grant Award.

See RFP Appendix for additional information.

3. Notification Process

Applicants will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a denial letter containing their average score and information on the appeal process.
B. FINALIZING THE GRANT AWARD

1. Standard Project Funding Authority

**Allocation of funds is contingent on the enactment of the State Budget.**
Cal OES does not have the authority to disburse funds until the budget is passed and the Grant Award is fully executed. Expenditures incurred prior to authorization are made at the Recipient’s own risk and may be disallowed. Cal OES employees are not able to authorize an Applicant to incur expenses or financial obligations prior to the execution of a Grant Award. However, once the Grant Award is finalized the Recipient may claim reimbursement for expenses incurred on, or subsequent to, the start of the grant award period.

If, during the term of the Grant Award, the state and/or federal funds appropriated for the purposes of the Grant Award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, Cal OES may immediately terminate or reduce the Grant Award by written notice to the Recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the Recipient to the extent state or federal funds are available for payment of such costs.

Cal OES Grant Awards are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to the execution of the Grant Award.

2. Processing Grant Awards

a. Grant Award Conditions

Cal OES may add grant award conditions to the Grant Award prior to or after funding. If conditions are added, these will be discussed with the Applicant/Recipient and a copy of the conditions will be sent to the Recipient when the conditions are made part of the Grant Award. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by Cal OES.

b. Grant Award Amounts

When the amount of funds available is limited, Cal OES may reduce the amount of the Grant Award from the amount requested by the Applicant. In addition, Cal OES reserves the right to negotiate budgetary changes with the Applicant prior to executing the Grant Award. If either of these actions is required, Cal OES will notify the Applicant prior to executing the Grant Award.

c. Grant Award

A copy of the executed Grant Award and pertinent attachments will be sent to the Project Director. The Applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award is received. When the
executed grant is received a Report of Expenditures and Request for Funds (Cal OES 2-201) may be submitted for reimbursement.

C. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the Recipient’s planning purposes.

1. The Recipient Handbook (RH)

The Recipient Handbook is accessible on our website at www.caloes.ca.gov. Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs” then select “Handbooks, Reports & Publications.” The Recipient Handbook contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the Recipient Handbook requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Award.

PLEASE NOTE: Due to the changes in the new OMB Uniform Guidance CFR 2, Part 200, (Super Circular), the 2015 Subrecipient Handbook (SRH) will not be released until later this year. Until that time, you may continue to use the 2014 Recipient Handbook (RH). However, some changes that will eventually be included in the 2015 SRH were made to this RFP; therefore this RFP supersedes the 2014 RH.

2. Communications (RH 11500)

Projects must maintain a current telephone number and internet access with an e-mail address (see Section 2340.1), as well as a current postal address and physical location within the State of California.

3. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit Progress Reports required by the Program. Projects are required to keep accurate records to document the information reported in the Progress Reports. The records must be kept by the project for a period of seven years. During site/monitoring visits, Cal OES will review these records for accuracy and compare them with the reported data submitted on the Progress Reports.


Community-based organizations (CBOs) shall submit a monthly Report of Expenditures and Request for Funds (Cal OES 2-201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form Cal OES 2-201 will result in
the withholding of funds and may result in the recommendation to Cal OES Director for termination of the Grant Award.

5. Technical Assistance and Site Visits (RH 10200-10300)

Funded projects are assigned a Cal OES Program Specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award. Program Specialists are available to assist the Recipient in the successful implementation of the project and in meeting the administrative requirements of the Grant Award. New projects should expect a site visit from the assigned Program Specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (RH 10400)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the Program, the Grant Award, the program guidelines (if applicable), the RFA/RFP, and the Recipient Handbook. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (RH 8100)

To safeguard Cal OES assets and to ensure that all funds are accounted for, Cal OES requires that organizations receiving a Cal OES Grant Award(s) be audited in accordance with the Recipient Handbook.

8. Source Documentation (RH 10111)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award. Recipients are to retain source documentation for Progress Reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program-specific source documentation are delineated in the RFP instructions. Recipients will be required to have written job descriptions on file for positions funded by Cal OES detailing specific grant-related activities to achieve project objectives.

9. Fidelity Bond (RH 2160)

Private CBOs and American Indian organizations are required to obtain and send to Cal OES a copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of Cal OES-funded projects within 60 days of the signed Grant Award. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award. The beneficiary named on the bond or an endorsement must include the “State of California, California Governor’s Office of Emergency Services” and include the Grant Award number for identification purposes.
The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a Recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the Program or Grant Award Conditions.

10. Copyrights, Rights in Data, and Patents (RH 5300-5400)

Cal OES owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award. These ownership rights are detailed in the Recipient Handbook.

D. BUDGET POLICY

This document summarizes information on Cal OES Budget Policy contained in the Recipient Handbook. Additional information may be obtained by accessing the Recipient Handbook at www.caloes.ca.gov. Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs” then select “Handbooks, Reports & Publications.”

1. Supplanting Prohibited (RH 1330)

Grant funds must be used to supplement existing funds for Program activities and not replace funds appropriated for the same purpose. If selected for funding, a written certification must be provided to Cal OES indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit.

2. Project Income (RH 6610)

Project income, such as client fees and fees for services provided by the Recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Methods of Contracting and/or Procurement (RH 3400)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by Cal OES program staff is required prior to the purchase of equipment in excess of $5,000, or to hire a specific consultant charging over $650 per day. Local units of government may use their approved procurement policy except for contracts over $50,000 which requires prior Cal OES approval. For
organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the Project Budget, a narrative describing the competitive bid process or a sole-source procurement (noncompetitive bid) request will be required. Cal OES will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if Cal OES determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, Recipient Handbook).

4. Match Requirements (RH 6500)

The RFP Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses, or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the Recipient Handbook.

a. State Funds Matching State or Federal Funds (RH 6522)

State and/or federal funds can be used to match other state and/or federal funds only if the following conditions have been met:

1) The other funding source does not prohibit this practice;
2) The funds are to be used for identical activities (e.g., to augment the project); and
3) The project has obtained prior written approval from Cal OES or the terms of the program allow this practice.

b. Type of Match

1) Cash Match (RH 6511)

Cash match, also known as hard match, is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on supplanting. A cash match must be specifically identified by line item as match in the budget.

2) In-Kind Match (RH 6512)

In-kind match, also known as soft match, is the project’s contribution of non-cash outlay of materials or resources to support a percentage of Cal OES’ Grant Award activities. It may include non-cash outlay contributed by other public agencies and institutions, private
organizations, and individuals. Examples include donated office supplies, equipment, professional services, and volunteer time. In general, the value of in-kind contributions is determined by fair market value, which must be specifically identified by line-item as in-kind match in the budget.

5. Travel Policies

The following is Cal OES’ current travel policy:

a. Travel and Per Diem \((RH\,2236)\)

The Applicant may prepare the budget using their own travel policy or the State travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government \((RH\,2236.1)\)

Units of government may use their own written travel policy or the State policy.

2) Community-Based Organizations (CBOs) \((RH\,2236.22)\)

A community-based organization may use the State travel policy or the Applicant’s written policy up to the maximum rates allowed by the State travel policy.

3) Out-of-State Travel \((RH\,2236.11)\)

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for Cal OES approval.

b. State Travel and Per Diem Policy \((RH\,2236.2)\)

Use the following State travel policy for budgeting travel expenses:

1) Meals and Incidentals

a) Breakfast $7.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch $11.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.
c) Dinner $23.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidents $5.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is $46.00 for a 24-hour period.

2) Lodging

The maximum allowed lodging expense is $90.00 per night, plus applicable taxes, (except as noted below). All lodging rates are per night and receipts are required for reimbursement.

3) Special Lodging Rates

- Statewide (excluding counties identified below): $90.00, plus tax
- Napa, Riverside, and Sacramento Counties: $95.00, plus tax
- Los Angeles, excluding the City of Santa Monica, Orange, Ventura Counties and Edwards AFB: $120.00, plus tax
- Alameda, Monterey, San Diego, San Mateo, and Santa Clara Counties: $125.00, plus tax
- City & County of San Francisco and the City of Santa Monica: $150.00, plus tax

4) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 57.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

5) Other

Taxi, airport shuttle, etc., which exceed $3.50 must be supported by receipt. Parking in excess of $10.00 must be supported by receipt.

6. Participating Staff (RH 4500)

The term "participating staff" refers to salaried employees of a participating agency assigned to work with the Recipient on the implementation of a project. The agreement between the Recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with
participating staff must be itemized in the Operating Expenses category of the grant budget.

7. Independent Contractor or Consultant Services (RH 3710)

Services are provided on a contractual basis by individuals or organizations not directly employed by the Applicant. Independent contractors or consultants must not be used in lieu of employees and are defined as individuals or organizations meeting some or all of the following criteria:

- Produce a specific product or service;
- Work independently without direct supervision from the Applicant;
- Work on specific projects;
- Provide services for a limited number of hours or period of time; and/or
- Have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. Rates (RH 3710.1)

The maximum rate for independent contractors or consultants is $650.00 (excluding travel and per diem costs) for an eight-hour day. An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. A request for compensation for over $650 a day must have prior approval from Cal OES and additional justification.

1) Independent Contractors or Consultants Employed by State and Local Government (RH 3710.1.1)

Compensation for independent contractors or consultants will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (RH 3710.2)

Projects, which routinely utilize “expert witnesses” as independent contractors or consultants to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. Unless otherwise prohibited, the maximum allowable rate for such witness fees is $250 per hour, and is not to exceed $2,000 per day. The total amount budgeted for expert witness fees must not exceed 10% percent of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s), including a statement regarding recognition by the court of the individual as an expert;
- Specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT); Medical Doctor (MD)];
- Rate of pay per hour including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation); and
- Justification why this cost cannot be paid with other funds (attach the justification to Cal OES 2-106a).

8. Facility Rental (RH 2232)

Up to $24.00 per square foot annually ($2.00 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit. Exceptions to the above rates and/or square footage must be approved by Cal OES and requires appropriate justification.

- Rental Space for Training, Shelter, Counseling rooms, and other required space (RH 2232.1)
- Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (RH 2233)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by Cal OES prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (RH 2180)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not to exceed ten percent (10%) of direct salaries and wages, either including or excluding benefits; or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by Applicant for indirect costs if allowable by the funding source.

11. Audit Costs (RH 8150)

Recipients expending less than $750,000 in federal funds annually cannot use federal funds to reimburse for costs associated with audits. Recipients expending $750,000 or more in federal grant funds annually are required to secure an audit
pursuant to OMB Circular A-133 and are allowed to utilize federal grant funds to budget for the audit costs.

Specifically, the allowable audit costs are as follows:

- If the total project cost is less than or equal to $150,000, the project may budget up to $2,000 for the financial audit cost; or
- If the total project cost is greater than $150,000, the project may budget up to one and a half percent (1.5%) of the total project cost for financial audit costs.

12. Equipment (RH 2300)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and a cost of $5,000 or more per unit (excluding tax).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the Recipient for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by Cal OES is required.

b. Computers and Automated Equipment (RH 2340)

1) Community-Based Organizations (RH 2342.1)

CBOs may budget up to $25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal OES will evaluate the proposed purchase on the basis of grant-related need. Prior approval by Cal OES is required.

2) Units of Government (RH 2342.2)

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal OES will evaluate the proposed purchase on the basis of grant-related need. Cal OES must give approval prior to purchase.

3) Computer Purchase Justification (RH 2341)

Approval for purchases of computers and automated equipment is contingent on the Applicant’s ability to demonstrate cost-effective,
project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the Applicant will be sent instructions for preparing the justification.

13. Prohibited Expense Items (RH 2240)

a. Bonuses or Commissions (RH 2241)

Projects are prohibited from paying any bonuses or commissions to any individual, organization, or firm unless specifically authorized by the terms of the Program.

b. Lobbying (RH 2242)

Refer to RH 2242.1 for an extensive list of prohibited activities.

c. Fundraising (RH 2243)

Cal OES grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (RH 2244)

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

e. Interest (RH 2245)

The cost of interest payments is only allowable if the cost is a result of a lease/purchase agreement.

f. Charges, Fees, and Penalties (RH 2245)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

g. Food and Beverages (RH 2246)

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

h. Weapons and Ammunition (RH 2247)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.
i. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

j. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

k. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFP instructions.

l. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.
NOTE: The Applicant is strongly encouraged to review the following sections before preparing the proposal:

A. COUNTIES BY CAUCUS
B. PROPOSAL FORMS (including web links)
C. OTHER FUNDING SOURCES FORM
D. RATING FORM
E. SUMMARY OF THE PAST PERFORMANCE POLICY
F. GLOSSARY OF TERMS
## Counties by Caucus

<table>
<thead>
<tr>
<th>Urban</th>
<th>Suburban</th>
<th>Rural</th>
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<tr>
<td>Alameda</td>
<td>Butte</td>
<td>Alpine</td>
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<td>Contra Costa</td>
<td>Fresno</td>
<td>Amador</td>
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<td>Los Angeles</td>
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<td>Orange</td>
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<td>Riverside</td>
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<td>Del Norte</td>
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<td>Sacramento</td>
<td>Merced</td>
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<td>San Bernardino</td>
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<td>Yuba</td>
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PROPOSAL FORMS

Click the link below to access Cal OES forms or go to www.caloes.ca.gov. Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs” then select “Forms.” Or, paste the following link into your browser:

http://www.caloes.ca.gov/grant-forms

OTHER FUNDING SOURCES
Complete this form to report the total funds available to your agency from other than Cal OES funding sources to support the activities related to accomplishing similar goals and objectives of this Grant Award. In the “Grant #” column, report the Grant Award number provided. In the “Fund Source” column, report the name of the agency providing the funding. In the “Amount” column, report the amount of funds available. In the “Grant Award Period” column, report the start and end date of the award. In the “Purpose” column, add a brief statement to identify the purpose for these additional funds.

Example

<table>
<thead>
<tr>
<th>GRANT #</th>
<th>FUND SOURCE</th>
<th>AMOUNT</th>
<th>GRANT AWARD PERIOD</th>
<th>PURPOSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014-VA-DE-0022</td>
<td>Victims of Crime</td>
<td>200,000</td>
<td>7/1/14 – 6/30/14</td>
<td>Provide therapy services to child victims</td>
</tr>
</tbody>
</table>

**OTHER FUNDING SOURCES**

(Enter numbers without $ or decimal points.)

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<tr>
<th>GRANT #</th>
<th>FUND SOURCE</th>
<th>AMOUNT</th>
<th>GRANT AWARD PERIOD</th>
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Other Funding Sources for Non-Profits (Revised 4/2/2013)
**CHILD ABUSE TREATMENT (CHAT) PROGRAM**

**RATING FORM**

Control #: ______________________
Rater #: ______________________

Applicant: ____________________________________________________________

Funds Requested: ______________________________________________________

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>TOTAL POINTS POSSIBLE</th>
</tr>
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<tbody>
<tr>
<td>1. PROBLEM STATEMENT</td>
<td>120</td>
</tr>
<tr>
<td>2. PLAN AND CAPABILITIES</td>
<td>360</td>
</tr>
<tr>
<td>3. BUDGET</td>
<td>60</td>
</tr>
<tr>
<td>4. COMPREHENSIVE ASSESSMENT</td>
<td>80</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td><strong>620</strong></td>
</tr>
</tbody>
</table>

Each of the above categories contain questions assigned a point value. The point scale is divided into five columns labeled I, II, III, IV, and V. The Applicant's response to each question is evaluated on the following criteria:

I. **ABSENT**: The response does not address the specific question or a response was not provided.

II. **UNSATISFACTORY**: The response does not completely address the question. The information presented does not provide a good understanding of Applicant's intent, does not give the detailed information requested by the RFP, and/or does not adequately support the proposal or the intent of the Program.

III. **SATISFACTORY**: The response addresses the question and provides a good understanding of the Applicant's intent. The response adequately supports the proposal and the intent of the Program.

IV. **ABOVE AVERAGE**: The response is above average and provides a clear and detailed understanding of the Applicant's intent. The response presents a persuasive argument that supports the proposal and the intent of the Program.

V. **EXCELLENT**: The response is outstanding, with clear, detailed and relevant information. The response presents a compelling argument that supports the proposal and the intent of the Program.
1. **PROBLEM STATEMENT (Maximum 120 points)**

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<td>f.</td>
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</table>

- a. How well does the Applicant describe the geographical size and location?
- b. How well does the Applicant describe the current demographics?
- c. How well does the Applicant describe the substantiated cases and reports of child abuse, neglect, domestic violence, community violence, child abduction, school bullying and other crimes against children with data no older than 2013?
- d. How well does the Applicant describe the services and resources currently available to children, including their strengths and weaknesses, availability and accessibility?
- e. How well does the Applicant describe the services needed to address the victimization of children?
- f. How well does the Applicant describe the prevalence of statutory rape, sexual exploitation, dating violence, runaways, substance abuse, and other problems experienced by youth/adolescents?

2. **PLAN AND CAPABILITIES (Maximum 360 points)**

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<td>a.</td>
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</table>

- a. How well does the Applicant describe the eligibility process of how the child victim is determined to receive psychotherapy services?
- b. How well does the Applicant describe the process of gathering relevant background information of child victims and usage of standardized psychological assessment and evaluation tools?
- c. How well does the Applicant describe the processes required for informed consent, informing parent/caregivers of treatment of child clients age 12 and above, release of information and client confidentiality?
- d. How well does the Applicant describe what the treatment plan will consist of, how it will be formulated, and how often it will be reviewed and revised?
- e. How well does the Applicant describe how psychotherapy services will be delivered to child victims?
<p>| | | | | | |</p>
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<tbody>
<tr>
<td>f.</td>
<td>How well does the Applicant describe the recordkeeping and management process of accessing records; note-taking practices; and how clinical records will be filed and maintained?</td>
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<tr>
<td>g.</td>
<td>How well does the Applicant describe what instruments and/or utilization of other resources are used to measure treatment outcome/effectiveness of therapy and/or post assessment, including the periodic intervals used by the clinical staff to evaluate the process of psychotherapy treatment?</td>
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<td>h.</td>
<td>How well does the Applicant describe their process for consultative and clinical supervision?</td>
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<tr>
<td>i.</td>
<td>How well does the Applicant describe the clinical staff’s qualifications, ability to provide various psychotherapy modalities and make treatment available and accessible to the range of child victims in the services area?</td>
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<td>j.</td>
<td>How well does the Applicant describe how the objectives and activities will be achieved within one year of operation?</td>
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<td>k.</td>
<td>How well does the Applicant describe how the licensed clinical staff and other support staff are to achieve the stated objectives?</td>
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<td>l.</td>
<td>How well does the Applicant describe how the source documentation will be collected and maintained to measure results?</td>
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<tr>
<td>m.</td>
<td>How well does the Applicant describe how source documents are defined and records are used to validate the Applicant’s activities and achievements as these pertain to the objectives outlined?</td>
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<td>n.</td>
<td>How well does the Applicant describe their administrative functions to comply with the grant guidelines?</td>
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<td>o.</td>
<td>How well does the Applicant describe their experience collaborating with governmental, non-profit and community based organizations?</td>
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<td>p.</td>
<td>How well does the Applicant describe their experience in providing therapeutic services to child victims?</td>
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<td>q.</td>
<td>How well does the Applicant describe their experience implementing a grant program?</td>
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</table>
r. How well does the Applicant describe their experience working in a victim services focused grant program?

3. **BUDGET, including Budget Narrative** (Maximum 60 points)  

<table>
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<th>IV</th>
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</thead>
<tbody>
<tr>
<td>a.</td>
<td>How well does the Budget Narrative support the proposal objectives and activities, and the intent and requirements of the Program?</td>
<td>0</td>
<td>5</td>
<td>10</td>
<td>15</td>
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<tr>
<td>b.</td>
<td>How well are the funds allocated in the Budget Category Forms? How well do the line items support the proposal plan, objectives, and activities of the Program?</td>
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<td>c.</td>
<td>How well do the funds allocated on the Budget Category Forms comply with the VOCA guidelines that only direct costs may be budgeted for on the grant?</td>
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4. **COMPREHENSIVE ASSESSMENT** (Maximum 80 points)  

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</table>

How well does this proposal support the overall intent, goals, and purpose of the Program?
The following is a summary of the Cal OES Past Performance Policy. A complete copy may be obtained by sending a written request to the Assistant Director, Grants Management, at:

California Governor’s Office of Emergency Services  
Criminal Justice/Emergency Management & Victim Services Branch  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: CHAT Program RFP – Children’s Unit  
Fax: (916) 636-3770

1. General Policy

This policy is intended to penalize existing Recipients having serious performance problems and will be utilized only in connection with the RFP process on the awarding of grants for new funding cycles. It was developed in consultation with Cal OES advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process.  
Level B: 10% point reduction of total possible points from an Applicant’s score.

3. Standard for Invoking a Penalty

The standard for invoking either penalty is dependent upon the Recipient’s compliance with grant terms and conditions (excluding minor incident(s) of noncompliance).

a. Serious Performance Problems Eligible For Consideration

Performance problems which would qualify under this policy include, but are not limited to:

1) Significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation.

2) Violation(s) of material statutory requirements related to the grant;

3) A willful or grossly negligent violation of a Cal OES policy, or Terms of the Program, but only after the Recipient had been provided:
   a) Technical assistance by Cal OES, including a site visit if necessary, to remedy the violation;
   b) At least one written notice (per violation); and
   c) A reasonable opportunity to remedy the violation.
Written notice of serious performance problems will be provided to the Recipient’s Executive Officer. Failure to remedy the violation may negatively impact the Recipient’s eligibility for future funding.

It is not necessary for a criminal conviction to have occurred for Cal OES to consider actions appearing to constitute fraud, embezzlement, mishandling of funds or other types of statutory violations. Cal OES must only have reliable evidence this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

1) The seriousness of the problem;
2) Whether the problem identified was intentional;
3) Whether the problem revealed dishonest behavior by the Applicant;
4) Whether the interests of the State or the public were harmed by the problem;
5) Whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
6) Whether the problem was documented objectively; and
7) Whether Cal OES attempted to assist the Recipient in remedying the problem.

c. Specific Examples

Performance problems are considered on a case-by-case basis and take the totality of the circumstances into consideration. The following examples are not intended to be binding or restrictive of Cal OES authority to determine the appropriate penalty in a particular case:

1) Cal OES conducts a visit of a project and makes the following findings:
   a) The shelter failed to pay overtime on two occasions;
   b) Three timesheets did not contain a supervisor’s approval; and
   c) The project’s doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

   A corrective action plan is developed and the Recipient takes steps to address the findings. Communication with the Recipient four months later shows the findings have been corrected.
   **Penalty: None**

2) One year ago, an audit discovered that a project employee embezzled $300 of Cal OES funds. The audit concludes this occurred in part due to inadequate management controls and supervision by the project. The employee was fired and the case submitted to the District Attorney’s office for prosecution.
The Recipient has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the Recipient are known.

**Penalty: Level B**

3) A project has agreed to provide victim advocacy services in County X. The Recipient spends $40,000 on non grant-related expenses and does not provide the services. This is documented in the Site Visit Report. The project's Progress Reports to Cal OES report that the services are being provided. Cal OES refers the matter to the District Attorney for prosecution, but no additional steps have yet to be taken.

**Penalty: Level A**

4. **Notification to the Applicant and Appeal of Decision**

   A letter will be sent by certified mail to the Applicants that are denied funding due to past performance problem(s). The Applicant shall be provided with a summary of why the performance problem penalty was invoked. The Applicant is entitled to appeal the denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.
### GLOSSARY OF TERMS

<table>
<thead>
<tr>
<th>TERM</th>
<th>DEFINITION</th>
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<tbody>
<tr>
<td>Activity</td>
<td>The specific steps or actions that a project takes to achieve a measurable objective.</td>
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<tr>
<td>Administrative Agency or Recipient</td>
<td>The agency or organization designated on the Grant Award Face Sheet that receives grant funds and is responsible to accomplish the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau). The Recipient was formerly referred to as the “Grantee.”</td>
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<tr>
<td>Application</td>
<td>Once selected for funding, the original proposal plus any additional forms as required by Cal OES becomes the application.</td>
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<tr>
<td>CFR</td>
<td>Code of Federal Regulations</td>
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<tr>
<td>Community-based Organization (CBO)</td>
<td>A nonprofit, public benefit corporation.</td>
</tr>
<tr>
<td>Competitive Bid</td>
<td>A contract process used when all suppliers are equally or nearly equally qualified to provide the services.</td>
</tr>
<tr>
<td>Equal Employment Opportunity Plan (EEOP)</td>
<td>A comprehensive plan that analyzes the agency’s workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc), and in the delivery of services and benefits.</td>
</tr>
<tr>
<td>Equal Employment Opportunity (EEO) Checklists</td>
<td>An EEO Checklist is a document used by program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal OES in verifying that Recipients are in compliance with state and federal Civil Rights Laws.</td>
</tr>
<tr>
<td>Grant Award</td>
<td>The signed final agreement between Cal OES and the local government agency or organization authorized to accept grant funding.</td>
</tr>
<tr>
<td>Grant Funding Cycle</td>
<td>The number of years a program may be funded without competition.</td>
</tr>
<tr>
<td><strong>Grant Funding Period</strong></td>
<td>The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the Project Narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Cal OES 2-101).</td>
</tr>
<tr>
<td><strong>Implementing Agency</strong></td>
<td>The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).</td>
</tr>
<tr>
<td><strong>Monitoring Report Response Form</strong></td>
<td>Form sent to the Recipient with the Monitoring Report. The form is completed by the Recipient and returned to the Cal OES Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.</td>
</tr>
<tr>
<td><strong>Noncompetitive Bid (NB)</strong></td>
<td>A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances).</td>
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</table>
| **Nonprofit Organization (aka Community-Based Organization)** | A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c)(3) for Recipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:  

   (1) Proof that the Internal Revenue Service recognizes the Applicant has the status of a 501(c)(3).  

   (2) A statement from a state taxing body or the state Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the state; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual.  

   (3) A certified copy of the Applicant’s Certificate of Incorporation or similar document that clearly establishes the nonprofit status of the Applicant.  

   (4) Any item described in (1) through (3) if that item applies to a state or national parent organization, together with a statement by the state or parent organization that the Applicant is a local nonprofit affiliate. |
<table>
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<tr>
<th><strong>Objectives</strong></th>
<th>A set of quantifiable projections to be carried out in order to accomplish the Program goals.</th>
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<tr>
<td><strong>On Site</strong></td>
<td>Refers to the location of operation of the Grant Award Recipient. If multiple sites exist, the site that provides the project Recipients with Program direction qualifies as the “on-site location.”</td>
</tr>
<tr>
<td><strong>Operational Agreement (OA)</strong></td>
<td>A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.</td>
</tr>
<tr>
<td><strong>Participating Agency</strong></td>
<td>An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.</td>
</tr>
<tr>
<td><strong>Participating Staff</strong></td>
<td>A salaried employee of a Participating Agency.</td>
</tr>
<tr>
<td><strong>Program</strong></td>
<td>A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.</td>
</tr>
<tr>
<td><strong>Project</strong></td>
<td>The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.</td>
</tr>
<tr>
<td><strong>Proposal</strong></td>
<td>The packet of forms and narrative as requested by the RFP and submitted to Cal OES that specified the priorities, strategies, and objectives of the Applicant.</td>
</tr>
<tr>
<td><strong>Recipient Handbook</strong></td>
<td>This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <em>Recipient Handbook</em> is accessible at <a href="http://www.caloes.ca.gov">www.caloes.ca.gov</a>. Select “Cal OES Divisions”, scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management &amp; Victim Services Grant Programs” then select “Handbooks, Reports &amp; Publications.” The <em>Recipient Handbook</em> was previously called the <em>Grantee Handbook</em>.</td>
</tr>
<tr>
<td><strong>Recipient or Administrating Agency</strong></td>
<td>The agency or organization designated on the Grant Award Face sheet that receives the grant funds and will be responsible for accomplishing the planned objectives and Program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).</td>
</tr>
<tr>
<td><strong>Request for Application (RFA)</strong></td>
<td>The RFA is a noncompetitive process issued by Cal OES to obtain applications from Applicants previously selected for funding.</td>
</tr>
<tr>
<td><strong>Request for Proposal (RFP)</strong></td>
<td>The RFP is issued by Cal OES to solicit competitive proposals in order to select projects for funding.</td>
</tr>
<tr>
<td><strong>Single Source</strong></td>
<td>This term has been replaced by the term &quot;noncompetitive bid.&quot;</td>
</tr>
<tr>
<td><strong>Sole Source</strong></td>
<td>This term has been replaced by the term &quot;noncompetitive bid.&quot;</td>
</tr>
<tr>
<td><strong>Source Documentation</strong></td>
<td>Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award.</td>
</tr>
<tr>
<td><strong>Supplanting</strong></td>
<td>To reduce federal, state, or local funds because of the existence of Cal OES funds. Supplanting occurs when a Recipient deliberately replaces its non-Cal OES funds with Cal OES funds, thereby reducing the total amount available for the stated purpose.</td>
</tr>
<tr>
<td><strong>Terms of the Program</strong></td>
<td>The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], Grant Award, Cal OES policy statements, and applicable statutes. In the event the terms of the Program are inconsistent with the provisions of the Recipient Handbook, the terms of the Program shall be interpreted and construed as superseding the provisions of the Recipient Handbook.</td>
</tr>
<tr>
<td><strong>USC</strong></td>
<td>United States Code</td>
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