

Administrative Procedure #11
Research and Demonstration Grants

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Section 11.1 Purpose

The purpose of these procedures is to explain the process used to plan and implement the Department's Research and Demonstration Program. Included in these procedures will be a description of the various types of research and demonstration grants, how they are acquired, disbursed and managed, and the roles and responsibilities within the Department for the most effective and efficient management of the program.

Section 11.2 Definition of Terms

As used in this document:

- o CONTRACT means: a written and signed legally binding agreement which details goods or services to be provided by a vendor and the rate and method of payment for such services.
- o DELIVERABLE means: measurable, tangible goods and/or services which a provider agrees to deliver in return for financial compensation; specifications of deliverables are usually defined in a contract.
- o EVALUATION means: the process of assessing the efficiency and effectiveness of programs as measured against predetermined goals and objectives. Evaluation activities involve the systematic measurement of social services to assess program input, program or management processes, or program outputs in order to establish definitive relationships among them as a means by which to determine the value, worth or quality of the program. It involves application of the principles of research design to distinguish a program's effects from the effects of other factors and is directed toward program improvement through modifications of current operations.
- o FEDERAL DISCRETIONARY GRANT means: a grant awarded by the Federal government based upon a state's submission of competitive application (usually to the Department of Health and Human Services in reply to the annual federal Request for Proposals).
- o FEDERAL FORMULA GRANT means: a non-competitive grant received by the Department for a specified population or specific program on a formula basis, including population distribution and clients served.
- o MONITORING means: the process by which the Department determines whether an expected or anticipated event does occur, through tracking, compliance and account ability checks and documentation of whether

programs conform with previously defined program goals and standards.

- o NEEDS ASSESSMENT
means: a formal or informal study of the incidence and/or extent of a problem within a specified geographical area or within a given population.
- o PROJECT COORDINATOR
means: the DCFS staff person designated to interface between the Project Director and Project Officer.
- o PROJECT DIRECTOR
means: the individual charged with the overall responsibility of directing the project to completion, including but not limited to hiring staff, managing day-to-day operations and fiscal matters, and fulfilling all reporting requirements.
- o PROJECT OFFICER
means: the DCFS staff person designated to interface between the funding source and the Project Coordinator or, if there is no Project Coordinator, with the Project Director.
- o PLANNING, BUDGETING AND EVALUATION
means: the methodical process through which all DCFS activities related to managing resources and serving clients are logically organized and integrated. This system is ongoing and includes the following phases:
 - a Planning Phase in which service needs are analyzed and operational activities are identified to meet these service needs;
 - a Budgeting Phase in which monetary priorities are established to support activities identified during the Planning Phase; and
 - an Evaluation Phase in which the expected outcomes identified during the Planning and Budgeting Phases are thoroughly analyzed.
- o REQUEST FOR PROPOSAL (RFP)
means: an invitation to bid for a grant which the Department uses to determine to whom the grant monies will be awarded.
- o STATE CHILD ABUSE GRANTS means: grants which are funded from the Department line item, Grants-in-Aid for Research and Treatment of Child Abuse and Neglect.

- o USER DIVISION
means: The Division/Executive Unit that will directly benefit from the research or demonstration project.

Section 11.3 Types of Research and Demonstration Grants

There are four types of research and demonstration grants used by the Department. They are:

1. Federal Formula Child Abuse Grants
2. Federal Discretionary Grant Projects
3. State Child Abuse Grants
4. Foundation and other private sector grants

These various types of grants are distinguished primarily by their funding source. The funding source, in most instances, will dictate the requirements to be followed in obtaining, disbursing and managing the grant, as well as the requirements for monitoring and evaluating the grant project.

The following is a description of the four types of grants listed above.

- 1) Federal Formula Child Abuse Grants. These are federal funds made available under Public Law 93-27 to the state on an annual basis for the general purpose of preventing and treating child abuse and neglect. They may be used to support staff, subsidize special projects or to support open competitive grants to local service providers. The amount of funds made available is based on a formula which takes into consideration the statewide population of children under 18 years of age.
- 2) Federal Discretionary Grant Projects. These are federal funds disbursed on a competitive basis to support:
 - o research activities that develop new ways of addressing human service problems;
 - o the transfer and implementation of previously developed techniques and knowledge;
 - o evaluations that assess the efficiency of existing programs, and;
 - o projects that improve the delivery and management of social services.

These competitive funds are discretionary in that the Secretary of the Department of Health and Human Services makes them available based upon his/her judgment as to the effectiveness of proposed grant programs. These grants are described in more detail in [Section 11.8](#).

- 3) State Child Abuse Grants. These are grants-in-aid for the research and treatment of child abuse and neglect which are funded through General Revenue funds. Applicants are chosen to receive these grants through a formal application process. These grants are described in more detail in [Section 11.9](#).
- 4) Foundations and Other Private Sector Grants. These grants, which can be used for specialized projects, are made possible through foundations and private sector funding.

Section 11.4 Goals of the Research and Demonstration Program

Research and demonstration projects support the Department's goals established through the Planning, Budgeting and Evaluation System (see [Section 11.6, Development of a Research and Demonstration Plan.](#))

The ultimate purpose of the Research and Demonstration Program is to upgrade the quality of service delivery to clients. The specific goals of the program are:

1. To support activities which research, create and design new programs and new approaches to service delivery to meet the needs of Department clients or new client populations;
2. To systematically test and evaluate new programs or new approaches to service delivery to determine if and how the project should be disseminated, replicated or institutionalized; or
3. To smoothly transition and institutionalize models which have demonstrated effectiveness and efficiency.

The methods through which goals of the research and demonstration program are achieved include the following activities:

1. Applied research
2. Development or demonstration of new client services and new approaches to service delivery
3. Evaluation, consultation and technical assistance
4. Development of education or public awareness materials
5. Coordination or mobilization of community resources.

Section 11.5 Administration of the Research and Demonstration Program

A. Rationale

The goals of the Research and Demonstration Program can best be achieved when it is administered centrally. The essential purpose of the centralized administration is to assure:

- o Full participation of all units and levels within the Department in the determination of priorities for research and demonstration, the creative development of innovative projects, the selection of projects to be funded, and the dissemination of the results of projects.
- o Establishment and enforcement of clear lines of authority and accountability.

B. Roles and Responsibilities

1. The Director's Office is responsible for making major decisions pertaining to the Research and Demonstration Program and for

transmitting official communications. Specifically, these responsibilities include:

- o Determining overall goals and spending priorities based on recommendations developed according to procedures in [Section 11.6](#)
 - o Approving the selection of recipients of State Child Abuse Grants and the contractor(s) of Federal Discretionary and Formula grants
 - o Approving and transmitting all plans and reports required by the Federal Formula Child Abuse Grant to Region V.
 - o Approving and transmitting all concept papers, grant applications, and required reports for Federal discretionary grants to the appropriate office in the Department of Health and Human Services
 - o Transmitting copies of award letters for federal grants to the Division of Policy and Plans, the user division, and the Division of Management and Budget.
 - o Approve RFP's
 - o Transmitting award letters to recipients of State Child Abuse Grants.
 - o Approving recommendations to terminate funding.
 - o Directing user divisions to incorporate funding in their budget requests for demonstration projects that will be institutionalized.
2. The Division of Policy and Plans is responsible for overall administration of the Research and Demonstration Program. This responsibility shall be fulfilled by performing the following functions:
- o Executing the process for identifying research and demonstration priorities and producing the annual Research and Demonstration Plan.
 - o Developing an annual Research and Demonstration budget and spending plan.
 - o Presenting to the Director the budget and spending plan and subsequent additions/deletions to the budget and spending plan.
 - o Seeking opportunities for obtaining grants from federal, state and private sources.
 - o Directing the preparations of and submitting the application for the Federal Formula Child Abuse Grant.
 - o Directing the preparation of and submitting concept papers and applications for Federal discretionary grants.

- o Managing the process by which State Child Abuse Grants are awarded.
 - o Coordinating the management of research and demonstration grant projects.
 - o Assuring that all required reports, both state and federal, meet prescribed specifications and are submitted as scheduled.
 - o Producing a monthly financial report on the status of research and demonstration funds and funded projects.
 - o Recommending to executive staff, as needed, spending options and corrective actions.
 - o Producing the Research and Demonstration Annual Report on grant funded projects.
 - o Coordinating the dissemination of results and the institutionalization of successful projects.
3. The Program Reporting and Accounting Office of the Division of Management and Budget is responsible for assuring that the proposed budget for federal grants is correctly and appropriately developed and that financial accounting of transactions involving grant funds is complete, accurate and in conformance with federal and state regulations. This responsibility shall be fulfilled by performing the following functions:
- o Reviewing all concept papers and applications for federal grants to assure that
 - The budget lines of the proposed budget are consistent with the Department's budget lines.
 - The State match is correctly and appropriately defined.
 - o Establishing and maintaining appropriate accounting records for each grant.
 - o Reviewing and approving all contracts paid from grant funds and contract amendments before they are filed.
 - o Reviewing all vouchers for payment for compliance with the comptroller's regulations before submission for payment.
 - o Preparing quarterly financial reports on all grants.
4. All other divisions and units within the Department are responsible for participating in the development, implementation, dissemination and institutionalization of grant funded projects. These responsibilities shall be fulfilled by performing functions included in but not limited to the following:
- o Assessing the need for research and demonstration projects.

- o Proposing ideas for research and demonstration projects and reviewing ideas of other divisions/units.
- o Recommending research and demonstration priorities and projects to be funded.
- o Drafting, with technical assistance and consultation from the Division of Policy and Plans concept papers and grant applications for federal grant funds.
- o Implementing, in accordance with procedures in [Section 11.11](#), grant projects assigned to the user division/unit, including but not limited to the development of contracts, hiring of staff, managing day-to-day operations, monitoring project results and expenditures, and preparing required reports including fiscal close-out.
- o Disseminating project results in ways that include but are not limited to recommending changes in rules, procedures or handbooks, proposing plans for institutionalization, developing budget requests and justifications, preparing information materials, making presentations at meetings and conferences.

Section 11.6 Research and Demonstration Plan

A three-year Research and Demonstration Plan shall be issued by the Division of Policy and Plans at the beginning of each fiscal year for the time period covering the budgeted fiscal year and the two following fiscal years.

A. Elements

This plan shall include the following elements:

- o Program Description
 - o Program Analysis
 - o Statement of Needs
 - o Statement of Priorities
1. The Program Description section shall include a brief history of the program, a summary of rules and procedures that govern the program, and a statement of purpose.
 2. The Program Analysis section shall:
 - o Describe existing research and demonstration projects: their purpose, source and level of funding, time frames, administrative structure and preliminary results.
 - o Present a summary analysis of each project that was completed in the preceding year.
 3. The Statement of Needs section shall summarize the results of the research and demonstration needs assessment. Needs shall be classified in the following categories:
 - o Statewide program demonstration needs

- o Managing the process by which State Child Abuse Grants are awarded.
 - o Coordinating the management of research and demonstration grant projects.
 - o Assuring that all required reports, both state and federal, meet prescribed specifications and are submitted as scheduled.
 - o Producing a monthly financial report on the status of research and demonstration funds and funded projects.
 - o Recommending to executive staff, as needed, spending options and corrective actions.
 - o Producing the Research and Demonstration Annual Report on grant funded projects.
 - o Coordinating the dissemination of results and the institutionalization of successful projects.
3. The Program Reporting and Accounting Office of the Division of Management and Budget is responsible for assuring that the proposed budget for federal grants is correctly and appropriately developed and that financial accounting of transactions involving grant funds is complete, accurate and in conformance with federal and state regulations. This responsibility shall be fulfilled by performing the following functions:
- o Reviewing all concept papers and applications for federal grants to assure that
 - The budget lines of the proposed budget are consistent with the Department's budget lines
 - The State match is correctly and appropriately defined.
 - o Establishing and maintaining appropriate accounting records for each grant.
 - o Reviewing and approving all contracts paid from grant funds and contract amendments before they are filed.
 - o Reviewing all vouchers for payment for compliance with the comptroller's regulations before submission for payment.
 - o Preparing quarterly financial reports on all grants.
4. All other divisions and units within the Department are responsible for participating in the development, implementation, dissemination and institutionalization of grant funded projects. These responsibilities shall be fulfilled by performing functions included in but not limited to the following:
- o Assessing the need for research and demonstration projects.

All three phases must be completed by July 1 to direct spending of the Federal Formula Child Abuse Grant, the awards process for State Child Abuse Grants, and the selection of topics for discretionary federal grants.

3. Establishing a Research and Demonstration Spending Plan

The Division of Policy and Plans shall coordinate the development of a Research and Demonstration Spending Plan for the budgeted fiscal year. The plan shall comprise spending options for the Federal Formula Child Abuse Grant and State Child Abuse Grants. These options shall be based on the research and demonstration objectives approved by the Director.

The Deputy Director of the Division of Policy and Plans shall meet with other Executive Staff to review the proposed Research and Demonstration Spending Plan. The primary purpose of this meeting shall be to:

- o Secure comments regarding the impact of the proposed spending plan on affected Divisions.
- o Formulate a plan of action which outlines how a particular research and demonstration objective could be implemented.
- o Identify criteria for monitoring activities associated with the proposed spending plan.

The Division of Policy and Plans shall use the information collected during the above meetings, where appropriate, to revise the proposed spending plan and to develop a decision memorandum for the Director.

Selected projects and their maximum funding levels shall be approved by the Director on a return copy of the decision memorandum. The spending plan shall become official only after this approval is signed by the Director. Subsequent suggestions for additions/deletions to the spending plan shall be addressed to the Deputy Director of Policy and Plans who will be responsible for incorporating the suggestions into a decision memorandum for the Director.

The Division of Policy and Plans shall update the spending plan quarterly or as necessary.

Section 11.7 Federal Formula Child Abuse Grant

A. Federal Requirements

The Federal government requires that Federal Child Abuse Formula Grant funds be utilized for specific purposes. These funds must be utilized to strengthen and carry out child abuse and neglect prevention and treatment programs. The Federal government requires that these funds increase the state's programmatic capability to provide child abuse and neglect services and to upgrade the quality of child abuse services.

B. Calendar

This grant's funding cycle begins in January when the Federal government publishes the technical specifications and requirements. Illinois is required to submit its application in March. The Federal government makes initial awards in August for the federal fiscal year beginning October 1. The Federal government reallocates unclaimed funds to eligible states (including Illinois) in October. The federal government officially approves the carryover of unexpended funds from one fiscal year to the next at the same time.

C. Applications and Budgets

1. The Division of Policy and Plans shall develop and submit the application for this annual Child Abuse Formula Grant. The application includes the following components:
 - o the program budget
 - o goal statement
 - o a program narrative based upon the Illinois Human Services Plan: Phase I
 - o a section outlining the grant's administration

The application's budget is based upon the Department's overall annual budget submission for child abuse services. The budget is revised periodically to permit DCFS to initiate and fund new child abuse programs and activities. Each October the Department's Management and Budget staff shall calculate the amount of unexpended carryover funds, and the Federal Project Officer shall inform the Department of the amount of reallocated funds. Both these sources of funds are utilized to supplement the Grant's existing budget. The Division of Policy and Plans staff shall develop a supplemental budget and supplemental goal statements to utilize the carryover and the reallocated funds. These supplemental budget and goal statements shall be reviewed and approved by the Director and shall then be submitted to the Federal project officer for his review and approval.

D. The Federal Formula Application Process

The Division of Policy and Plans shall develop, prepare, and submit the complete Federal Formula Child Abuse Grant application. This process includes the following activities:

- o A proposed budget for the grant with goal statements for each budget item is prepared. The Department's annual Illinois Human Services Plan: Phase I is used as the basis for the Formula Child Abuse Grant application's narrative.
- o The grant application and budget are submitted to Executive Staff for review and comment.
- o Comments are compiled and the grant application and budget are submitted to the Director for approval.

- o The approved grant application is submitted to the Federal Project Officer for review and approval.

E. Spending Plan

Upon Federal approval, the Grant's budget shall be the operating Spending Plan. Contracts shall be developed and negotiated and program activities shall be implemented. The Grant's budget is based upon the Department's overall research and demonstration Spending Plan (see [Section 11.6](#)). The budget is reviewed and reported to management staff monthly and revised as necessary.

F. Budget Revision Process

As needed, the Division of Policy and Plans shall develop and submit revisions to the program budget. Revised budgets are based upon the Director's Research and Demonstration Priorities as presented in the Research and Demonstration Plan. Revised budgets are designed to secure Federal approval for DCFS to institute new programs or activities. The Revised Budgets are developed and approved through the following process.

- o The proposed Revised Budget is informally reviewed with the Federal Project Officer to determine if the revisions are acceptable.
- o The proposed revisions are prepared with written oral statements and program plans and submitted for Federal review and approval.
- o Upon approval, the impacted Division is notified to proceed with the new program or activity.

G. Reporting Plan

Federal Formula Child Abuse Grant's reports shall be based upon the Federal government's reporting requirements. In September, at the end of the Federal Fiscal Year, the Federal government requires an Annual Report of the results achieved on each grant goal. The Division of Policy and Plans staff shall prepare the Annual Report and submit it to the Federal Project Officer for the Project Officer's review and approval. The Annual Report is required by the end of December.

H. Role of the Division of Management and Budget

The Division of Management and Budget shall be responsible for maintaining the Federal Child Abuse Grant's financial accounting system for processing all contracts and vouchers, and for submitting the required financial expenditure reports to the Federal Project Officer.

Section 11.8: Federal Discretionary Grants

A. Rationale and Goals for Grant Proposals

The goals for the Federal Office of Human Development Services (OHDS) discretionary grants program are established annually by the Assistant Secretary for Human Development Services. These goals are based upon the requirements contained in Federal statutes and the appropriations of which fund these grants. Additional goals and directions are based upon

the administration's programmatic priorities, which include priorities developed by the Secretary of the Department of Health and Human Services (HHS) and the Assistant Secretary for OHDS. Each funding statute (child abuse, child welfare, runaway youth and child development) contains specific limited funding priorities, restrictions, and prohibitions. These statutory priorities remain in force as long as the legislation is in force and is funded by the government. The administration's programmatic priorities change on an annual basis. These priorities are announced in a Request for Proposals which is published in the Federal Register each fall.

B. Grant Proposal Preparation Activities

The Division of Policy and Plans, Office of Program Development and Support, coordinates the overall process by which proposals are prepared to secure federal discretionary funds. The preparation of proposals includes the following specific activities:

- o monitoring funding opportunities
 - o reviewing and analyzing announced priorities
 - o securing guidance and approval to apply for funds
 - o drafting and submitting proposals
1. Monitoring - Funding opportunities shall be monitored through the following methods:
 - maintaining systematic contacts with key Federal officials to keep informed of upcoming Federal Requests for Proposals;
 - reviewing the Federal Register announcements of grant competitions.
 2. Reviewing and analyzing announced priorities - The Federal Request for Proposals shall be analyzed to determine:
 - if available funds relate to DCFS research and service needs;
 - if funding potential justifies the time and work required to prepare the proposal; and
 - the recommended amount of funding to apply for.
 3. Securing guidance and approval to apply for funds - Prior to the issuance of the Federal request for proposals, the Director's Research and Demonstration Priority Statement and the Needs Assessment shall be reviewed with the user divisions to secure ideas and suggestions on what grant application topics will meet the user division's R and D needs.

After the issuance of the Federal request for proposal, the Federal Register announcement shall be reviewed with executive staff to secure additional ideas and suggestions on possible topics to apply for.

The Deputy Director sends a decision memorandum to the Director which summarizes recommended grant topics.

The Director determines the topics for which grant applications will be written.

C. Grant Application Process

The Division of Policy and Plans coordinates the overall grant application process. The Division of Policy and Plans and the user divisions shall be jointly responsible for drafting and submitting the DCFS grant applications.

Federal requirements on application content vary from program to program. In some cases a single application is required. In other cases a two stage application process is utilized which includes an initial concept paper (12-15 page application) and a longer complete application (20-50 pages).

If the Federal requirements specify a concept paper, the following procedures are followed:

1. The Deputy Director of Policy and Plans and the Deputy Director of the user division shall assign staff with the required expertise to develop and draft the concept paper.
2. The Division of Policy and Plans staff shall provide technical assistance to assist the user division to refine its grant concepts and meet Federal requirements. This technical assistance shall include instructions on what form and format should be utilized and what program content should be stressed or omitted in each application so that the application will be funded.
3. The user division shall write the concept paper in consultation with the Division of Policy and Plans.
4. The user division shall revise the concept paper to Policy and Plans staff's specifications. The Division of Policy and Plans staff shall approve the final draft.
5. The Division of Management and Budget, Program Accounting and Reporting Unit shall review all concept paper budgets for compliance with DCFS financial rules and congruity with existing program budgets. The user division is responsible for securing this review.
6. The Division of Policy and Plans staff shall submit the final draft to the Director or designee for approval.
7. The Division of Policy and Plans staff shall submit the required number of copies to the Federal government within the required timelines.

D. Development of Complete Applications

The development of complete applications shall follow the same development steps outlined previously for concept papers.

A complete application will be required when the original Federal Request for Proposals requires a single complete application or when the Federal Request for Proposals requires both a concept paper and a complete application.

If only a complete application is required after the completion of the concept paper, the Policy and Plans staff shall call the Federal Project Officer to secure the Review Panel's comments on the concept paper in as much detail as possible. Once this information is secured, the same steps shall be completed as were outlined previously for concept papers.

Federal requirements specify that the programmatic content of the complete application must parallel that of the concept paper and that DCFS may not request additional federal funds beyond what was requested in the concept paper.

E. Follow-up of Grant Proposals

The Division of Policy and Plans staff shall follow up all Federal discretionary grant application. Follow-up shall include the following tasks:

- o Contacting the Federal Project Officer to explain the application's significance and to answer both substantive and technical questions about the application's content.
- o Continuing to contact the Federal Project Officer as often as staff consider necessary and effective to secure information on the application's status within the Federal Review system.

F. Receipt of Notice of Grant Award

Policy and Plans staff shall take responsibility for application follow-up. Thus, Policy and Plans staff will receive the Notice of Financial Assistance Awarded. Upon receipt, Policy and Plans staff shall notify the Director and the user division's Deputy Director. Policy and Plans staff will contact Management and Budget staff to arrange for an appropriated or non-appropriated account. Once the user division's Deputy Director has been contacted, the grant shall be implemented as prescribed in [Section 11.11](#).

G. Implementation

The user division shall be responsible for implementing the grant upon notification that the grant has been awarded. The Division of Policy and Plans is responsible for assuring compliance with federal regulations governing the administration of grants as defined in "DHHS Administration of Grants, Federal Regulations, Title 45, Prt 74." The grant shall be implemented in accordance with procedures explained in [Section 11.11](#).

Section 11.9 State Child Abuse Grants

A. Goals

The goal of the State Child Abuse Grant program is to support activities which result in more effective and efficient services for our clients.

This goal is achieved through research activities; the design, development and systematic testing of new programs and products; the dissemination of the results of the research and demonstration products; and facilitating the institutionalization of effective programs.

B. Method/Types of Awards

The State Child Abuse Grant program achieves its goals by awarding grant contracts. The types of awards, the activities supported and program administration are as follows:

1. Three-Year Research/Demonstration Projects - These projects will usually be part of a major research and demonstration initiative reflecting the primary program focus for the current fiscal year. The majority of state Child Abuse Grant funding in any fiscal year will be targeted on implementing/replicating projects in a designated program area supporting Department priorities. The identification of and concentration of funding in a major initiative enhances the viability of the grant program by reducing fragmentation and maximizing effectiveness.

These projects will be funded throughout three fiscal years only, with step-down funding in the second and third project year. State Child Abuse Grant funds are not intended to be maintenance funds for support of on-going projects. The step-down funding is to encourage the development of alternative resources and facilitate the transition from grant funds.

Time lines and funding structures are as follows:

<u>Contract Period</u>		<u>Funding Amount</u>
First Year	Oct. 1 to June 30	100% of project cost
Second Year	July 1 to June 30	75% of project cost
Third Year	July 1 to June 30	50% of project cost

2. Short-Term Research Projects - To meet specific informational needs, occasional awards will be made to support clearly-focused short-term research projects. The purpose of these projects is to answer critical questions and develop options for program improvements or the development of new programs and service approaches. The maximum project time frame is 18 months.
3. Special Projects - These projects are funded to meet a high priority special need requiring immediate attention. Projects in this category could be either short-term research projects or research/demonstration projects. These projects have an immediacy of need that precludes the establishment of predetermined start dates. However, special projects will not exceed the maximum time frames established in the previous section.
4. Regionally Administered Projects - Region-specific priorities and/or projects (identified by the Regions) will be included in the development of the R and D Plan. These region-specific projects selected by the Director will be funded by the State Child Abuse Grant program but administered by the project Region. These projects may be short-

term research or research/demonstration projects. The time frames and step-down funding parameters previously established will apply to these regionally administered projects, also.

- C. Process for Awarding State Child Abuse Grants - The award process explained below insures compliance with the Illinois Purchasing Act and serves to facilitate consistency of method in obtaining effective, cost-efficient services to support Department goals. The purpose of the process is to select the most capable providers to implement time-limited research and/or demonstration projects in the priority areas identified in the R and D Plan.

Calendar of Major Events

- | | | |
|----|---|------------------------|
| 1. | Priorities established consistent with the planning process described in Section 11.6 . | June 30 |
| 2. | Requests for Proposals issued based on the priorities identified in the R and D plan and utilizing the guidelines detailed in Section 11.12 . | July 15 |
| 3. | Proposals due date consistent with Department rule giving applicants thirty days to respond to an RFP. | August 15 |
| 4. | Applicants are notified of funding decisions and contract negotiations take place utilizing procedures explained in Section 11.12 . | Sept. 1 to
Oct. 1 |
| 5. | Target date for project start-up. | October 1 |
| 6. | Annual review takes place utilizing procedures outlined in Sections 11.13 and 11.14 . | March 1 to
April 30 |

- D. Management

Management of State Child Abuse Grant projects will be a cooperative effort of the Divisions of Policy and Plans, Program Operations, Management and Budget, and the user division according to the procedures outlined in [Section 11.11](#).

Section 11.10 Privately Funded Grants

- A. Rationale

The Department shall strive to obtain funding from private sources for special projects and initiatives. This endeavor is consistent with the Department's underlying conviction that a strong partnership between the public and private sectors can benefit children and families in Illinois.

- B. Acquisition of Private Grants

There is no specific procedure for the acquisition of private grants. All opportunities that come to the attention of staff shall be promptly conveyed to the Director.

C. Management of Private Grants

Private grants awarded to the Department shall be managed according to the Director's specifications. The following general arrangements shall be adhered to:

1. A Project Officer shall be assigned who will fulfill the responsibilities of project officers as defined in [Section 11.11](#).
2. The development of contract program plans shall be coordinated by the Division of Policy and Plans in accordance with procedures specified in [Section 11.13](#).
3. The Division of Management and Budget shall be responsible for assuring that appropriate accounts are established and maintained, that budgets and contracts are developed in accordance with established procedures, and that vouchers are processed in accordance with procedures.
4. All reports required by the grant shall be submitted to the grantor through the Division of Policy and Plans.

Section 11.11 Management of Grant Projects

A. Rationale

The successful implementation of a research and demonstration project, regardless of the funding source, depends on establishing and enforcing unambiguous lines of authority. Equally essential is maintaining close cooperation between the Director, the Division of Policy and Plans, the Division of Management and Budget, the user/affected division, and the grantee. The Research and Demonstration Management Table of Organization ([Appendix A](#)) depicts the relationship of these entities.

The success of a research or demonstration project shall be effected by:

- o The identification and selection of qualified persons to serve as the project staff.
- o The clear specification of roles and responsibilities of project staff.
- o The establishment and enforcement of safeguards to assure that project funds are appropriately spent.
- o Ongoing programmatic monitoring to assure that the project is accomplishing objectives identified in the contract program plan.
- o The exercise of prescribed mechanisms for identifying and resolving problems promptly.
- o Unequivocal specifications for products generated by the project.

B. Roles of Project Staff

1. A Research and Demonstration Project shall be administered by a

three-tiered accountability system which includes a Project Officer, Project Coordinator, and Project Director. For some projects, the functions of these staff may be assumed by one person. The roles of these staff are summarized in [Appendix A](#).

2. The Project Officer shall be a designated member of the Division of Policy and Plans, Office of Program Development and Support, preferably one with specialized skills and knowledge in the subject matter being researched/demonstrated. Specific duties and responsibilities of the Project Officer shall be identified in DPP/OPDS formal job descriptions. These responsibilities shall include but are not limited to:
 - o Providing consultation in planning and implementing the project to assure that the goals and objectives established in the grant application will be achieved.
 - o Reviewing, approving, and submitting on time all required reports, work products, and deliverables.
 - o Reviewing and approving all contracts, contract amendments, and vouchers prior to submission to Management and Budget.
 - o Identifying issues requiring intervention and/or corrective actions; resolving issues in conjunction with the Project Director and Project Coordinator (if the project has a coordinator); making recommendations for resolution of issues that are not resolved among them.
 - o Facilitating communication on all project activities between Executive Staff, affected divisions, the Project Director and Coordinator, and the funding source.
 - o Disseminating results according to procedures in [Section 11.14](#).
3. A Project Coordinator shall be appointed by the Deputy Director of the user division. When the user division is the Division of Policy and Plans, the responsibilities of the Project Coordinator may be assigned to the Project Officer.

The responsibilities of the Project Coordinator may also be assigned to the Project Director when the Project Director is a DCFS staff person in the user division. The responsibilities of the Project Coordinator shall include:

- o Directing the implementation of the project in consultation with the Project Officer and Project Director, including
 - Hiring of the Project Director and other staff funded by the project
 - Negotiating contracts and writing contracts and contract amendments for the project
- o Identifying issues that need corrective action and informing the Project Officer about the issues and proposed actions.

- o Monitoring the project according to procedures in [Section 11.11C](#)
 - o Directing the preparation and revision of all required reports, work products and deliverables to assure compliance with specifications in the program plan and submitting them on schedule to the Project Officer
 - o Providing technical assistance and consultation to the Project Director, including intervention to resolve problems.
 - o Making recommendations for dissemination of results and for replication/institutionalization.
 - o Preparing sections of Research and Demonstration Annual Report and other reports as necessary.
4. The Project Director shall be hired by the grantee, with concurrence of the Project Coordinator, in consultation with the Project Officer. In the event that a currently employed staff member of the user division is to act as Project Director, the user division shall designate the Project Director. Specific duties and responsibilities shall be identified in a formal job description for the Project Director. These responsibilities shall include:
- o Supervising all staff employed with grant funds
 - o Coordinating the work of subcontractors, if any, including the development of subcontracts, subject to the approval of the Project Coordinator
 - o Managing the day-to-day affairs of the project
 - o Preparing accountability reports to specifications required by the funding source
 - o Preparing work products and deliverables identified in the program plan according to specifications
5. A Project coordinator and/or Project Director may not be required for projects funded for less than \$25,000. Instead, accountability may be maintained by the assigned Project Officer.

C. Monitoring

1. The Division of Policy and Plans and the user/affected Division shall jointly share the responsibility of monitoring research and demonstration projects. Fiscal and programmatic monitoring shall be structured in a manner to determine, on an ongoing basis, if the project is complying with Department policies and procedures, if the project's goals and objectives are being met, and if the project's funds are being appropriately spent. The following type of monitoring activities shall be completed:
- o The Project Coordinator shall make periodic on-site visits to

- observe the project and to provide technical assistance to the Project Director.
- o The Project Coordinator shall review the quarterly reports submitted by the grantee to monitor programmatic and fiscal compliance, to track expenditures and flag over/underspending and arrange for fiscal close-out.
 - o The Project Director, Project Coordinator and Project Officer shall meet on at least a quarterly basis to review the project's progress.
2. Monitoring shall not be limited to identifying problems. If the grantee continues to operate below the projected achievement level, the Project Coordinator shall determine the cause(s) of the problem, consult with the Project Officer about possible remedies, and implement a corrective action plan.
 3. If problems cannot be resolved among the project staff, Project Officer shall refer the issue to the Deputy Director of the Division of Policy and Plans in consultation with the user division together with recommendations for resolution. These recommendations may include reassignment of staff or contract cancellation.

D. Reports/Briefings

1. The completion of reports and period briefings to the DCFS Director and executive staff are important features of research and demonstration projects. These reporting activities require that the Project Director, Project Coordinator, and Project Officer:
 - o Fully understand the relationship between the project's goal and the Department's research and demonstration priorities;
 - o Keep abreast of relevant service and fiscal data about the project;
 - o Maintain complete records to document activities and to justify actions and decisions.
2. The Research and Demonstration Grantee shall submit written reports to the Department within 30 days following the end of each quarter or as specified by the contract. The format and time specification for these reports shall be prescribed in the contract. Guidelines regarding the format of these reports are identified in [Appendix B](#), attached hereto.
3. The grantee shall submit a written annual report to the Project Coordinator. This report shall follow the general format prescribed in [Appendix C](#), attached hereto.
4. Periodic briefings, quarterly reports and annual reports shall be used by the Department to monitor each research and demonstration project and to disseminate results of projects.

Section 11.12 Implementation of the Request for Proposal ProcessA. Rationale

After the Department decides to fund a project to meet a specific research and demonstration priority, a suitable vendor/provider must be selected. If the grant award is expected to exceed \$10,000, the vendor shall be sought through a competitive process, using the request for proposal (RFP) mechanism.

Through negotiated contracts, research and demonstration grants which do not exceed \$10,000 annually may be awarded, at the discretion of the DCFS Director, without using an RFP.

The competitive process utilizing the RFP is applicable to all grant awards in excess of 10,000 whether the grant is a centrally or regionally managed grant project.

B. Description of an RFP

The RFP is a document which explains the purpose, outlines the scope of work, and solicits proposals from organizations for the funding of DCFS Research and Demonstration projects. RFP's should follow the guidelines available from the Division of Management and Budget.

The RFP is used to guarantee equity and efficiency in notifying the appropriate audience regarding the availability of Research and Demonstration funds to support Department priorities.

The following roles and responsibilities are applicable to projects that are centrally developed and implemented by the Division of Policy and Plans. If a project is regionally developed and implemented, the following responsibilities will belong to designated regional staff. The Division of Policy and Plans will provide technical assistance and will retain the Project Officer within the division of Policy and Plans.

C. Development and Distribution of RFP

1. The Division of Policy and Plans shall have the primary responsibility for developing and distributing an RFP in cooperation with the user division. The major activities required are as follows:
 - o Develop a mailing list of potential bidders or select appropriate lists from those available from the Office of Information Services and the Office of Contracts and Grants.
 - o Draft the RFP in clear and concise language which conceptualizes the program and identifies the Department priorities.
 - o Receive sign-off on RFP from division of Management and Budget to insure that the RFP follows prescribed guidelines.
 - o Integrate comments from the user division and executive staff in the final RFP.
 - o Receive sign-off on RFP from Director.

- o Mail the RFP to all potential bidders on the same date.
 - o Notify Division of Management and Budget to put announcement in state newspaper.
 - o Convene a bidders conference, if necessary.
 - o Maintain a permanent file on the RFP.
2. Secondary responsibilities for developing and distributing the RFP shall rest with the user division. The major activities required are as follows:
- o Assist the Division of Policy and Plans to identify the target population.
 - o Review and comment on a draft of the RFP from an implementation perspective.
 - o Assist the Division of Policy and Plans in mailing all RFP's simultaneously.
 - o Maintain minutes of questions and answers at the bidder's conference.

D. Selection of Proposals

1. The division of Policy and Plans shall have the primary responsibility of coordinating the evaluation and selection of proposals. The major activities required are as follows:
- o Date stamp and log in all proposals received within the time frame specified in the RFP.
 - o Develop a proposal review instrument which shows the criteria set forth in the RFP in a format that corresponds to the numerical importance assigned to each content area.
 - o Identify qualified proposal reviewers.
 - o Provide an orientation/training session for proposal reviewers.
 - o Analyze the rating that reviewers gave each proposal.
 - o Send a decision memorandum to the Director which recommends proposals, states the reasons for the recommendation, identifies the process used to make the recommendation, and identifies the proposal reviewers.
 - o Secure the Director's signature of approval for each selected proposal.
 - o Maintain a permanent file of all proposals, scoring sheets, and other relevant documents.

2. The user division shall have secondary responsibilities for evaluating and selecting proposals. The major activities required are as follows:
 - o Assist the Division of Policy and Plans to develop a proposal review instrument which meets the specification of the RFP.
 - o Schedule adequate facilities for the review of proposals.
 - o Compile a listing of scores on what reviewers gave each proposal.
 - o Coordinate site visits, when appropriate, to secure additional information for improving the decision process.
 - o Assist the Division of Policy and Plans to develop a decision memorandum to the Director regarding the proposal selection.

E. Notification of Grant Award

1. After the Director approves the selection of grantees through the decision memorandum process, the Division of Policy and Plans shall be responsible for coordinating the notification of grant awards. The major activities required are as follows:
 - o Draft a conditional acceptance notification letter from the Director to each grantee specifying the maximum amount of the grant award, conditions of award, and the projected date which the Department intends to finalize the agreement. A copy of this letter shall be sent to the User Division and the affected Regional Administrator(s).
 - o Draft a notification letter from the Director to each applicant which will not receive a grant award. This courtesy letter shall contain summary information from proposal review forms.
 - o Send an Informational Transmittal from the Deputy Director, Division of Policy and Plans, to Executive Staff and Regional Administrators. This transmittal shall identify the grant award winner, and describe the nature of services to be provided, the target population, area to be served, work products, and results anticipated by the Department.
 - o Assist the Department's Office of Community Relations develop a news release and/or press package about the program of each selected grantee.

Section 11.13 Developing Contracts

A. Rationale for Contracting

1. After the Director approves the selection of a proposal and the grantee is notified regarding the amount of the award, a contract must be developed. This contract must be signed by the Department and the vendor prior to the implementation of the project. The primary purpose of the contract shall be to clearly identify work products, clarify time frames, and to delineate responsibilities

and reporting obligations of all contracting parties. Contracts shall be used to prevent future problems and to assist the Department in evaluating the effectiveness of Research and Demonstration projects.

B. Roles of the Division of Policy and Plans

1. The Division of Policy and Plans shall be responsible for coordinating the development of all contracts for Research and Demonstration Projects. The major activities required of this role are as follows:
 - o Consult with the Office of Contracts and Grants prior to drafting the proposed contract.
 - o Approve the Program Plan section of the contract and assure that it states who the agency will serve, identifies the number of service recipients/units of service, describes the nature of the service, specifies reporting procedures to DCFS and lists specific products/deliverables, including evaluation design or agreement to provide evaluation data.
 - o Provide technical assistance to user Division as required.

C. Role of the Division of Management and Budget

1. The Division of Management and Budget, primarily through its Office of Contracts and Grants, shall be responsible for providing services and consultation to the Division of Policy and Plans, user divisions, and grantees regarding Research and Demonstration grant awards. The major activities required of this role are as follows:
 - o Determine whether an individual contract (IL 418-968-7) or an agency contract (IL 418-968-9) form is required.
 - o Review proposed contracts and make recommendations regarding changes, prior to negotiations.
 - o Complete action to secure clearance from the Bureau of the Budget before finalizing contracts.
 - o Secure the director's signature on all copies of the contract when appropriate.
 - o File contracts with the Comptroller and assign contract obligation documents.
 - o Distribute copies of signed contracts to appropriate Department staff.
 - o Establish contract files to maintain up-to-date (official) contract data.
 - o Provide technical assistance as required

D. Role of the User/Affected Division

1. The user Division shall have responsibility for the development of its Research and Demonstration contracts. This responsibility shall include the following actions:
 - o Develop the Program Plan section of the contract and assure that it states who the agency will serve, identifies the number of service recipients/units of service, describes the nature of the service, specifies reporting procedures to DCFS and lists specific products/deliverables, including evaluation design or agreement to provide evaluation data.
 - o Draft a proposed contract for review by the Project Officer and the Division of Management and budget.
 - o Inform all contractors regarding DCFS requirements related to payment, reporting, audits, monitoring, and copyrights.
 - o Negotiate the final terms of the contract with vendors.
 - o Inform the Division of contract completion and submit copies for approval to the Project Officer.
 - o Negotiate amendments to the contract when required and submit them for approval to the Project Officer.
 - o Inform all appropriate Regional staff of awards and revisions.

E. Role of a Grantee

1. A Research and Demonstration grantee shares joint responsibility with the Department in assuring that all terms of the contract can be implemented. This responsibility requires grantees to become fully aware of the final terms of the contract and to become familiar with all of the Department's contract policies and procedures.

Section 11.14 Dissemination and Institutionalization of Successful Research and Demonstration Projects

A. Rationale

The goal of Research and Demonstration is to improve the effectiveness and efficiency of the services delivered by the Department. Key steps in reaching this goal are disseminating the results of research and demonstration projects and incorporating successful programs into the Department's statewide service delivery system.

B. Dissemination Mechanisms

1. Annual Report. The Research and Demonstration Annual Report is a major dissemination mechanism. This report contains fiscal, program and evaluation materials for all state and federally funded grant projects. It is distributed to central office and regional staff.

2. Major Products. Some grant projects are funded to do research, develop model programs and/or state-of-the-art analysis. The products generated from these projects provide valuable materials for dissemination.
3. Conferences. Interim and final results of projects may be presented at Department meetings and professional conferences.

C. Dissemination Process

The Division of Policy and Plans will be responsible for disseminating project results, products and research findings through the Annual Report. User divisions are responsible for sharing results of projects at Department meeting and conferences.

D. Institutionalization Mechanisms

Each Research and Demonstration project is reviewed through the following mechanisms in order to determine if it should be institutionalized.

1. Quarterly Reports/Reviews
2. Annual Review
3. Third Year Special Review of State grant projects
4. Final Evaluation

E. Description of Mechanisms

All of the above mechanisms are used to make the final recommendation to the DCFS Director regarding the institutionalization of each demonstration project. A general description of each component follows:

1. Quarterly Reports/Reviews - This mechanism enables the user division, Division of Policy and Plans and Regional Administrator(s), where appropriate, to determine if the project is serving the appropriate number of clients, and if funds are being spent at the budget level. Quarterly reports enables the Grantee and Department to detect problems within a short time frame thereby preventing major crises.
2. Annual Review - This mechanisms provides for the user division staff and Regional Administrator(s), where appropriate, to participate with the Division of Policy and Plans in an analysis of the grantee's performance prior to contract renewal. Conclusions reached during the annual review can be used to guide decisions on the source of future funding.
3. Third Year Special Review of State Grant Projects - This mechanism enables the user division, Division of Policy and Plans and the Regional Administrator(s), where appropriate to review the grantee's performance prior to contract renewal for the 3rd (and final) year of the demonstration grant. This enables the user division to plan for full funding (if desirable) for the 4th year by including necessary funds in its budget request.

4. Final Evaluation - This mechanism includes a comprehensive, objective evaluation of the demonstration project to determine if it was successful in meeting the goals and objectives established in the contract program plan. The user division, Division of Policy and Plans and, where appropriate, the Regional Administrator(s) shall jointly participate in or plan for development of the evaluation plan.

F. Evaluation

All of the mechanisms previously discussed shall have a bearing on the decision of whether a demonstration project should be institutionalized. The finding of the final independent evaluation shall be integrated with findings from other mechanisms to establish a clear picture of the effectiveness of the project.

The Division of Policy and Plans will have the primary responsibility for assuring that each Research and Demonstration Project is appropriately evaluated. The purposes of the evaluation should be to:

- o Assess the efficiency and effectiveness of the project.
- o Determine the value, worth and quality of the services provided. Compile objective data to determine if the project was successful in reaching its goals.
- o Analyze the impact of the project and determine whether it should be considered for replication.

The Division of Policy and Plans, the Regional Administrator(s), where appropriate, and the user Division shall jointly develop an evaluation plan for each Research and Demonstration project. This plan shall include specifics regarding the method to be used in conducting the evaluation. Research and Demonstration projects may be evaluated in any one of the following ways:

- o An independent contractor may be retained by the Department to design and implement the evaluation.
- o The Division of Policy and Plans, the user Division, the Regional Administrator(s), where appropriate, and the grantee may jointly design an instrument to be implemented by the Department.
- o An evaluation component may be structured in the contract, whereby the grantee is required to retain an independent evaluator with portions of the grant award. In such case, the independent evaluator may be required to implement an evaluation instrument which has been jointly developed with the Department.

The Division of Policy and Plans, the user division, and the Regional Administrator(s), where appropriate, shall meet with the evaluator and the grantee to discuss preliminary findings of the evaluation. All parties shall review the final evaluation.

A final evaluation along with recommendations from the Division of Policy and Plans, the user Division, and the Regional Administra-

tor(s), where appropriate, shall be sent to the Director of the Department for a decision on institutionalizing the Research and Demonstration Project.

G. Institutionalization

Procedures

When the Director has decided to institutionalize a demonstration project, the Division of Policy and Plans shall convene a meeting of the user division and the Regional Administrator(s) to finalize procedures for on-going administration of the project, utilizing the following framework of roles and responsibilities:

1. The Division of Policy and Plans will provide technical assistance in the areas of programmatic issues, replication procedures, budgeting for the programs, and other areas as needed in order to ensure a smooth refunding transition and on-going program effectiveness.
2. The User Division will be responsible for maintaining the efficiency and effectiveness of the model project by means which include, but are not limited to, maintaining the programmatic integrity of the model, monitoring the projects, planning and/or providing for staff development, etc.
3. Regional Administrations will be responsible for including the necessary funds in the Regional budget request(s) in order to support the institutionalization approved by the Director.

H. Summary

A summary of the major events in an R and D project's life from acquisition of funds through institutionalization in the Department's service delivery system is charted in [Appendix D](#).

Section 11.15 Retention of and Access to Records

A. Rationale

Records of state and federally funded research and demonstration projects shall be maintained to comply with Rules and Procedures 436, Records Management.

B. Roles and Responsibilities

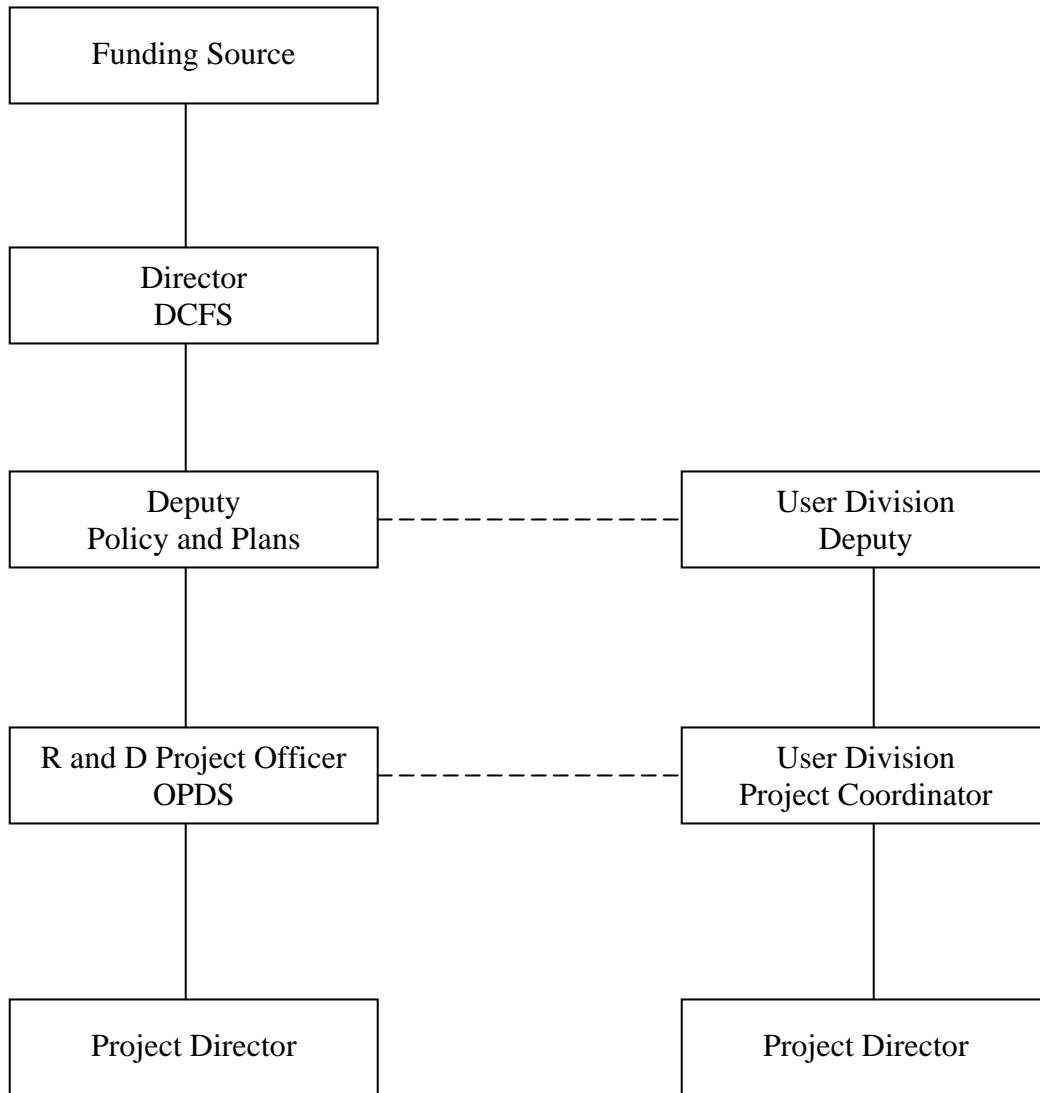
The Division of Policy and Plans shall be responsible for assuring compliance with Rules and Procedures 436 for all state and federal research and demonstration grants.

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APPENDIX A

RESEARCH AND DEMONSTRATION PROGRAM MANAGEMENT

I. Project Management Table of Organization



APPENDIX A

RESEARCH AND DEMONSTRATION PROGRAM MANAGEMENT

II. Program Administration Roles and Responsibilities

P = Primary responsibility. Specifically, this may include:

- Initiating action on the task
- Designing and managing a process to complete the task
- Preparing final products
- Establishing / communicating specifications for products prepared by units with secondary responsibility
- Approving / transmittal final products.

S = Support responsibility. Specifically, this may include:

- Providing input and / or recommendations
- Preparing draft materials
- Approving components of products.

	Director's Office	Div. of Policy & Plans	User Units / Divisions	Div. of Management & Budget
A. Planning				
Identify needs		P	S	
Recommend priorities		P	S	
Determine priorities	P	S		
Develop plans		P		
B. Procurement:				
1. Federal Formula Grant				
Prepare application		P	S	
Approve/transmit application	P			
Revise/update budget		P		
Approve budget amendments	P			
2. Federal Discretionary Grants				
Develop recommended topics		P	S	S
Approve topics	P	S		
Prepare concept papers		P	S	S
Approve/transmit concept papers	P	S		
Prepare applications		P	S	S
Approve/transmit applications	P	S		
3. State Child Abuse Grants:				
Develop budget request and justification		P		S
Prioritize budget line	P			
Submit budget request		S		P

	Director's Office	Div. of Policy & Plans	User Units / Divisions	Div. of Management & Budget
4. Private Grants				
Develop/pursue opportunities	P	S	S	S

C. Management:

(For more detail on specific responsibilities, see sections III and IV)

1. Federal Formula Grant

Monitoring		P		S
Reporting		P		S
Accounting/Fiscal Reporting		S		P

2. Federal Discretionary Grants

Implementation		S	P	S
Monitoring		S	P	S
Reporting		P	S	
Accounting/Fiscal Reporting		S	S	P

3. State Child Abuse Grants

Issue RFTP's/recommend grantees		P	S	S
Select/notify grantees	P	S		
Develop/negotiate contracts		S	P	S
Approve contracts		P		S
Monitor projects		S	P	
Approve reports		P	S	
Disseminate results		P	S	

III. Federal Discretionary Grants Management: Roles and Responsibilities

	Dir.'s Office	Proj Dir.	Proj. Coor.	Proj Off.	Man. & Budget
A. Implementation:					
Notification of awarded	P				
Develop the program plan			P	S	
Draft proposed contract			P	S	S
Negotiate contract/amendments			P	S	S
Approve contracts/amendments			S	P	S
Process/file contract			S	S	P
Approve final contract	P				
Implement project		P	S	S	
B. Management:					
Submit vouchers		P			
Approve vouchers			S	P	
Process vouchers					P
Maintain complete records		P	P	P	
Manage project		P	S	S	
Identify/resolve issues		S	S	P	
Terminate contracts	P		S	S	S
Year-end reconciliation/ fiscal close-out		S	P	S	S
Liaison to federal officer				P	
C. Monitoring/Reporting:					
Prepare required reports		P	S	S	
Review/approve all reports and deliverables			S	P	
Submit report to DHHS				P	
Evaluate project products			S	P	
Disseminate products/results			S	P	

IV. State Child Abuse Grants Management: Roles and Responsibilities

	Dir.'s Office	Proj Dir.	Proj. Coor.	Proj Off.	Man. & Budget
A. Planning the RFP:					
Develop a mailing list			S	P	S
Draft RFP/manage review				P	
Approve/transmit RFP	P				
Mail/announce RFP				P	S
Convene/run bidders conference				P	
B. Select Proposals					
Log in proposals				P	
Develop review criteria instrument			S	P	
Select/train reviewers			S	P	
Review proposals/recommend grantees			S	P	
Select grantees	P			S	
Draft a conditional acceptance letter				P	
Transmit letter	P				
Send rejection letters				P	
Send an Informational Transmittal on awards				P	
Issue press release	P (Comm.Rel.)				
C. Contracting:					
Develop the program plan			P	S	
Draft proposed contracts			P	S	S
Negotiate contract and amendments			P	S	S
Approve contracts/amendments			S	P	S
Process/file contract			S	S	P
Approve final contract	P				
D. Implementation/Management:					
Implement the project		P	S	S	
Submit vouchers		P			
Approve vouchers			S	P	
Process vouchers					P
Maintain complete records		P	P	P	
Manage project		P	S	S	
Identify/resolve issues		S	S	P	
Terminate contracts	P		S	S	
Year-end reconciliation/fiscal close-out		S	P	S	S
E. Monitoring/Reporting:					
Prepare required reports		P	S	S	
Review/approve all reports and deliverables			S	P	
Evaluate project products			S	P	
Disseminate products/results			S	P	

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APPENDIX B
RESEARCH AND DEMONSTRATION PROGRAM
DESCRIPTIVE FORMAT FOR QUARTERLY REPORTS

<u>Items</u>	<u>Description</u>
Transmittal Letter	A brief cover letter on the Grantee letterhead which summarizes the project, activities, number of clients served, total expenditures and unit cost for the quarter.
Status Report on Deliverable	A brief note/statement regarding the timeliness of each deliverable identified in the contract, including any barriers to complying with the contract specifications or products.
Performance Data Budgeting and Cumulative Report (CFS 968-4)	Provides data on the cumulative expenditure level for each quarter. Used to monitor surplus and deficits.
Personnel Budget/Quarterly Matrix (CFS 968-13)	Provides data on staff positions being funded by the grant. Used to monitor salaries and administrative costs.
Summary of Contracts with Clients and Individuals (Form 993-1B)	Provides data regarding regional contracts. Rank grantee based on progress.
Child Abuse Grant Application Quarterly Report (Form 993-1A)	Provides data to determine if grantee is meeting programmatic goals.

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APPENDIX C
RESEARCH AND DEMONSTRATION PROGRAM
SUMMARY ANNUAL REPORT FORMAT

- I. Introduction
- II Purpose
- III Project Goals and Objectives
- IV Preliminary Findings
- V Deliverables
- VI Progress
- VII Problem Identification and Resolution
- VII Summary

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APPENDIX D**MAJOR ACTIVITY FLOW CHART****NOTES**

- A= Division of Policy and Plans receives a positive notification on a grant award to support a DCFS R and D priority.
- B= The request for proposal process (RFP) is implemented with input from the user division and the appropriate regional administrator(s).
- C= The grantee is selected.
- D= A contract is developed with the grantee. The user division and the regional administrator(s) have input in the contract program plan.
- E= The first year of the project is implemented. Quarterly reports are jointly reviewed by the user division, Division of Policy and Plans, and the appropriate regional administrator.
- F= The first annual review is completed. Decisions are made regarding the success of the project meetings its goals and objectives, and the future of the project.
- G= If the review findings does not support continuation of the contract, the project will be terminated immediately.
- H= If the review findings supports contract continuation, the second year of the project services is implemented.
- I= The second yearly review is completed.
- J= Same as G above.
- K= If the review findings support contract continuation, the third year of the project is implemented.
- L= The third year review and final comprehensive evaluation are completed. A decision is made regarding the success of the project meeting its goals and objectives and meeting the appropriate R & D priorities. A decision is made regarding the institutionalization of the R & D project.
- M= Same as G and J above.
- N= If the final evaluation supports institutionalization of the project, the Regional Administration includes sufficient funds in the Regional budget request to support the project during the upcoming fiscal year.

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APPENDIX E

RFP GUIDELINES

This section is derived from a set of guidelines developed by the Division of Management and Budget. It provides an outline of necessary contents for a Request for Proposals and, also, the review procedures and optimum time frames for RFP review by the Office of Contracts and Grants.

A. Intent of the Request for Proposals (RFP)

The RFP serves as a vehicle to define, in precise terms, a need the Department has determined exists and expected outcomes the Department perceives will result in addressing a need through an RFP. Therefore, it is important that the RFP clearly define the need(s) and the expected outcomes to be achieved as a result of the successful implementation of the proposal. In order to make the RFP attractive to a wide variety of potential bidders it is imperative that the RFP be designed to address significant questions that would normally be raised by prospective bidders.

B. **Narrative Content of an RFP**

The RFP narrative should contain the following elements when appropriate:

1. Background Information

Include any Department responsibilities and statistical data relevant to the RFP as well as Offices responsible for the RFP and forms utilized by the responsible Offices in the performance of duties affective the RFP.

2. Problem Identification

Explain by general overview the problem(s) to be addressed by the potential contractor and include a statement illustrating the significance of the problem.

3. Scope of Work

Identify, in detail, deficiencies that exist, any target populations (qualified by number) to be served by the RDP, the work assignments associated with rectifying these deficiencies and itemized components of tasks to be addressed by the contractor.

4. Deliverables

Detail desired outcomes/products that will be achieved as a result of the successful completion of the proposal, expected time frames in which these outcomes/products should be achieved and any measure or ratings the RFP places on these outcomes.

5. Proposal Evaluation (Optional as part of the RFP package to be submitted to potential bidders but essential to you in evaluating proposals in a consistent and equitable manner.)

State the terms of the evaluation component including what criteria and weights (percentages) will be assigned to each segment of the RFP.

6. Budget Detail

All of the proposed contractor's monetary needs should be detailed by line item break out (i.e., travel, equipment, etc.) and a cost detail on estimated staffing requirements (i.e., man hours) in order to perform the task contracted for should be provided. Such fiscal details will provide you with vital monetary measurements that you should utilize in computing the financial criteria necessary to award the RFP. All potential bidders should be provided with a standardized budget detail form that is relevant to the RFP.

7. Evaluation Component (When Applicable)

If an evaluation is desired upon the completion of the project, you should indicate the intent to of the evaluation, who may or may not bid on the evaluation component and specifically what measurable goals the evaluation should be directed to.

C. Technical Content of an RFP

Listed below are items that are common to all RFP's:

1. The date of issue of the RFP.
2. The name of issuing office and a contact person.
3. Where to obtain copies of the RFP.
4. Date and time RFP is due for submission and address to which RFP should be sent.
5. Whom to send bids to.
6. Date, time, and address of bidder's conference, when applicable.
7. Number of copies of bid required.
8. Date and time on which bids will be opened.
9. Date of contract award.
10. Contents of contract.
 - a. Terms of contract including effective date and termination date.

- b. Stated number of units of service to be provided at specified dollar rate.
 - c. Detailed description of services to be performed and methods of performance.
 - d. Payment provision.
 - e. Requirements for fiscal and program responsibility including records, controls, reports and monitoring procedures, when applicable.
 - f. Bribery and subcontractor clauses.
 - g. Conflict of interest clause.
11. Location(s) where contracting services will be provided.
 12. Disclaimer statement indicating that the Department can withdraw an RFP at any time and may or may not award a contract pursuant to the Illinois Purchasing Act.
 13. Statement relative to addenda and supplements concerning additional RFP information. (“If it becomes necessary or appropriate to change any part of the RFP, addenda and/or supplements will be issued to all RFP recipients.”)
 14. Written acknowledgement from prospective bidders on receipt of RFP supplements and/or addenda.
 15. Indication to prospective bidders of the right to protest the bid selection.
 16. Definition of terms contained in the RFP that may be unfamiliar to prospective bidders.
 17. A model format upon which prospective bidders can build a proposal submission. (This format may include an appropriate program plan.)
 18. Request for resumes from prospective bidders including references detailing previous work which is similar to the work accomplishments asked for by the RFP.
 19. Information detailing the amount and type of information that will be made available to unsuccessful applicants and the procedures for obtaining the information.
- D. Sign Off Procedures for Submission of RFP’s for Review by the Office of Contracts and Grants
1. The individual initiating the RFP must obtain written approval from his/her supervisor indicating that there is a need for the RFP and that the RFP has been reviewed by the supervisor and meets the Unit/Office requirements.

2. The supervisor is responsible for obtaining the respective Deputy Director's review of the RFP. This includes attaching a written statement from the Deputy Director which should be attached to the RFP.
3. The Office of Employee/Labor Relations must review the RFP to ensure compliance with Collective Bargaining provisions. Written approval from the Administrator of Employee/Labor Relations must be secured.
4. The RFP, with appropriate approvals attached, should be forwarded to the Office of Contracts and Grants in a timely fashion for a review by that Office.

E. Time Guidelines for Submission of RFP's to the Office of Contracts and Grants

1. RFP's should be submitted to the Office of Contracts and Grants at least, but at a minimum, forty-five (45) days prior to the proposed issuance date of the RFP.
2. The Office of Contracts and Grants will review the RFP and provide the initiator with comments and suggested revisions within five (5) working days of receipt of the RFP.
3. The revised RFP, with agreed upon changes, will be submitted in its entirety to the Office of Contracts and Grants for final review within five (5) working days of receipt of comments from the Office of Contracts and Grants.
4. The Office of Contracts and Grants will submit the revised RFP, after final review, to the Director for his approval.
5. Upon approval by the Director, the Office of Contracts and Grants will prepare an appropriate advertisement for solicitation of bids to be placed in the designed State newspaper thirty (30) days prior to the final date on which proposals may be accepted for consideration.

APPENDIX F**PROGRAM PLAN OUTLINE**

This outline contains the elements necessary for a complete program plan and is taken from the CFS 968-9 contract form, Exhibit A, Non-Residential Program Plan.

- I. General Description of Program
 - A. Legal Entity Status – All New Contracts (continuing contracts must provide an update every three years)
 - B. Location
 - C. Telephone Number
 - D. License Status, if any
 - E. Summary of Various Services Offered
 - F. Definition of “client” – Estimate of Number of Clients to be Served Per Year – Client Capacity at any One Time
- II. Population Served Under This Contract
 - A. Eligibility
 - B. Regions Able to Use Contract
 - C. Intake Criteria – Inclusions and Exclusions
- III. Referral and Admission Procedures
 - A. Agency Responsibility
 - B. Department Responsibility
- IV. Services Provided
 - A. Be explicit and quantitative about numbers of clients/families to be served with what minimum or average frequency. These numbers should agree with your budget projections and should define a unit of service.
 - B. Include all Services to be Provided
- V. Treatment Goals and Time Frames
 - A. General Purpose of Contract
 - B. Length of Service Under Contract
 - C. Outcome Goals
- VI. Discharge Policy and Aftercare
 - A. Definition: Ground for Discharge
 - B. Process: When a Child’s Treatment Goals have been met; When Treatment Goals are Unmet
 - C. Description of Aftercare Services Offered – Frequency and Length of Time
- VII. Staff Development
 - A. Program for Staff
 - 1) Types of State Development (Knowledge, skills, motivation, attitude, etc.)
 - 2) Extent of Staff Participation

- B. Participation by DCFS Staff, if any
- C. Use of Consultants

VIII. Reporting Procedures – Payment Procedures

- A. Reports to be Provided; Description of Contents; Frequency
- B. Responsibilities of Agency regarding Standard Form Reports
- C. Description of Types of Service which are Billable; Unit Limits, if any
- D. Description of Billing Procedures; Minimum Data and Supporting Data Constitution a Valid Bill

IX. Contract Monitoring

- A. Mechanism for Self-Monitoring and Self-Assessment by Agency
- B. Mechanism for Monitoring by DCFS – Programmatic, Fiscal, Contract Compliance