

Carnegie Corporation of New York

Invitation to Submit Grant Proposal

July 31, 1995

Starting Points Grants

PHOTOCOPY
PRESERVATION

Starting Points Grants
States and Cities Invited to Submit Proposals

STATES	CITIES
Arizona	Atlanta
Colorado	Baltimore
Florida	Boston
Georgia	Kansas City, Kansas
Hawaii	Kansas City, Missouri
Illinois	Minneapolis
Minnesota	Philadelphia
North Carolina	Pittsburgh
Ohio	Rochester
Oregon	San Antonio
Rhode Island	San Francisco
South Carolina	Seattle
Vermont	
Washington	
West Virginia	
Wisconsin	

Carnegie Corporation of New York

437 Madison Avenue, New York, N.Y. 10022 • (212) 371-3200 • Telex: US166776 • Fax: (212) 754-4073

Michael H. Levine
Program Officer

August 9, 1995

Dear Colleague:

Perhaps you will be interested in the attached guidelines inviting proposals for a new grants initiative to follow up on the Carnegie Corporation report, *Starting Points: Meeting the Needs of Our Youngest Children*.

A remarkable degree of consensus is emerging on the critical importance of the prenatal period and the first three years in shaping human development for the entire life course. *Starting Points* underscores the fact that all parents wish to nurture their young children but that great changes in social and economic conditions have transformed work and family life during the past thirty years. It calls for concerted action from all sectors to reverse a "quiet crisis" of unintended national neglect that challenges the healthy development of too many young children. The report weaves together four interrelated goals to support parents in meeting their responsibilities to ensure that all children get a decent start: the promotion of responsible parenthood; the development of quality child care choices; the provision of good health care; and the mobilization of states and communities to support young children and their families.

The Corporation has identified states and cities that are developing comprehensive initiatives to meet the needs of families and young children and is inviting them to apply for grants to engage in learning and development activities to follow up on *Starting Points*. We are extending invitations to about two dozen states and cities and expect to make awards to about eight of them. We plan to award two-year grants ranging from \$250,000 to \$400,000 to help build on model initiatives and to focus on the goals laid out in the report.

We hope that the Corporation's support will stimulate a strong network of innovative leaders to develop and test promising strategies, and to help guide national discourse on the importance of healthy development in the earliest years. We recognize that states and communities vary considerably in their current efforts, and many different approaches may be proposed. We are looking for creative responses that incorporate the major goals of *Starting Points* and that build on the strengths that exist within each state and community.

August 9, 1995

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We hope you will take an active role, where appropriate, in encouraging states and communities to submit strong grant proposals for our consideration. Please call me if you need further information or wish to discuss this new initiative. My direct lines are (212) 207-6209 and (212) 207-6314.

Sincerely,

Michael H. Lurie

MHL/skw
Enclosures

General Information: *Starting Points* Grants

Submission of Proposals and Deadlines

Each state, city, or county should submit its proposal to: *Starting Points* Grants, Carnegie Corporation of New York, 437 Madison Avenue, 27th Floor, New York, NY 10022. All proposals and copies should be received by the close of business on **Thursday, October 5, 1995**. The Corporation can only accept one proposal (and twelve copies) from each state, city, or county. Proposals should not exceed twenty-five double-spaced pages, plus attachments. Following submission of your proposal, the Corporation may request additional information or clarification between October 19 and November 15.

Signatory

Proposals should be signed by the governor of the invited state. Proposals from cities should be signed by the mayor and/or county executive. Grant funds may go to a designated state, city or county agency. The governor, mayor, or county executive may designate a tax-exempt, non-profit organization to receive funding. If a non-governmental organization will be the grant recipient, the chairperson or director of that entity should *also* sign a letter requesting Carnegie Corporation support. Proposals should clearly indicate to whom a grant would be made; Internal Revenue Service tax-exempt status information must be attached to the proposal if the suggested grant recipient is not an agency of government, and the nature of financial and program oversight must be clearly stated.

Timing, Number, and Amount of Grants

The Corporation expects to make approximately eight grants of varying amounts in the \$250,000 to \$400,000 range (total) for a two-year period from January 1, 1996 to December 31, 1997.

Required Grant Match

Each state, city, or county is required to provide a 1:1 match of the amount of a grant from Carnegie Corporation. This match is described in the budget section of the proposal guidelines.

Inquiries

For further information and inquiries, please contact Michael Levine, program officer or Susan Smith, program associate at 212/207-6209 or 212/207-6314. Carnegie staff members will be happy to respond to inquiries during the proposal development phase.

Proposal Guidelines

I. *Starting Points: Goals and Recommendations*

Starting Points analyzes four key areas of concern that must be addressed to better meet the needs of families with young children. The report underscores the fact that while child-rearing is an intensely private matter that is the responsibility of parents, there is a strong public interest in providing supportive policies and programs to help parents nurture their young, especially those that are at greatest risk because of economic disadvantage.

The main goals of the report recommendations are to:

- **Promote Responsible Parenthood:** *Starting Points* suggests that there is an important middle ground between private and public interests in promoting responsible parenthood. No single approach to child-rearing should ever be prescribed but responsible parenthood must be planned for and supported so that the information and services parents need for their own learning and growth is readily available. *Starting Points* suggests that those undertaking parenthood benefit from education, services, and support in three key areas: planned childbearing, prenatal care and other health-related services, and parent education and support. *Starting Points* suggests that adolescents should be strongly encouraged to avoid pregnancy and parenthood.
- **Guarantee Quality Child Care Choices:** For healthy development, infants and toddlers need a continuing relationship with a few caring people, beginning with their parents and later possibly including other child care providers. Infants and toddlers must develop these relationships in safe and predictable settings—in their homes or quality child care programs. Quality child care means an environment that is safe and stimulating, where children are cared for in small groups by well trained adult caregivers.
- **Ensure Good Health and Protection:** *Starting Points* documents that early preventive health care services may well be the most cost effective investment society can make on a long-term basis. Comprehensive health care and social support services should be available to all pregnant women, infants, and toddlers. Services should include family planning, prenatal care, immunizations, and well child care. Good health involves more than medical care. Being healthy also means being safe. Young children have much better life chances if they grow up in neighborhoods in which their families are confident they can protect and safely raise them.

- **Mobilize Communities to Support Young Children and Their Families:** There is a growing recognition that the old ways of providing services and supports to families with young children must be reassessed, and new approaches must be found to ensure that every family with a newborn is linked to a source of health care, child care, and parenting support if needed, and a pathway to economic security. Every community in America should focus attention on meeting the needs of children under three and their families. Community leadership groups should develop a strategic plan that includes a needs assessment and clear goals to address these needs; an action plan to strengthen and link programs, monitor quality and measure performance of available programs; and an analysis of how necessary resources can be identified.

A listing of other specific recommendations in *Starting Points* to advance these four goals appears as **Attachment 1**. Taking these goals and recommendations into account, we invite proposals that address questions described in the following sections of these guidelines.

II. Proposal Guidelines by Section

The following outline suggests a possible section-by-section structure for a grant request to Carnegie Corporation. We recognize that states and communities vary considerably in their current efforts to identify and meet the needs of families and children under the age of three. Many different strategies may be proposed, depending on existing circumstances and priorities. We are looking for creative responses, particularly those that will have a significant impact on families and children with the greatest needs, that incorporate the major goals of *Starting Points*, and that build on the strengths that exist within each state, city, and community.

A. Summary of Proposal: (about two pages)

This section should offer a brief summary and overview of the proposal: why the initiative is proposed, what will be done, how it will be done, and what the expected results are.

B. Background or Need Statement: (5-7 pages)

Starting Points details a "quiet crisis" that is challenging American families and the healthy growth and development of many of their youngest children, from the prenatal period to age three. A significant percentage of families and young children confront one or more of the following major challenges: isolated and time-pressured parents, substandard child care, poor health and nutrition, and inadequate income supports. In

fact, all families need some community facilitation to nurture their infants and toddlers effectively.

Using the *Starting Points* report as a framework for analyzing needs and taking into account its four main goals, this section should describe the conditions of families with young children from the prenatal period to age three. Where available data on changing trends over time help to define needs in context, they may be useful in this section. You may also wish to include background information on the public policy climate for meeting needs and developing essential supports, the role of the news media in reporting information about families, and the overall "environment" for the healthy development of children.

The following questions should help frame your background statement:

- How well are families faring economically? (eg. family income and employment trends)
- Are parents carefully planning for child-rearing and approaching their obligations responsibly? (eg. data on family planning, teen pregnancy, foster care)
- Do parents have access to important information and support in performing their child-rearing functions? (eg. availability of parent education classes, community outreach, information on available services)
- How well cared for are pregnant women and young children? (eg. data on prenatal care, infant mortality rates, child immunization and health care, and insurance coverage for young children)
- Is the state or community a safe place to raise young children? (eg. data on injuries to children, community violence)
- Is there available high-quality child care to meet the needs of all working parents? (eg. data on waiting lists, caregiver training, and quality standards)

The background statement should describe your efforts to define and organize a coordinated response to the needs of families with young children. Where new initiatives to meet these needs have been undertaken in recent years, please describe their scope, their financial and organizational support, and any evidence regarding their impact.

C. Description of Proposed Work: (12-15 pages)

The description of proposed work should use the *Starting Points* goals and your background statement, including information about already developed initiatives, as a basis for new work that will help you move further in addressing the needs of families with young children. Proposals may include a wide variety of activities of two years' duration that will lay the foundation for longer-term progress and that are appropriate given existing circumstances and priorities.

The following questions are a guide to help you organize a detailed work plan. They are organized in four broad categories that constitute major areas in which the Corporation expects each state, city, or community to make demonstrated progress over the two-year grant period. These categories are: mobilizing stakeholders; strengthening public and private sector policies; improving the quality of programs; and encouraging continuous learning and development.

1. Mobilize State and Community Stakeholders

Starting Points recommends that states, cities, and communities should consider the establishment, or continuation, of a group of high-level stakeholders who can generate wide-scale attention to the needs of all families and young children. Such a group might analyze the current needs of families with young children and develop an action plan for implementing state and community-wide strategies to improve conditions. This group may develop a vision statement and shared goals for progress as well as mechanisms to monitor and refine initiatives for families with young children.

Please consider the following questions:

- In assessing the needs of families with young children, which high-level leaders have been involved in the work to date? What plans or strategies have the stakeholders group already developed?
- What strategies are being considered to sustain the work of the group over time?
- We are especially interested in involving parents, service providers, business leaders, members of the news media, and legislators as critical stakeholders that are often overlooked in state and community planning. How have you or how do you intend to involve these key stakeholders in substantive ways?
- How do you propose to use the stakeholders group and other methods to encourage top down reforms of policy and program strategies, while also stimulating bottom up initiatives from community leaders?
- Do you have plans to implement your strategies in specific communities?
- How might the group be used to broaden public support to meet the needs of families with young children on a state-wide or city-wide basis?
- Overall, how will the work on mobilization advance your goals or mission and address the main goals of *Starting Points*?

2. Improve Public and Private Sector Policies

Public and private sector policies that affect families and young children are often fragmented, not sensitive to family needs, and may have unintended negative consequences. *Starting Points* urges state and local government and private sector institutions to review legislation, regulations, and policies to consider their implications for families with young children under the age of three. Proposals should identify public and private sector policies that might be strengthened, drawing on the collaborative involvement of executive, legislative, and business leaders, as well as other child and family experts. Proposed work should also highlight efforts to identify necessary resources to ensure that policies for families and young children are adequately financed.

- What policies are most important to improve in your planning for families and young children? Why? How do you propose to reform these policies during the next two years? What are the major obstacles to reform and how will your strategies address them?
- Overall, how will the work you propose to improve private and public sector policies advance your mission and address the main goals of *Starting Points*?
- What impact do you expect proposed and new federal policies to have on your planning to meet the needs of families and young children? How might you address possible budget cuts and program consolidations in health care, child care, family support, housing, nutrition, and income assistance?
- What role has the private sector played in developing supportive policies for families and young children? Are there significant opportunities in the development of health care, child care, parent supports, or family leave policies that have been introduced by the private sector? Please provide an analysis of these opportunities.

3. Improve Program Quality

The quality of services and supports available to parents and their young children is often inadequate. *Starting Points* recommends that states and communities assess the adequacy of existing services for families with young children in order to improve and coordinate services, and to introduce mechanisms for monitoring results. Proposed work should emphasize a range of professional, managerial, and other incentives to improve programs and to better link health care, child care, family support, parent education, and economic supports.

- What are your priorities in improving program quality for families with young children? Why? What are the major challenges and opportunities in addressing these issues?
- How do you propose to help service providers with the training and preparation they will need to improve quality and the coordination of services and supports? How might these providers improve access to services and supports?
- Overall, how will the work you propose to improve program quality advance your mission and address the main goals of *Starting Points*?

4. Encourage Continuous Learning and Development

To more effectively mobilize and engage key stakeholders, to strengthen policy, and to improve program quality to better meet the needs of families with young children, states and communities should consider methods to encourage continuous learning and development in all phases of their work, including formal evaluation and documentation methods. Learning and development strategies should be designed to inform policy and program development and to help engage citizens in decisionmaking. Establishing ways to link state and community agencies, private program providers, business and philanthropic leaders, media leaders, university experts, children's advocates and parents in the ongoing exchange of information about meeting the needs of children and families should be given serious consideration.

- What efforts will you undertake to share information that will contribute to the ongoing refinement of the proposed strategies during the grant period? Please describe your documentation and evaluation approaches.
- What indicators or benchmarks of progress have you already developed, or propose to develop, to guide and refine your strategies? To serve as public accountability mechanisms?
- What types of technical assistance will you seek to help complete the proposed work? Where appropriate, please offer specific plans to use expert knowledge in developing aspects of your proposed work.
- What types of technical assistance would you want the foundation to help you identify?
- In considering your own mission and the *Starting Points* goals, how do you plan to integrate the work proposed here with other relevant foundation or demonstration project work that is already in place or under development?

D. Administration: (one page, plus attachments)

This brief section should describe the qualifications of the unit of government or the designated lead organization for carrying out the work.

- Who will be responsible for managing the work? What are their qualifications? (Please attach resumes of principals.)
- Please describe the role(s) and responsibilities of any other collaborating institutions.

Upon receipt of funding from Carnegie Corporation, states and communities will assume responsibility for annual financial and program reports. Such requirements will be established in an award letter to be sent following the Corporation's Board of Trustees approval.

E. Budget Summary: (Narrative up to two pages plus attachments)

Grants of between **\$250,000 and \$400,000** are expected to be made for about eight states or localities to be spent over a two-year period, commencing on January 1, 1996. As a condition of receiving grant funds, the proposal must document a financial contribution that matches the Carnegie Corporation grant amount. The funds may come from existing or new state, local community, private, or discretionary funds, so long as they are used to support the proposed work. "In-kind" resources such as supplies, space or other non-personnel services may not be used to fulfill the match requirement. Carnegie Corporation staff members will be happy to answer specific questions about this requirement.

A letter from each organization that will contribute funds to the proposed project should be provided in an appendix to the proposal; it should indicate the dollar value of the contribution. The letter may indicate that the matching contribution is conditional upon the receipt of a grant from Carnegie Corporation.

The budget summary should include the funds requested from Carnegie Corporation, and matching funds for each year. A sample format for itemizing funds is attached to this guide (Attachment 2). In general, Carnegie Corporation funds cannot be allocated for costs of space, furnishings, and general office equipment. The Corporation also keeps guidelines on appropriate consultant costs that are available upon request. No more than \$5,000 of Carnegie Corporation funds may be used for equipment costs of any kind.

III. Priorities in the Selection of Grantees

Priority will be given to those proposals that have the potential for state or community-wide impact and that particularly include strategies to meet the needs of disadvantaged families with young children. Priority will also be given to proposals that address all four goals in *Starting Points*. This does not rule out proposals that aim to deal in-depth with a limited number of recommendations. However, given the interrelationships among the reforms suggested, we expect the most promising proposals will be those that deal simultaneously with all four goals.

Selection of states or communities to receive grants will be determined by Carnegie Corporation based on the following criteria:

1. The scope and comprehensiveness of the plan to address the major goals of *Starting Points*.
2. The likely success of proposed activities in relation to projected needs, taking into account state or community capacities and willingness to commit the appropriate staff, funding, and other resources necessary to implement this initiative.
3. The extent to which the proposed work will result in the development of effective services and supports.
4. The potential of the proposed work to meet the needs of all families with young children, particularly those at greatest risk.
5. Evidence of ongoing interest, support, and commitment of high-level public officials and agencies, and relevant private entities, to participate actively in the proposed work and to provide necessary financial and other resources. The commitment expressed by the governor, mayor, legislative bodies, and key private sector leaders will be crucial factors in our review.
6. The geographic and demographic distribution of prospective grantees within the United States.

IV. Foundation Technical Assistance

Foundation staff will be happy to clarify any questions that may arise in the preparation of a response to this invitation. All telephone inquiries should be directed to Michael Levine or Susan Smith at Carnegie Corporation, (212) 207-6209 or (212) 207-6314. Dr. Levine and Ms. Smith can also be contacted directly by other potential private funders for additional information.

States or cities awarded grants may obtain some technical support from the foundation and several of its grantees. Technical assistance services will be designed following the announcement of awards in January 1996 and after close consultation with the states and cities on their highest priority needs. Areas of support may include:

- Assistance in planning sustainable leadership groups to meet the needs of families with young children.
- Assistance in developing implementation plans around cross-system linkages, financing, governance, and professional development concerns.
- Assistance in developing program strategies that are effective in reaching hard-to-serve families.
- Assistance in planning a long-term media strategy to build support for the initiative and to engage the public in developing solutions to the challenges facing families with young children.
- Assistance in the design of data collection for needs assessment, management information, evaluation, and the development of progress benchmarks.

V. Meetings of Grantees

Carnegie Corporation will hold periodic conferences to bring together representatives from each state or community during the two-year grant period. These meetings will include opportunities for learning from members of the network, discussions with expert consultants on critical issues, and the development of strategies to improve program plans. Meetings will also be designed to help states, cities, and Corporation staff members share information and develop collaborative strategies to respond to common issues, and to consider ways to disseminate best practices on a national basis.

Attachment 1

Starting Points Recommendations

The main recommendations from Carnegie Corporation's report, *Starting Points: Meeting the Needs of Our Youngest Children*, are as follows:

Promote Responsible Parenthood

- By expanding and improving family planning, pre-conception, prenatal and post-partum services.
- By preventing adolescent pregnancies through better services and supports and by providing more incentives tied to appropriate life options.
- By expanding education about responsible parenting in family, school, health, and community settings.
- By reforming policy to direct resources to effective parent education and family support programs that build on the strengths of individuals and existing neighborhood-based institutions.

Guarantee Quality Child Care Choices

- By strengthening access to family leave and other incentive programs to allow parents to stay home to nurture their infants.
- By adopting "family-friendly" workplace policies, such as flexible work schedules, and assistance with child care that enable parents to meet the pressing demands of family and work life.
- By providing sufficient resources to ensure that child care arrangements are affordable and of high quality for all families, particularly for those of low and moderate income levels.
- By providing greater incentives for program quality through the development of basic consumer protection standards, and by improving the training of child care providers and their compensation.

Ensure Good Health and Protection

- By making comprehensive primary and preventive care services, including prenatal care, nutrition, immunization, and well-child visits available to mothers, infants, and toddlers.
- By offering voluntary home-visiting services to all first-time mothers with a newborn to provide support in adjusting to the demands of parenthood. By providing comprehensive programs of greater intensity to all families who are at-risk for poor

- maternal and child health and social outcomes, including low birthweight, low immunization rates, and high incidents of child abuse or neglect.
- By making the reduction of unintentional injuries to infants and toddlers a priority through community-based child safety planning and through careful control of firearms that can endanger young children.

Mobilize States and Communities to Support Young Children and Their Families

- By promoting a "culture of responsibility" that will enable states and communities to focus sharp, sustained attention on the needs of children under three and to communicate a vision for meeting these needs. Leaders must scale-up effective model programs, plan new initiatives carefully, abandon ineffective approaches, and measure and report these efforts to the public. Because many American families with young children face multiple risk factors—including poverty, unemployment, family instability, single parenthood, divorce and social isolation—special attention should be given to those most in need.
- By establishing mechanisms to create and implement comprehensive policy and program plans that focus on the period before birth through the first three years of a child's life. Every community should study the needs of children 0-3 and their families by initiating a community-based strategic planning process. The planning should involve various sectors, including parents, community-based service providers, corporate, university and philanthropic leaders, and members of the news media.
- By reviewing legislation and regulations, particularly with regard to child care, child health, and welfare reform, in order to raise the quality of services for children under the age of three, and to assure that these children will be protected as new policies are formulated.
- By experimenting with two promising approaches to create family-centered policies and programs: the creation of family and child neighborhood centers to provide services and supports to all families; and the expansion and adaptation of the Head Start model to meet the needs of low-income families with infants and toddlers.

Attachment 2

Budget Narrative

Each year's budget should include funds requested from Carnegie Corporation and a cash match description. The following guidelines may be useful for reporting and explaining budgetary items.

Expenditures

1. ***Salaries and Fees***—Includes all staff salaries that are allocated to the project. Each position, salary, and percentage of time devoted to the project should be identified.
2. ***Fringe***—Includes related benefits and taxes allocable to the salaries listed above. Percentage of salary expenses should be included.
3. ***Consultants***—Includes all fees, honoraria, and expenses paid for consulting and professional services of individuals or organizations that are not paid staff of the organization.
4. ***Conferences/Meetings***—Includes facility, attendance, and meal expenses.
5. ***Printing and Publications***—Includes expenses for production of all printed materials.
6. ***Telephone/Fax***—Includes all telecommunications expenses.
7. ***Supplies***—Includes office supplies, subscriptions, books, and other materials.
8. ***Postage***—Includes all postage and delivery expenses.
9. ***Grants to Communities***—If grants will be provided to communities, please specify amounts.
10. ***Travel***—Includes all air and ground expenses.
11. ***Other***—Includes items not listed above.

Budget Narrative

The budget narrative includes a justification for every line item. In general, the narrative statement should state:

- How the budget item relates to the project, and
- How the amount shown in the itemized budget was calculated

A letter from each person or organization contributing or expected to contribute money must be provided in an appendix to each proposal. Each letter should indicate the dollar value of the contribution to the yearly budget of the project. A letter may indicate that the matching financial contribution is conditional upon the receipt of an award from Carnegie Corporation.

Carnegie Corporation funds cannot be allocated for the costs of space, furnishings, general office equipment (i.e. copying machines), or overhead expenses. No more than \$5,000 per year of Carnegie Corporation grant funds may be used for equipment related to the project (e.g. computers dedicated to the project). The need for such equipment must be justified in the budget narrative.

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Carnegie Quarterly

CARNEGIE CORPORATION OF NEW YORK

OUR BABIES, OUR FUTURE

CHLDRNS SEKRET GRDN reads the child-produced sign on the wall of a small, square, sunlit annex to the office of Dana W. Berry, executive director of the Union City Day Care Program in New Jersey. The children, some as young as two years, have dug up the soil, planted the trees and flowers, and created and labeled their secret garden.

It is lunch time. In one of the center's brightly colored rooms, four adults are feeding youngsters ranging in age from six months to a year. A nine-month-old briefly turns his round, cherubic face with a broad smile to the visitor, away from the grandmotherly woman who is spoonfeeding him a green vegetable puree. This snapshot of life in the infant's first year suggests a world of happy possibilities ahead. Right now, a return to the next spoonful is all that matters.

The scene changes to the intensive care unit of the department of pediatrics at Boston City Hospital. For a baby



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ABRIDGED VERSION

STARTING POINTS

MEETING THE NEEDS OF OUR YOUNGEST CHILDREN



CARNEGIE
CORPORATION OF
NEW YORK