

U.S. Department of Justice
Office of Justice Programs
Office for Victims of Crime



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office for Victims of Crime](#) (OVC) is seeking applications to support specialized services for all victims of human trafficking throughout the United States. This program furthers the Department's mission by enhancing the social service field's response to victims of human trafficking.

OVC Fiscal Year (FY) 2017 Specialized Services for Victims of Human Trafficking

Applications Due: March 9, 2017

Eligibility

By statute, grants under this program may be awarded to states, units of local government, federally recognized Indian tribal governments (as determined by the Secretary of the Interior), and nonprofit (defined as an organization that is described in section 501(c)(3) of Title 26 and is exempt from taxation under 501 (a) of such title), nongovernmental organizations (including tribal nonprofits). For the purposes of this program, a unit of local government is any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a state, territory, or federally recognized Indian tribal government. Organizations with a demonstrated history of providing victim assistance, social services, legal services, shelter, or mental health services for victims of human trafficking are eligible to apply. Tribal governments, tribal nonprofits, and organizations that specialize in serving American Indian and Alaska Native victims of human trafficking are also eligible to apply.

FY 2016 Specialized Services, FY 2016 Comprehensive Services, and FY 2016 Enhanced Collaborative Model to Combat Human Trafficking grantees are not eligible to apply for funding under this solicitation, unless the new proposal outlines new services and cost items that were not included in the FY 2016 application.

Nonprofit organizations that hold money in offshore accounts for the purpose of avoiding paying the tax described in 26 U.S.C. § 511(a) are not eligible to apply.

OVC welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").¹ The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project.

¹ For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (“subgrantee”) in more than one application.

OVC may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due by 11.59 p.m. eastern time on March 9, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How to Apply](#) in Section D. Application and Submission Information.

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to support@grants.gov. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the OVC contact identified below **within 24 hours after the application deadline** to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Ivette Estrada, Victim Justice Program Specialist by telephone at 202-307-0932 or via email at Ivette.Estrada@usdoj.gov.

Grants.gov number assigned to this solicitation: OVC-2017-11578

Release date: January 11, 2017

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OVC FY 2017 Specialized Services for Victims of Human Trafficking (CFDA 16.320)

A. Program Description

Overview

The purpose of this program is to enhance the quality and quantity of specialized services available to assist victims of human trafficking, as defined by the Trafficking Victims Protection Act (TVPA) of 2000, as amended. This solicitation will provide funding to victim service organizations with a demonstrated history of providing services for victims of human trafficking. There are enduring service needs where a greater focus is needed. This solicitation focuses on a number of these identified services in order to fill significant gaps in services to assist all victims of severe forms of trafficking, including services for underserved or unserved populations such as men and boys, American Indians and Alaska Natives (AI/AN), African Americans, Asian Americans, Latinos, Native Hawaiians, Pacific Islanders, and individuals who identify as lesbian, gay, bisexual, transgender, queer, or questioning (LGBTQ). Funding will also support efforts to increase the capacity of communities to respond to human trafficking victims through the development of interagency partnerships, professional training, and public awareness activities.

Statutory Authority: The statutory authority for this program is 22 U.S.C. § 7105(b)(2).

Program-Specific Information

To address the problem of human trafficking in the United States, Congress passed, and the President signed into law, the TVPA of 2000 (22 U.S.C. § 7101 et. seq.), which was amended by the Trafficking Victims Protection Reauthorization Act of 2003, and again amended in 2005, 2008, and 2013. The TVPA seeks to combat “severe forms” of human trafficking by punishing traffickers, protecting victims, and mobilizing U.S. Government agencies to wage a global anti-trafficking campaign.

OVC strives to uphold the intent of the TVPA and its subsequent authorizations to ensure that all trafficking victims, regardless of immigration status, gender, age, sexual orientation, language, religion, disability or form of trafficking, receive support to access the services they need to heal in the aftermath of victimization. Human trafficking occurs within many different settings within communities and the victims of these crimes are very diverse. Victims can be anyone: foreign nationals and U.S. citizens, males and females, adults and minors.

Under this program, a victim of trafficking is defined as a person who has been subjected to a “severe forms of trafficking in persons,” which, as defined in 22 U.S.C. § 7102(9), means:

- i. sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or
- ii. the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

OVC Priority Areas

In the 2016 Annual Report of the United States Advisory Council on Human Trafficking, the President's Council recommends that comprehensive services be available "regardless of who the survivor is. No survivor should be denied services based on their sexual orientation, spiritual beliefs, age, nationality, race, gender, and so on. Additionally, all types of services, such as housing, mental health, and other public services, should be equally provided to survivors of both labor and sex trafficking." (www.state.gov/j/tip/263114.htm). This solicitation is responding to specialized service needs that have been identified by the field to help fill critical gaps in service.

OVC is interested in supporting programs that focus on one or more of the four priority areas identified below:

- 1. Specialized short-term, emergency, transitional, or long-term safe housing or shelter programs.** All proposed specialized shelter programs must be operational. Additionally, applicants that propose any specialized housing and shelter program must be able to demonstrate a history of providing housing and shelter services. Applicants should provide information about whether client participation in the proposed program is voluntary or mandated. Note: Proposals that include new construction of a housing or shelter facility will not be accepted.
- 2. Economic empowerment/education services.** Examples of allowable programs include, but are not limited to: vocational/skills training, financial counseling, job readiness assistance, education programs, and assistance with educational and professional certifications.
- 3. Mental health/substance abuse/health services.** Programs include, but are not limited to, trauma-informed screening, assessment, and service delivery; individual and group counseling; substance abuse treatment; and trauma-specific therapies and treatments.
- 4. Legal services.** Comprehensive and holistic legal services, addressing the range of legal issues that arise from the victimization, may be provided in-house or through referrals to community partners. Examples of allowable services include, but are not limited to, immigration assistance; assistance with civil legal remedies such as family law (including divorce, custody, and child support; emancipation, dependency, or guardianship; and family reunification), protective orders, employment law (including wage and hour claims), public benefits access, and assistance pursuing efforts to vacate a victim's criminal conviction and/or expunge a victim's criminal record (where the law allows a record to be vacated/expunged based on being a human trafficking victim); crime victims' rights enforcement; and advocacy/support in criminal matters. Note: OVC funding may not be used for criminal defense services.

Specialized services supported under this program must be trauma-informed and culturally, linguistically, and developmentally appropriate. Applicants and any partners must have in place policies and procedures promoting cultural competence and culturally and linguistically relevant services, including the accessibility of services for program participants with limited English proficiency.

Note: OVC expects applicants to offer services that are as inclusive as possible of all trafficking victims. Federal laws prohibit recipients of OJP funding from discriminating in the delivery of services on the basis of age, race, color, national origin, sex, religion, or disability. Recipients are also obligated under federal civil rights laws to provide meaningful access to their programs and activities for persons with limited English proficiency. Under certain circumstances, it might be appropriate to limit services based upon age, and to refer otherwise eligible beneficiaries outside of the targeted age group to other services.

Applicants are encouraged to consult with survivors, advocates, social services providers, and nongovernmental organizations to demonstrate the need for this specialized service in their geographic area of focus, describing existing efforts to deliver this service and limitations to these efforts. A victim-centered and trauma-informed approach will help ensure that victims of human trafficking have the opportunity to make informed decisions about the support they need to work through the impact of the crime, address the issues that shaped the trafficking situation, and work toward identifying and achieving their personal goals. It supports the process of informing victims about their options and helping them work with local, state, tribal, and federal law enforcement in the prosecution of the trafficker.

Applicants must include a plan to ensure that case management is provided for all victims of human trafficking receiving the OVC-funded specialized service. For example, case management should be provided, either in-house or through project partners, for minor victims who may be placed in foster care or a group home, or who reside with family; or for adults living independently or within a substance abuse treatment center or shelter. Case management is a central service as it ensures that victims have support to access a variety of services that are coordinated across multiple systems. It ensures the provision of wraparound services that meet victims where they are and helps to express their choices while working through the trauma of the situation and interacting with the necessary local and federal partners. Case management should include assessment of client needs, development of individualized service plans, assessment of eligibility for other public or community-based programs, assistance in accessing publicly funded programs, safety planning, assisting with crime victim compensation claims when possible, information and referral, documentation of services provided, and routine followup to ensure that the victim's needs are being addressed.

Additionally, applicants must ensure that victim advocacy and information about crime victims' rights and services are provided. This may include coordinating with the Federal Bureau of Investigation, U.S. Immigration and Customs Enforcement, and U.S. Attorney's Office (USAO) victim/witness coordinators; victim/witness staff in district attorneys' offices or within local law enforcement; victim advocates within intimate partner violence and domestic violence or sexual assault crisis centers; and local Sexual Assault Response Teams, Sexual Assault Nurse Examiners, and Sexual Assault Forensic Examiner programs. Victim advocates within these settings may provide information on the status of an investigation or prosecution; assistance with the application process for state crime victim compensation benefits; sexual assault forensic medical exam options; accompaniment to court proceedings; additional comprehensive victim services, whether in-house or through referrals; and information to help clients exercise their rights as crime victims within the criminal justice process.

Specialized services should be implemented in coordination with existing community resources. To the extent possible, specialized service providers should assess the needs of each client and make referrals to connect them with other service providers within the community to ensure that all of their needs are met. Collaborations that yield culturally and linguistically appropriate

interventions and services to those with disabilities (such as Deaf and hard-of-hearing clients) and functional needs (such as those with developmental disabilities) are encouraged.

Goals, Objectives, and Deliverables

The primary goal of this program is to enhance the quality and quantity of services available to assist all victims of human trafficking to achieve their goals, which may include increased autonomy and self-sufficiency, and increased feelings of safety and well-being. Victims of trafficking have diverse and distinct needs that may require specialized responses. This solicitation focuses on support of a specialized service or services to bridge gaps in current service provision.

This program has the following objectives:

1. Provide one or more of the four specialized priority service areas identified above for all victims of human trafficking, either in-house or through community partnerships.
2. Work in collaboration with federal, state, and local law enforcement, local service providers, and community- and faith-based organizations to ensure trafficking victims are identified and referred for appropriate services.
3. Conduct training and public awareness activities for professionals and community members in order to improve their knowledge of human trafficking and their ability to identify and respond to victims. (Note: A minimum of 2 percent, but no more than 5 percent, of the total project budget, including match funds, must be dedicated to conducting training and public awareness activities.)
4. Conduct data collection and evaluation activities to determine if the program is meeting stated goals and objectives. (Note: a minimum of 2 percent, but not more than 5 percent, of the total project budget, including match funds, must be dedicated to evaluation and data collection activities.)

The goals, objectives and deliverables are directly related to the performance measures set out in the table in [Section D. Application and Submission Information](#), under "Program Narrative."

Funds awarded through this OVC cooperative agreement are intended primarily to support the cost of direct services that promote victim safety and stability in the short-term aftermath of victimization, leading to the goal of autonomy and economic self-sufficiency. OVC does not set time limits on services, and supports the provision of ongoing case management when there are no other specialized programs to provide case management services; however, **funds awarded through this program are not intended to provide long-term financial support to trafficking victims.** Reliance on OVC grant funding to provide long-term support, including, for example, long-term medical care or shelter expenses, may weaken the overall integrity of the program.

Applicants must demonstrate that a coordinated, community-wide approach will be used to leverage various local, state, and federal resources for the specialized service identified through this initiative. **Applicants that fail to dedicate adequate funding to support one or more of the four specialized service(s) identified above will be negatively impacted in the peer review.**

Resource Coordination

Proposals should fill gaps in existing services. All applicants should determine if there is an existing OVC-funded trafficking victim service provider within their jurisdiction, and work to ensure that the new application does not duplicate existing services currently funded by OVC. If there is currently an OVC-funded trafficking victim service grantee within the same jurisdiction as the applicant's proposal, applicants must (1) document how the new proposal either focuses on a different, new specialized service for trafficking victims than those served by the currently funded provider, supports different services than those already funded, or provides strong justification why additional funding is needed to fill existing gaps in services; and (2) describe how these services will be coordinated within the geographic area. The list of OVC-funded trafficking victim services grantees and the geographic regions they serve are listed on the OVC website at <http://ojp.gov/ovc/grants/traffickingmatrix.html>. OVC will not fund a new proposal that duplicates the services and geographic area already covered by an existing comprehensive services provider. **Applications that fail to address resource coordination with other OVC- and federally funded similar grant programs in their proposal will be negatively impacted during the review process.**

Applicants must also include information about any other open award of federal and state funds that are being used or will be used, in whole or in part, for one or more of the identical cost items outlined within this application. Applicants with current OVC funding for services for victims of human trafficking must demonstrate how the new proposal fills gaps in services or interventions not previously addressed by the existing OVC grant.

With regard to services provided to individual clients, applicants must ensure that eligible victims served under this program are not concurrently served with other federally funded grants, contracts, or subawards issued to the applicant agency specifically for services for victims of human trafficking, such as awards funded by U.S. Department of Health and Human Services (HHS) or other federal sources. An agency that receives both OVC trafficking services funds and is an HHS Trafficking Victim Assistance Program (TVAP) grantee or subawardee should use OVC funds to provide services to foreign national clients until the victim achieves HHS certification or an Eligibility Letter (pre-certification services), and should use TVAP funds to assist foreign national clients after they have received HHS certification or an Eligibility Letter (post-certification services) [see below].

- Foreign national victims (minors and adults), if applicable: OVC-funded services can be provided to a foreign national victim in the short-term aftermath of victim identification until they achieve HHS certification or eligibility. Once a trafficking victim receives HHS certification or eligibility, service providers should refer the victim to other federal, state, or local programs for which the victim may be eligible, including HHS-funded services. If no trafficking-specific case management and/or legal services exist within a reasonable distance from where the trafficking victim resides, the grantee may continue to use OVC grant funds to provide case management and legal services. Approval to use grant funds for other services beyond case management and legal services for certified foreign national victims or eligible minors must be granted in writing by OVC. (OVC is currently reviewing this guidance and may revisit it in the future.)
- U.S. citizens (minors and adults), if applicable: Services can be provided to a victim in the short-term aftermath of victim identification until they are able to access other federal, state, or local programs for which they may be eligible. If no trafficking-specific case management or legal services exist within a reasonable distance from where the

trafficking victim resides, the grantee may continue to use OVC grant funds to provide case management and legal services.

Coordinating With Law Enforcement

OVC strongly encourages all grantees to assist clients above the age of 18 in complying with reasonable requests from local, state, federal, or tribal government agencies with the authority to investigate or prosecute trafficking acts. OVC is committed to the elimination of all forms of trafficking in persons, which requires the prosecution of traffickers as a key part of a multifaceted strategy. Victim-centered investigations and prosecutions of traffickers reduce harm and increase safety for our communities while supporting the healing of victims. Minors (defined here as persons under the age of 18), whether foreign nationals or U.S. citizens, should be encouraged to comply with reasonable requests, if possible, with the understanding that the extent of reasonable cooperation depends on the age, trauma, and maturity of the victim, among other things.

Evidence-Based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- improving the quantity and quality of evidence OJP generates;
- integrating evidence into program, practice, and policy decisions within OJP and the field; and
- improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The OJP CrimeSolutions.gov website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

B. Federal Award Information

OVC expects to make awards of up to \$600,000 for a 36-month period of performance, to begin October 1, 2017.

OVC reserves the right to exercise discretion in setting award amounts. Award amounts will be based on the documented number of victims served each year during 2015 and 2016 within the targeted geographic region, the geographic location of the project, the scope and complexity of the service strategy, funding priorities, and funding availability.

OVC may, in certain cases, provide additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic

priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds, and to any modifications or additional requirements that may be imposed by law.

Type of Award

OVC expects that any award under this solicitation will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities²) must, as described in the Part 200 Uniform Requirements³ as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor [the recipient's (and any subrecipient's)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

² For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient ("subgrantee") to carry out part of the funded award or program.

³ The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

Budget Information

Cost Sharing or Match Requirement (cash or in-kind)

Federal funds awarded under this solicitation may not cover more than 75 percent of the total costs of the project. An applicant must identify the source of the 25 percent non-federal portion⁴ of the total project costs and how it will use match funds. If a successful applicant's proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. ("Match" funds may be used only for purposes that would be allowable for the federal funds.) Recipients may satisfy this match requirement with either cash or in-kind services. See the [DOJ Grants Financial Guide](#) for examples of "in-kind" services. The formula for calculating the match is:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

$$\text{Required Recipient's Share Percentage} \times \text{Adjusted Project Cost} = \text{Required Match}$$

Example: 75%/25% match requirement: for a federal award amount of \$600,000, calculate match as follows:

$$\frac{\$600,000}{75\%} = \$800,000 \quad 25\% \times \$800,000 = \$200,000 \text{ match}$$

For additional information cost sharing and match, see the [DOJ Grants Financial Guide](#).

Pre-Agreement Costs (also known as Pre-Award Costs)

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#) for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency

⁴ Indian tribes and tribal organizations that otherwise are eligible for an award may be able to apply certain types of funds received from the federal government (for example, certain funds received under an Indian "self-determination contract") to satisfy all or part of a required "non-federal" match.

with a Certified SES Performance Appraisal System for that year.⁵ Until the 2017 salary table for SES employees is available, please refer to the 2016 rates of basic pay, at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the [OJP Funding Resource Center](#).

Lobbying, promoting, or advocating the legalization/regulation of prostitution.

The Federal Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing and contribute to the phenomenon of trafficking in persons. U.S. nongovernmental organizations and their subgrantees cannot use U.S. Government funds to

⁵ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

lobby for, promote, or advocate the legalization or regulation of prostitution as a legitimate form of work. Foreign nongovernmental organizations and their subgrantees that receive U.S. Government funds to fight trafficking in persons cannot lobby for, promote, or advocate the legalization or regulation of prostitution as a legitimate form of work. It is the responsibility of the primary grantee to ensure these criteria are met by its subgrantees.

C. Eligibility Information

For eligibility information, see the title page.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that OVC has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, OVC has designated the following application elements as critical: Program Narrative; Budget Detail Worksheet and Budget Narrative; Evaluation Plan for Collecting the Data Required for this Solicitation's Performance Measures; Project Timeline; MOUs, Letters of Intent, and Subcontracts/Subgrants; and Training Plan.

An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) (below) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. Also, OJP recommends that applicants include resumes in a single file.

1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and the OJP Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

To avoid processing delays, applicants must include an accurate legal name on their SF-424. Current OJP award recipients, when completing the field for “Legal Name” should use the same legal name that appears on the prior year award document, which is also the legal name stored in OJP’s financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. Applicants with current awards must ensure that their GMS profile is current. If it isn't, they should submit a Grant Adjustment Notice updating the information on their GMS profile prior to applying under this solicitation.

New applicants should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. Applicants must attach official legal documents to their applications (e.g., articles of incorporation, 501C3) to confirm the legal name, address, and EIN entered into the SF-424.

Intergovernmental Review: This solicitation (“funding opportunity”) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

2. Project Abstract (Attachment 1)

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be—

- written for a general public audience;
- submitted as a separate attachment with “Project Abstract” as part of its file name; and
- single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.

The abstract must include the following information:

- Legal name of the applicant (if two or more entities are applying, identify the legal name for lead applicant and the subrecipient(s))
- Proposed specialized service(s).
- Specific description of the geographic area where activities will be focused.
- Amount of federal funding requested.
- Number of trafficking victims served each year in 2015 and 2016.

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

Permission to share project abstract with the public: It is unlikely that OJP will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding unfunded applications, for example, through a listing on a web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

Note: OJP may choose not to list a project that otherwise would have been included in a listing of unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

3. Program Narrative (Attachment 2)

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman preferred); have margins that are 1 inch or wider; and not exceed 30 pages. Pages should be numbered "1 of 25," "2 of 25," etc. Applicants must submit a coherent, concise, and complete plan for the implementation of this program that addresses the requirements of the solicitation as described below.

If the program narrative fails to comply with these length-related restrictions, OVC may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative⁶:

a. Statement of the Problem

- i. Identify the nature and scope of the problem that the program will address. Applicants must demonstrate the problem of human trafficking within the targeted geographic region. Applicants must also include data on the number of victims of human trafficking *identified* by the applicant and any partners in the proposed geographic area, as well as local, state, and federal data on the number of investigations and prosecutions. Demographic analysis of underserved populations, including data on country of origin and language ability, are encouraged. **Applicant must provide the source of this data. Note: data should come from multiple sources and beyond national hotline data.**
- ii. Describe previous or current attempts to address the problem. Applicants must include data on the number of trafficking victims *served* by the applicant and any identified partners for 2015 and 2016 within the targeted geographic region. At a minimum, applicants must identify the total number of victims previously served within the targeted geographic region with federal and nonfederal funds, and the types of victims they have served (sex and/or labor trafficking victims). **Applicant must provide the source of this data. Note: data should come from multiple sources and beyond national hotline data.**
- iii. Describe the specialized service that is needed. Applicants must select one or more of the four priority areas listed on page 5 and describe the specific problem to be addressed, unmet needs, and the gap in services within the community that the applicant intends to fill. The applicant must also describe the specific geographic

⁶ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

region that will be covered. Additionally, the applicant must provide information that supports how the specialized service is successful in meeting the needs or improving the well-being of trafficking victims. Culturally and linguistically tailored interventions and programs that facilitate effective communications with individuals with disabilities are encouraged.

- iv. Describe how this funding opportunity will help address these problems. Provide a clear statement of how funding will support the program's value to the victims field by addressing the specific problem(s). If the applicant organization is receiving funding from any other sources to provide services and support for human trafficking victims, the strategy must demonstrate how the OVC funding would leverage the other funding to enhance the response to victims. See Resource Coordination on pages 8–9 for more information about what an application must include when describing gaps in services and coordinating resources with other OVC-funded service providers.
- v. Describe how the proposal fills gaps in services. Applicants with current OVC funding for services for victims of human trafficking must demonstrate how this application fills gaps in services not previously addressed by current available funding. See Resource Coordination on pages 8–9 for more information.

b. Project Design and Implementation

- i. Identify one or more of the priority areas. Applicants should describe the selected specialized service(s) from the four priority areas identified on page 5 and a detailed implementation plan for the identified specialized service(s). The plan must describe how the service(s) will be delivered, either in-house or through project partners, and what agency will be responsible for delivering the service.
- ii. Provide MOUs, Letters of Intent, and/or Subcontracts/Subgrants. For services to be provided by project partners, applicants must name the project partner(s) that will provide the specific service(s) in the program narrative, and include, as an attachment to the application, a subcontract/subgrant, Letter of Intent, or Memoranda of Understanding (MOU) describing the organization's commitment to provide the specialized service and the fee for the service or cost to the grant for each service (see page 30).
- iii. State goals, objectives, and activities. Applicants must clearly state the goals, objectives, and primary activities that will be accomplished through this project as part of their implementation plan. These activities must be in alignment with the stated goals and objectives of this solicitation as described on page 7.
- iv. Describe policies and procedures promoting cultural competence and culturally and linguistically appropriate services. Applicants and any partners should have in place policies and procedures promoting cultural competence and culturally and linguistically appropriate services, including the accessibility of services for program participants with limited English proficiency.
- v. Describe identification/screening/referral plan. Applicants must provide a detailed plan describing victim identification, screening, assessment, safety planning, and service planning. Programs must have the capacity to formally identify victims of

human trafficking within the population served and to deliver the identified specialized service(s) to victims directly within their agency and/or through a formal partnership (including referring victims to the appropriate community agency if no such partnership exists). If victims have needs outside the identified specialized area, applicants must describe their referral protocols to ensure that victims are able to access services from another service provider.

- vi. Describe case management plan. Applicants must provide a detailed plan to ensure that case management is provided for all victims of human trafficking receiving the OVC-funded specialized service. Applicants must demonstrate how victims will receive case management and describe whether case management services will be accessible in-house or through community partners. **Note: Funds awarded through this solicitation are intended primarily to support the costs of one or more of the four specialized service area(s).**

c. Capabilities and Competencies

- i. Describe the organization's experience in providing the proposed specialized service(s). Applicants must also explain their experience and capacity to provide trauma-informed and culturally appropriate services for people from diverse communities, including underserved communities. Applicants must demonstrate a history of providing these services on behalf of victims of human trafficking and include the number of human trafficking victims served each year in 2015 and 2016 by the applicant agency and any formal partners included in the budget. If applicable, applicants should describe their standard operating procedures with regards to serving limited English proficient individuals and those with disabilities, including individuals who are deaf or hard-of-hearing or those with functional needs.
- ii. Indicate the name of the agency and the staff name/position title of the person(s) that will be providing the identified direct specialized service(s). For those services provided by project partners, applicants must also include information about how the performance of the service provider will be monitored.
- iii. Describe key personnel experience in providing the proposed specialized service(s). Applicants must also demonstrate that personnel who provide direct specialized services, including case managers, have prior victim service experience or will be under the direct supervision of a senior case manager or project director who has such experience. Applicants are encouraged to describe how Board, Advisory Council, and staff members are reflective of identified culturally specific communities through their knowledge or experience.
- iv. Describe the staffing structure. Applicants must describe the staffing structure of the program, information about how the program will be managed, and how key staff, including case managers, will be supervised.
- v. Describe the roles and responsibilities of key personnel. Applicants must also provide a list of the personnel responsible for managing and implementing major activities of the project, and include a description of the current and proposed professional staff member's unique qualifications that will enable them to fulfill their grant responsibilities. An organizational chart may also be included. Position

	Number of collaborative partners providing services.	Number of collaborative partners serving trafficking victims during the performance period, broken down by type of organization.
Work in collaboration with federal, state, and local law enforcement; local service providers; and community- and faith-based organizations to ensure trafficking victims are identified and referred for appropriate services.	Number of human trafficking victims identified.	Total number of human trafficking victims identified.
Conduct training and public awareness activities for professionals and community members in order to improve their knowledge of human trafficking and their ability to identify and respond to victims.	Number of training events conducted. Number of participants who attend training.	Number of trainings conducted during the performance period, broken down by topic. Number of participants attending trainings during the performance period, broken down by type of participant.

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements, likely do not constitute “research.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection for OJP-funded programs, is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) web page of the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017," available

through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

4. Budget and Associated Documentation (Attachment 3)

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year, **reflecting 36 months total of project activity.**

Grant funds awarded for services to victims of human trafficking are designed to support costs for the key activities of this program: direct victim services, training, data collection, and evaluation. Applicants must dedicate a line item, within the appropriate budget category, for each specialized service that is selected in the program narrative. Minimal funds should be dedicated towards supporting administrative costs.

- i. Personnel costs: Applicants must clearly demonstrate in the budget and the budget narrative the percent of time that each staff person will dedicate to the above mentioned key program activities. Project activities that do not fall within those key elements, but are part of a person’s salary and/or effort, should be noted as *other activities*. Examples of those types of other activities may include building and maintaining partnerships, attending project related meetings, or participating in OVC-mandated grantee, regional, and annual meetings. For example, a Case Manager’s time breakdown for the OVC grant is 75 percent on direct services, 5 percent on data collection, 5 percent on administrative tasks, 10 percent on training activities, and 5 percent on other activities related to the project, namely, attending mandated and/or project-related meetings.
- ii. Administrative costs: Administrative costs related to the salary and fringe benefits of executive-level leadership and accounting/financial administration should not exceed more than 10 percent of the total direct cost of the project (indirect costs supported with a federally approved Indirect Cost Rate Agreement are not included within this 10-percent limit.)
- iii. Travel for required trainings: The Travel category of the Budget Detail Worksheet should include costs to support the travel of staff to attend trainings related to human trafficking. Applicants may plan to send 1–2 staff to attend the required trainings listed below. For each event requiring staff travel, applicants must break out costs associated with travel, lodging, per diem, and ground transportation.

Required trainings for OVC grantees are listed below:

- The Regional Financial Management Training Seminar sponsored by OJP’s Office of the Chief Financial Officer (OCFO), unless the applicant has previously attended this seminar or plans to take the training online. Specific information about the dates and locations of upcoming OCFO events and

information about the DOJ Grants Financial Management Online Training can be found at www.ojp.usdoj.gov/training/training.htm.

- Three OVC annual grantee meetings, of 2 days each, in Washington, DC.
- One regional human trafficking training.

Note: Travel costs associated with project staff (e.g., travel for a consultant or a speaker) who are not directly employed by the grantee organization must be listed under the Consultant Budget category on the Budget Detail Worksheet.

- iv. Consultant rates: Consultant rates may not exceed the maximum of \$650 per day or, if paid by the hour, \$81.25 per hour for a maximum 8-hour workday. Rates that exceed the maximum rate must be strongly justified by the applicant at the time of the application and approved in writing by OVC after the award is made. Consultants or other providers who are donating the cost of their services as match toward the project are also subject to the \$650 per day or \$81.25 per hour limitation.
- v. Budget Summary: The summary at the end of the Budget Detail Worksheet should provide the subtotals for the federal request and the non-federal match amounts for the full 3-year period. The federal request and non-federal match amount stated in the Budget Summary should match the federal request that was entered into the SF-424. (See page 13 for more information about the SF-424.)

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The budget narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how those costs are necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the budget narrative should describe costs by year.

c. Information on Proposed Subawards (if any), and on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a "subaward" or is instead a procurement "contract" under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

i. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should— (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

ii. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a noncompetitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement “contract” that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

d. Pre-Agreement Costs

For information on pre-agreement costs, see [Section B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable) (Attachment 4)

Indirect costs may be charged to an award only if:

- a. the recipient has a current (that is, unexpired), federally-approved indirect cost rate; or
- b. the recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (that is, unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the "de minimis" rate should attach written documentation to the application that advises OJP of both— (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the "de minimis" rate.)

6. Tribal Authorizing Resolution (if applicable) (Attachment 5)

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

An applicant unable to submit an application that includes a fullyexecuted (i.e., signed) copy of legal appropriate documentation, as described above, consistent with the applicable tribe’s governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, OJP will make use of and access to award funds contingent on receipt of the fullyexecuted legal documentation.

7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status) (Attachment 6)

Every applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.
- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high-risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Additional Attachments

a. Applicant Disclosure of Pending Applications (Attachment 7)

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency.
- The solicitation name/project name.
- The point of contact information at the applicable federal or state funding agency.

Federal or State Funding Agency	Solicitation Name/ Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/Substance Abuse & Mental Health Services Administration	Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of in this application.”

b. Research and Evaluation Independence and Integrity (Attachment 8)

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:

a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior

technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

- c. **Disclosure of Process Related to Executive Compensation (Attachment 9)**
An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (in the "OJP Financial Management and System of Internal Controls Questionnaire" mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the Internal Revenue Service for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

d. Evaluation Plan for Collecting the Data Required for this Solicitation's Performance Measures (Attachment 10)

Data collection and evaluation activities are necessary to document the required performance measures and ensure projects meet intended goals related to service provision and impact on victims of human trafficking. Applicants must describe an implementation plan for the collection of performance measurement data and program evaluation.

- i. The plan must identify (1) the evaluation consultant or key staff who will conduct the program evaluation and evaluation activities, (2) qualifications of the consultant or staff selected to conduct evaluation activities, and (3) the basic methodology and timeline for the evaluation. It is strongly encouraged that the evaluator be independent and not connected, directly or indirectly, to the applicant organization outside of the agreement for the program evaluation.
- ii. The evaluation plan must include a description of the proposed methods for the collection of data for the required performance measures of this grant, including a plan to use TIMS Online. (See "Performance Measures", pages 18–19).
- iii. Costs dedicated to data collection and evaluation activities must be detailed in the evaluation plan and must also be included as line items within the appropriate categories of the Budget Detail Worksheet and Budget Narrative (see pages 20–23).
 - **Under this program, the applicant must allocate a minimum of 2 percent (but not more than 5 percent) of the total project budget, including match funds, to collect data on the performance measures of this grant.**
 - It is recommended that the evaluation plan include a chart with budgeted costs (both federal and match amounts) for each staff person who will be dedicating effort to evaluation and data collection activities to show that the cumulative costs for this purpose fall between required percentages.
 - The proposal and budget must clearly reflect the partnership of the evaluator.

e. Logic Model (Attachment 11)

Applicants must include a logic model that graphically illustrates how the project's goals, objectives, and activities are interrelated to address the stated problem. The logic model must be included as a separate attachment and must include information related to anticipated outputs, performance measures, and short- and long-term outcomes that are anticipated for victims served and the community. Sample logic models are available at www.ojjdp.gov/grantees/pm/logic_models.html. The logic model must also be in alignment with the Evaluation Plan for Collecting the Data Required for this Solicitation's Performance Measures.

f. Training Plan (Attachment 12)

Training and public awareness activities are integral to a community's response to human trafficking. Applicants must include, as a separate attachment to this application, implementation plans for conducting local trainings for project partners and other community members, public awareness activities, and plans to provide staff with professional development opportunities (including travel to attend local and national victim assistance or regional or national trafficking conferences).

- i. The training plan should include information about (1) target audiences for trainings and public awareness activities, (2) topics of trainings, (3) tentative dates or frequency of training events, and (4) the key staff involved in delivering training. The plan should also identify specific professional development opportunities for staff, including costs to attend local or national victim assistance or regional or national trafficking conferences.
- ii. Costs dedicated to training, public awareness, and professional development activities must be detailed in the training plan and also included as line items within the appropriate categories of the Budget Detail Worksheet and Budget Narrative.
 - **Under this program, OVC recommends that a minimum of 2 percent (but no more than 5 percent) of the total project budget, including match funds, be dedicated to conducting training and public awareness activities and providing project staff with professional development opportunities (including travel costs, staff time, and speaker fees, if applicable).** Please note that required attendance at DOJ grantee and/kick off meetings, or participation at conferences or workshops, are not considered part of training costs.
 - As with the evaluation costs, it is strongly recommended that the training plan includes a chart to illustrate the breakdown of *federal funds* and *match amounts* for each project staff person, consultant, and contractual entity that will devote effort towards training activities. The Budget Detail Worksheet and Budget Narrative should match the amounts shown on the chart. It must be clear where these numbers are pulled from within the budget.
- iii. An agency that receives both OVC funds and HHS funding through the Rescue & Restore Victims of Human Trafficking Regional Program for training and public awareness activities must describe how activities and data collection on these projects will be tracked separately to avoid duplication.

Note: All training hosted by the applicant organization with funds awarded through this cooperative agreement would be subject to regulations, policies, and guidance outlined on the OJP Website at www.ojp.gov/funding/confcost.htm. This includes the requirement to obtain specific DOJ prior approval at least 120 days before the date of a conference, training, or other formal event planned and implemented with the use of grant funds. The training plan submitted within the application program narrative should include the submission of requests for DOJ prior approval. For additional conference information, see page 12.

g. MOUs, Letters of Intent, and Subcontracts/Subgrants (Attachment 13)

For services to be provided by project partners, applicants must provide subcontracts/subgrants, Letters of Intent, or MOUs describing the commitment from that organization to provide the specialized service(s) and the fee for the service or cost to the grant for each service. If services are to be provided as in-kind match, pro bono, government-subsidized programs, or at no cost to the grant, this must be clearly stated in the MOU, Letter of Intent, or subcontract/subgrant.

Subagreements must be a fee-for-service agreement, and submitted as one separate attachment to the application. The following information must be included in these types of documents:

- Names of the organizations to be involved.
- Scope of the direct specialized service(s) and other work to be performed under the agreement.
- Duration of the agreement.
- Estimated cost per victim or cost of actual services provided, describing whether it is a fee-for-service, in-kind match, or no-cost. (Applicants must describe how services will be provided to victims without the use of grant funds.)
- Total amount of the agreement.
- Whether or not there is a minimum or maximum number of victims that may be served under the agreement.

Applications with insufficient documentation to fully demonstrate the applicant's ability to implement their proposed service plan will be negatively impacted during the review process. Awards made to applicants under this solicitation will contain a special condition precluding access to the full amount of grant funds until all supporting documentation is received and approved by OVC.

h. Project Timeline (Attachment 14)

The timeline document must include the following:

- Milestone project goals.
- Related objectives, activities (including data collection and programmatic and financial reporting), and expected completion dates.
- Organization and person(s) responsible for completing each task on the timeline.

i. Position Descriptions and Resumes (Attachment 15)

Position descriptions and resumes for key positions should be tailored to the applicant to demonstrate qualifications of staff involved in the project.

j. Privacy Certificate (Attachment 16)

OVC and recipients of OVC funding are subject to confidentiality requirements protecting research and statistical information collected that is identifiable to a private person under the DOJ regulations found at 28 CFR Part 22. Identifying characteristics include, but are not limited to, identifiers such as name, address, Social Security number or other identifying number, fingerprints, voiceprints, photographs, genetic information, or any other item or combination of data about a person that could reasonably lead, directly or indirectly, by reference to other information, or to identification of that individual(s). OVC requires that applicants submit an updated Privacy Certificate with their application. A Privacy Certificate must be approved prior to engaging in any project activities that involve data collection on individuals through observations, interviews, reports, or review of administrative records, or any project tasks likely to result in the gathering or development of information identifiable to individuals. OVC-funded activities that require a Privacy Certificate prior to conducting the activity include, but may not be limited to, a needs assessment, program evaluation, survey, or focus group interview. For sample Privacy Certificates, visit www.ojp.usdoj.gov/funding/forms.htm and view the two model Privacy Certificates available for adaptation. For additional guidance on Privacy

Certificate content, visit the National Institute of Justice’s Privacy Certificate Guidance at www.ojp.usdoj.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm.

How to Apply

Applicants must register in, and submit applications through, Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

Browser Information: Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

Note on Attachments: Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Please ensure that all required documents are attached in either Grants.gov category.

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully-submitted applications to the OJP Grants Management System (GMS).

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (‘)
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	Applicants must use the “&” format in place of the ampersand (&) when using XML format for documents.		

GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications

with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps.

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System ["DUNS"] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at www.sam.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance ("CFDA") number for this solicitation is CFDA 16.320, titled "OVC FY 2017 Specialized Services for Victims of Human Trafficking," and the funding opportunity number is OVC-2017-11578.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on March 9, 2017.

Click [here](#) for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the OVC contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the

complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

Note: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) web page.

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria:

1. Statement of the Problem/Description of the Issue (15%)
2. Project Design and Implementation Plan (35%)
3. Capabilities and Competencies (30%)
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.⁷ (10%)
6. Training Plan (5%)

Review Process

OJP is committed to ensuring a fair and open process for making awards. OVC reviews the application to make sure that the information presented is reasonable, understandable, measurable, achievable, and consistent with the solicitation.

⁷ Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

For a list of the critical elements for this solicitation, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. OVC may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, available funding, and the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPIIS”).

Important note on FAPIIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as—

1. applicant financial stability and fiscal integrity;

2. quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide;
3. applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), and awards from other federal agencies;
4. reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements; and
5. applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only peer review ratings and OVC recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions and all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)," available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)

- [Standard Assurances](#)

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, OVC expects that any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the "substantial federal involvement" in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, and review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

In addition to a condition that sets out the "substantial federal involvement" in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

General Information about Post-Federal Award Reporting Requirements

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

1. Required Reports

Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP website at <http://ojp.gov/funding/FAPIIS.htm>.

2. Data on Performance Measures

In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success,

and to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352. OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

G. Federal Awarding Agency Contact(s)

For OJP Contact(s), see the title page.

For contact information for Grants.gov, see the title page.

H. Other Information

Freedom of Information Act and Privacy Act (5 U.S.C. §§ 552 and 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These

contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to ojppeerreview@lmsolas.com. (Do not send your resume to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist OVC FY 2017 Specialized Services for Victims of Human Trafficking

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- Acquire a DUNS Number (see page 33)
- Acquire or renew registration with SAM (see page 33)

To Register with Grants.gov:

- Acquire AOR and Grants.gov username/password (see page 34)
- Acquire AOR confirmation from the E-Biz POC (see page 34)

To Find Funding Opportunity:

- Search for the Funding Opportunity on Grants.gov (see page 34)
- Download Funding Opportunity and Application Package (see page 34)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 32)
- Read [Important Notice: Applying for Grants in Grants.gov](#)
- Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 12)

After Application Submission, Receive Grants.gov Email Notifications That:

- (1) application has been received,
- (2) application has either been successfully validated or rejected with errors (see page 34)

If No Grants.gov Receipt, and Validation or Error Notifications are Received:

- contact OVC regarding experiencing technical difficulties (see page 32)

Overview of Post-Award Legal Requirements:

- Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

Scope Requirement:

- The federal amount requested is within the allowable limit(s) of \$600,000.

Eligibility Requirement: See eligibility information on the Title page.

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 14)
- Project Abstract (see page 14)
- Program Narrative (see page 15)
- Budget Detail Worksheet (Note: Indicate percentage of time each position will dedicate to administrative/operational activities, direct services, outreach, training, and/or evaluation) (see page 20)
- Budget Narrative (see page 21)
- Indirect Cost Rate Agreement (if applicable) (see page 23)
- Tribal Authorizing Resolution (if applicable) (see page 24)

_____	Financial Management and System of Internal Controls Questionnaire	(see page 24)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 25)
_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 25)
_____	Research and Evaluation Independence and Integrity	(see page 26)
_____	Disclosure of Process related to Executive Compensation	(see page 28)
_____	Evaluation Plan for Collecting the Data Required for this Solicitation's Performance Measures (Note: Costs within 2- to 5-percent range)	(see page 29)
_____	Logic Model	(see page 29)
_____	Training Plan (Note: Costs within 2- to 5-percent range)	(see page 30)
_____	MOUs, Letters of Intent, and Subcontracts/Subgrants	(see page 30)
_____	Project Timeline	(see page 31)
_____	Position Descriptions and Resumes	(see page 31)
_____	Privacy Certificate	(see page 31)
_____	Request and Justification for Employee Compensation Waiver (if applicable)	(see page 12)