

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office for Victims of Crime](#) (OVC) is seeking applications for states or tribes to develop, enhance, and coordinate programs and activities geared toward improving outcomes for child and youth victims of sex and labor trafficking and a technical assistance provider to aid their efforts. The purpose of this grant is to improve statewide coordination and multidisciplinary collaboration to address human trafficking involving children and youth. This program furthers the Department's mission by enhancing the field's response to victims of human trafficking.

## **FY 2018 Improving Outcomes for Child and Youth Victims of Human Trafficking**

### **Applications Due: July 9, 2018**

#### **Eligibility**

This solicitation has two funding categories.

**For eligibility under Category 1 (Statewide or Tribal Jurisdictionwide Response):** Eligible applicants are states (including U.S. territories and the District of Columbia) and federally recognized Indian tribal governments (as determined by the Secretary of the Interior). Grantees awarded funding in FY 2016 or 2017 under the Improving Outcomes for Child and Youth Victims of Human Trafficking solicitation are not eligible to apply for funding under this solicitation, unless the new proposal outlines new services, cost items, or a distinct geographic scope not included in the FY 2016 or 2017 application.

Eligible subrecipients are 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 eligibility under Category 2 (Children and Youth Technical Assistance Program):** Eligible applicants are nonprofit, nongovernmental organizations (including tribal nonprofit organizations), for-profit organizations (including tribal for-profit organizations), and institutions of higher education (including tribal institutions of higher education).

All recipients and subrecipients for either category must forgo any profit or management fee. Additionally, 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 subrecipients. All recipients and subrecipients for either category must forgo any profit or management fee.

OVC may elect to make awards for applications submitted under this FY 2018 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

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).<sup>1</sup> The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

## Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on July 9, 2018.

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, 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, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at [support@grants.gov](mailto: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 the National Criminal Justice Reference Service (NCJRS) Response Center: toll free at 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email to [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center operates from 10:00 a.m. to 6:00 p.m., eastern time, Monday through Friday, and from 10:00 a.m. to 8:00 p.m., eastern time on the solicitation closing date.

Grants.gov number assigned to this solicitation: OVC-2018-14044  
Release date: June 7, 2018

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

# Contents

A. Program Description.....	4
Overview .....	4
Program-Specific Information.....	4
Goals, Objectives, and Deliverables .....	5
Evidence-Based Programs or Practices .....	10
Information Regarding Potential Evaluation of Programs and Activities .....	11
B. Federal Award Information .....	11
Type of Award.....	12
Financial Management and System of Internal Controls .....	12
Budget Information.....	13
Cost Sharing or Match Requirement (cash or in-kind).....	13
Pre-Agreement Costs (also known as Pre-Award Costs) .....	13
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	14
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	14
Costs Associated with Language Assistance (if applicable) .....	14
C. Eligibility Information .....	15
D. Application and Submission Information .....	15
What an Application Should Include .....	15
How To Apply.....	33
E. Application Review Information .....	38
Review Criteria.....	38
Review Process .....	38
F. Federal Award Administration Information.....	40
Federal Award Notices.....	40
Administrative, National Policy, and Other Legal Requirements.....	40
General Information about Post-Federal Award Reporting Requirements.....	41
G. Federal Awarding Agency Contact(s) .....	41
H. Other Information .....	42
Freedom of Information Act and Privacy Act (5 U.S.C. §§ 552 and 552a).....	42
Provide Feedback to OJP .....	42
Appendix A: Performance Measures Table .....	43
Appendix B: Supplemental Budget Guidance .....	45
Appendix C: Application Checklist .....	47

# FY 2018 Improving Outcomes for Child and Youth Victims of Human Trafficking

## CFDA # 16.320

### A. Program Description

#### Overview

The purpose of this program is to improve outcomes for children and youth who are victims of human trafficking by integrating human trafficking policy and programming at the state or tribal level and enhancing coordinated, multidisciplinary, and statewide approaches to serving trafficked youth. This solicitation has two categories. The first category seeks applications for up to 3 state or tribal jurisdictions to identify the state or tribe's greatest barriers to identifying and assisting child and youth victims of sex and labor trafficking and/or to investigating and prosecuting these cases, and to develop a statewide or tribal jurisdictionwide strategy to address these challenges. The second category seeks an applicant to provide training and technical assistance (TTA) that is tailored and specific to the sites funded under the Improving Outcomes for Child and Youth Victims of Human Trafficking program (both those newly funded in FY 2018 under category 1 and the six previously funded grantees).

**Statutory Authority:** This project is authorized by The Justice for Victims of Trafficking Act of 2015 (18 U.S.C. § 3014(h)(2)); Trafficking Victims Protection Act of 2000 (22 U.S.C. § 7105(b)(2)).

#### Program-Specific Information

The Trafficking Victims Protection Act of 2000 ("TVPA") was enacted to address the problem of human trafficking. 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. In 2014, Congress passed, and the President signed into law, the Preventing Sex Trafficking and Strengthening Families Act (Public Law 113-183). Title I of the law modifies existing or adds new requirements for state and tribal IV-E agencies to identify, report, and determine services to child and youth victims of sex trafficking, including coordination with law enforcement. In 2015, Congress passed, and the President signed into law, the Justice for Victims of Trafficking Act (Public Law 114-22) which created the Domestic Trafficking Victims' Fund and provided that funds may be used to award grants, including for the purposes of developing, improving, or expanding programs that "assist law enforcement officers, prosecutors, judicial officials, and qualified victims' services organizations in collaborating to rescue and restore the lives of victims, while investigating and prosecuting offenses involving child human trafficking".

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

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

For the purposes of this program, “children” refers to persons under the age of 18, and “youth” refers to individuals aged 16–24 (reflecting the age range covered by the Federal Government’s Interagency Working Group on Youth Programs), unless the state or tribe has another definition for “youth” in state or tribal law.

Sex trafficking and labor trafficking occur in many different settings within communities, and victims of these crimes are very diverse. Child and youth trafficking victims include U.S. citizens and foreign nationals. Child and youth victims of trafficking have specific needs, some of which may not be adequately met through existing systems and programs. Frontline responders are aware of the particular vulnerabilities of children and youth involved in welfare systems; runaway and homeless youth; unaccompanied minors; and youth transitioning out of care. While each state or tribe may approach the issue of human trafficking somewhat differently, and may engage unique partners, applications should address both sex and labor trafficking for all child and youth victims, including at-risk populations within the state or jurisdiction. For more background, please refer to the U.S. Department of Health and Human Services’ (HHS) [Guidance to States and Services on Addressing Human Trafficking of Children and Youth in the United States](#).

### **Goals, Objectives, and Deliverables**

This solicitation has two categories, each with its own specific goals, activities, and objectives. Applicants are strongly encouraged to read through each category very carefully, to ensure that their application is tailored to fit the needs identified in this solicitation.

### **Category 1 Statewide or Tribal Jurisdictionwide Response**

Successful applications will describe how the state or tribe will:

- (1) ensure that child and youth victims of human trafficking are provided comprehensive, coordinated, trauma-informed services to fully address their needs;
- (2) identify and/or coordinate with relevant organizations that can provide tailored services;
- (3) identify eligibility for public benefits and services accessible to victims of trafficking in order to efficiently use federal, state, local, and tribal funds;
- (4) ensure that law enforcement efforts supported through the program are victim-centered and trauma-informed, specific to working with children and youth;
- (5) ensure that protocols and policies are established to sustain the proposed program long-term; and
- (6) interact with representatives within the juvenile justice, child welfare, health care, and education systems in the state or tribal jurisdiction. There should be a specific focus on youth transitioning out of systems of care, including foster care and juvenile detention.

Applicants should provide brief descriptions of relevant youth-focused or anti-trafficking programs and initiatives in the state or tribal jurisdiction, such as anti-trafficking task forces and child exploitation/Innocence Lost task forces; federal, state, local, and tribal programs and grants to provide services to child and youth victims of trafficking or to link systems of care for children, youth, and their families; and relevant state or tribal youth-focused or anti-trafficking protocols, strategies, or legislation.

Applicants should describe existing and proposed partnerships with frontline responders, anti-trafficking experts, youth advocates, and survivors’ advocates who can speak to child and youth trafficking experiences. These partnerships may be outlined in the form of Memoranda of Understanding (MOUs). See page 32 for details about what to include in MOUs.

The specific goals, objectives, activities, and deliverables that each applicant presents will be unique depending on the identified needs and challenges of the state or tribe. The following are some suggested activities and deliverables, but the applicant is encouraged to also elaborate on other activities:

- Develop and implement a jurisdictionwide strategy to combat the greatest challenge areas in child and youth sex and labor trafficking within the state or tribe. This strategy will also include developing a systematic method to screen for victimization across entities; developing protocols and procedures to ensure child and youth victims receive appropriate services, including relevant and linguistically appropriate referrals and/or services; delivering staff training to implement and sustain the strategy jurisdictionwide; and strengthening data collection across multiple systems of care that work with and provide services to youth. Examples of possible program deliverables include:
  - A statewide or tribal jurisdictionwide strategy or action plan. This strategy must be finalized and approved by OVC or enacted within the first year of the program start date.
  - A statewide or tribal jurisdiction program focused on providing appropriate housing to child and youth victims of trafficking, with a particular focus on the needs of youth transitioning out of care.
  - A dedicated law enforcement or prosecutorial unit to proactively investigate and prosecute cases of human trafficking involving children and youth in identified high-risk areas.
  - Screening tools to improve the identification of human trafficking and enhance access to services for children and youth.
  - A plan to deliver relevant and linguistically appropriate services or convene a formal network of specific organizations that provide tailored and unique services to children and youth.
  - A unified strategy to provide training to professionals throughout the jurisdiction, including, but not limited to, law enforcement officers, first responders, victim service providers, health care officials, child welfare officials, juvenile justice personnel, prosecutors, and judicial personnel, and other relevant organizations. For more information about what should be included in the Training Plan, please refer to page 31.
- Develop, enhance, and coordinate programs and activities geared toward improving outcomes for child and youth victims of sex and labor trafficking.
  - Example deliverable: States or tribes should establish a program coordinator role to oversee program implementation and ensure coordination of anti-trafficking efforts in the state or tribal jurisdiction.
- Conduct data collection and [action research activities](#) to determine if the program is meeting stated goals and objectives. A minimum of 2 percent of the total project budget, including match funds, must be dedicated to action research activities.
- Applicants must submit a logic model that outlines the target problem(s) and specific goals, objectives, and outcomes that can be addressed with the help of grant funds through this program.

- Example deliverable: Logic model (see page 18).
- Grantees should inform victims about their options and help them work with local, state, tribal, and federal law enforcement in the prosecution of the trafficker, as appropriate for children and youth. A victim-centered and trauma-informed approach will help ensure that child and youth victims of human trafficking have the opportunity to make informed decisions about the support they need to work through the impact of the crime and work toward identifying and achieving their personal goals. Example deliverables include:
  - Documentation of lessons learned around working with children and youth victims.
  - Outreach materials for children and youth victims of human trafficking.

*Please note, direct representation on vacatur or expungement matters, through court filings or through other litigation services, is not an allowable cost under this solicitation. However, grantees may counsel clients about the expungement or vacatur of any conviction for a non-violent crime that is a direct result of being a trafficking victim.*

Applicants must describe how the program would leverage existing victim assistance, law enforcement, and child welfare efforts against human trafficking and commercial sexual exploitation of children and youth in a state or tribal jurisdiction. Proposals should detail how the state or federally recognized Indian tribe will demonstrate measurable improvement in outcomes for victims using baseline data.

### **Resource Coordination**

Proposals under Category 1 should fill gaps in existing services and coordinate responses in existing anti-trafficking and youth-serving efforts, including those related to victim assistance, law enforcement, child welfare, runaway and homeless youth, and juvenile justice, among others. All Category 1 applicants should determine if there is an existing federally 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, the Department of Health and Human Services (HHS), the Office on Violence Against Women, or another federal office or agency.

If there is currently a federally funded trafficking victim service grantee within the same jurisdiction as the applicant's proposal, applicants must (1) document how the new proposal either supports different services than those already funded, or provide 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.

Category 1 applicants must also include information about any other open award of federal and state funds (including programs supported by Victims of Crime Act (VOCA) victim assistance funds) that are being 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 not previously addressed by the existing OVC grant.

- 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>, and the list of some HHS-funded grantees

is available at <https://www.acf.hhs.gov/otip/grants>. **Applications that fail to address resource coordination with other OVC and federally and state-funded similar grant programs in their proposal will be negatively scored during the review process.**

With regard to services provided to individual clients, Category 1 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 HHS or other federal sources. Services can be provided to a victim in the aftermath of victim identification: service providers should facilitate victims' access to other federal, state, or local programs for which they may be eligible, including HHS-funded services.

- The HHS Trafficking Victim Assistance Program (TVAP) is designed to fund case management services on a per capita basis for foreign national victims and potential victims seeking HHS certification. It is a valuable resource in communities where there are funding gaps due to the lack of federally funded victim service providers or significant spikes in caseloads. Applicants should plan on using OVC funds to provide services to foreign national trafficking clients regardless of [HHS certification](#), and should not anticipate leveraging TVAP funds as a matter of course unless extraordinary circumstances arise. Grantees funded under this solicitation desiring to access TVAP funding due to such circumstances must contact their grant monitor for approval.

#### **Activities that Compromise Victim Safety and Recovery**

The following activities have been found to jeopardize victim safety or deter or prevent physical or emotional healing for victims.

1. The development and implementation of policies or procedures that exclude any victims from receiving safe shelter, advocacy services, counseling, and other assistance;
2. The development and implementation of policies and procedures that compromise the confidentiality of information and privacy of persons receiving OVC-funded services;
3. The development and implementation of policies and procedures that impose requirements on victims in order to receive services (e.g., receive counseling, seek civil or criminal remedies, etc.);
4. The development and implementation of policies and procedures that fail to conduct safety planning with victims;
5. The implementation of project designs and budgets that fail to account for the access needs of individuals with disabilities and individuals who have limited English proficiency or are Deaf or hard of hearing; and
6. The establishment or enhancement of a multidisciplinary collaborative community response without developing appropriate policies regarding confidentiality and information-sharing for the members.

Peer reviewers will be instructed to deduct points from applications that include components the peer reviewers conclude may compromise victim safety and recovery. If funded, grantees may be required to modify their project narrative and/or budget to remove any activities that are deemed to compromise victim safety and recovery.

#### **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 factors.

## **Category 2 Children and Youth Technical Assistance Program**

The applicant funded under Category 2 will provide training and technical assistance (TTA) and resources to support OVC and all OVC grantees funded under the *Improving Outcomes for Child and Youth Victims of Human Trafficking* program (Both those newly funded in FY 2018 under category 1 and the 6 previously funded grantees). Each state-level or tribal jurisdictionwide project has identified their state-specific barriers to identifying and assisting child and youth victims of sex and labor trafficking and/or to investigating and prosecuting these cases; subsequently, these applicants are creating a statewide (or tribal jurisdictionwide) strategy to address these challenges. Once the grantee has developed a unique strategy based upon existing laws, resources, and priorities of their state or tribal jurisdiction, they will work to implement the plan at a state level. The TTA provider is expected to deliver in-depth, proactive, and tailored ongoing support to the project teams in these complex statewide initiatives. Delivery methods should be creative and adaptive according to needs of the specific grant program and the specific state needs; this could include in-person, phone and e-mail consultations, webinars, and other distance/online learning technologies.

The TTA provider is also expected to submit to OVC an analysis of the commonalities and differences among site approaches, promising practices emerging from the sites, and project-specific TTA needs and lessons learned.

The following are some suggested activities and deliverables, but the applicant is encouraged to propose other activities and deliverables that support the objectives:

- Support project-funded grantees with tailored, project-specific technical assistance as they work to leverage existing victim assistance, law enforcement, and child welfare efforts against human trafficking of children and youth in their state or tribal jurisdiction.
- Provide diverse technical and subject matter support, in consultation with OVC, to improve the state's response to trafficked children and youth, including identifying and meeting identified needs; developing and implementing policies and practices across systems; and applying evidence-based approaches.
- Facilitate ongoing peer-to-peer consultation and networking among project-funded grantees, and within a given state, to promote problem solving and innovation through the exchange of information, lessons learned, and new ideas.
- Conduct an assessment of each site's strategy, including an analysis of current state laws, resources, and issues that impact the strategy.
- Provide assistance to the grantees and their evaluators in designing and implementing project-specific evaluations to demonstrate measureable improvement in outcomes for victims using baseline data.
- Engage in dialogue with the grantees and assist with the development of policies, procedures, and resources to help the grantee be as inclusive as possible of all child and youth trafficking victims in the state or tribal jurisdiction.

- Work in coordination with OVC, the OVC Training and Technical Assistance Center (OVC TTAC), and other OVC-funded anti-trafficking TTA providers, leveraging expertise so that information and resources are available and coordinated for grantees.
- Collect, summarize, and communicate information about the project, useful lessons learned, and recommendations for OVC, states, localities, and systems.

Deliverables may include:

- A report, matrix, or map of the strategies of each grantee, including documentation of existing resources and challenges that each site faces.
- Compiled compendium of project-specific tools and resources that have been developed by grantees.
- Webinar recordings and communication tools, such as shared online websites, for project-specific communication.
- Attendance at OVC's annual meeting for anti-trafficking grantees, and establishment of an annual project-specific grantee meeting.

For both funding categories:

- **OVC expects applicants to be as inclusive as possible of all child and youth trafficking victims in the state or tribal jurisdiction.** 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.

OVC will also give special consideration to proposals constructed with the input of human trafficking survivors and incorporating survivor perspectives throughout the implementation of the program. Applicants should demonstrate a willingness to ensure sustainability of the program by providing a plan for continuation of funding of activities after the expiration of the award.

The Goals, Objectives, and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

All proposed programs should describe how victim assistance will be trauma-informed, strength-based, and involve options for victimized children and youth.

### **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;
- 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 at <https://www.crimesolutions.gov> is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Evaluation and Collecting Data for Performance Measures**

Data collection and evaluation activities are necessary to document the required performance measures and ensure projects meet intended goals related to improved outcomes for child and youth victims of human trafficking. **Under this program, each Category 1 application must allocate a minimum of 2 percent of their total project budget to collect data on the performance measures of this grant.** A Plan for Evaluation and Data Collection for this Solicitation's Measurable Performance Measures should be submitted as one separate component to the application. For more information about what should be included in the Plan, please refer to page 19.

### **Information Regarding Potential Evaluation of Programs and Activities**

DOJ has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that OJP may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and subrecipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

## **B. Federal Award Information**

OVC expects to make up to three awards under Category 1 of up to \$1.5 million with an estimated total amount awarded of up to \$4.5 million. Under Category 2, OVC expects to make one award for up to \$600,000. OVC expects to make the awards for a 3-year period of performance, to begin on October 1, 2018.

OVC may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, 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 to make any award under this solicitation in the form of a cooperative agreement, which is a type of award that provides for OVC 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 entities<sup>2</sup>) must, as described in the Part 200 Uniform Requirements<sup>3</sup> 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 the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may

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<sup>2</sup> 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. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section D of this solicitation.

<sup>3</sup> 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.

access and review a questionnaire – the [OJP Financial Management and System of Internal Controls Questionnaire](#) – that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

## Budget Information

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

For Category 1 applicants: 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 portion<sup>4</sup> 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 at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm> 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 \$350,000, calculate match as follows:

$$\frac{\$350,000}{75\%} = \$466,667 \quad 25\% \times \$466,667 = \$116,667 \text{ match}$$

For Category 2 applicants: This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

For additional information on cost sharing and match, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>.

### 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

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<sup>4</sup> 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.

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 at <https://ojp.gov/financialguide/DOJ/index.htm> 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 with a Certified SES Performance Appraisal System for that year.<sup>5</sup> The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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 <https://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, and 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

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<sup>5</sup> 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.

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 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

### **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 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 failure 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;
- Plan for Collecting the Data Required for this Solicitation's Performance Measures;
- Plan for Action Research;
- Time-Task Plan;
- MOUs, Letters of Intent, and Subcontracts/Subgrants;
- And Training Plan.

**NOTE:** OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the “Note on File Names and File Types” under [How To Apply](#) to be sure applications are submitted in permitted formats.

## 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, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), 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). Also, these recipients should enter the Employer Identification Number (EIN) in box 8b exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice (GAN) updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How To Apply](#) section for more information on SAM and DUNS numbers.

**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

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.
- 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))
- For Category 1: A two-sentence strategy describing statewide or tribal jurisdiction approach. Also include a specific description of the geographic area where activities will be focused
- For Category 2: A two-sentence strategy on delivering tailored and proactive TTA to the funded grantees under this program
- Amount of federal funding requested

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

### 3. Program Narrative

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman preferred); have no less than 1-inch margins; and should not exceed 25 pages. Pages should be numbered. 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 narrative<sup>6</sup>:

#### a. Statement of the Problem

Category 1 Applicants must briefly describe the sex trafficking and labor trafficking of children and youth in their state or tribal jurisdiction. They should use state or tribal jurisdiction baseline data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document existing efforts to address it, citing the source of the data. **Applicant must cite the source of this data. Note: Data should come from multiple sources and extend beyond national hotline data.** Relevant baseline data might include:

- Number of human trafficking cases investigated, cases prosecuted, and traffickers convicted in the state or tribal jurisdiction for calendar years 2015, 2016, and 2017, if possible noting how many involved child victims. Applicants are encouraged to include trafficking cases investigated and prosecuted using other relevant federal, state, and tribal statutes, including those related to child exploitation.
- Number of minors (if any) arrested and charged for infractions related to the sale of commercial sex, and/or labor trafficking, during calendar years 2015, 2016 and 2017.
- Number of child and youth trafficking victims identified and assisted with comprehensive services for calendar years 2015, 2016, and 2017.

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<sup>6</sup> 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](#).

Category 2 Applicants must briefly describe the need for in-depth, proactive, and tailored ongoing support to the project teams in these complex initiatives.

b. Project Design and Implementation

Applicants must clearly state the goals and measurable objectives for the project. The goals and objectives must relate directly to the challenges described in the problem statement and the purpose of the solicitation and objectives must be measurable. The following applies to both Category 1 and Category 2 applicants unless only one category is specifically stated.

- Applicants must include a logic model with the application 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 anticipated short- and long-term outcomes. Sample logic models are available at [www.ojdp.gov/grantees/pm/logic\\_models.html](http://www.ojdp.gov/grantees/pm/logic_models.html).
- Applicants must describe the steps that will be taken to achieve the goals and objectives of the project, including activities outlined on page 6. They must convincingly document that the proposed project will be a statewide or tribal jurisdiction effort—that is, the goals, objectives, and deliverables are linked to improving outcomes for child and youth trafficking victims throughout the state or tribe. The strategy or project design must include the identification of a lead agency and a main point of contact within the lead agency to coordinate the effort. It must also contain a description of project phases, tasks, activities, staff responsibilities, interim deliverables, and final products.
- Describe how victim safety and confidentiality will be ensured. Applications that propose activities that compromise victim safety and recovery may receive a deduction in points during the review process or may be eliminated from consideration entirely. See Activities that Compromise Victim Safety and Recovery on page 8.
- Describe how the proposed project will be accessible to youth with disabilities, youth who are Deaf or hard of hearing, and youth with limited English proficiency. Applicants and any partners should have in place policies and procedures promoting competent and linguistically appropriate services.
- The project design and implementation plan must be supported by a separate time-task plan that delineates organizational responsibility for the activities to be completed and a schedule for the completion of the activities and the submission of finished products. In preparing the time-task plan, Gantt chart, or schedule, applicants should make certain that all project activities will occur within the proposed project period.
- Applicants should describe how they will coordinate this project with existing anti-trafficking efforts, including anti-trafficking task forces or multidisciplinary response teams that may be operating within the jurisdiction.
- Applicant should describe how the perspective and input of human trafficking survivors have been or will be incorporated into the project design and implementation.
- Category 1 Applicants should address how the state or tribe will ensure sustainability for the efforts established with this funding after the grant period ends.

c. Capabilities and Competencies

The lead agency must demonstrate it has the expertise and organizational capacity to successfully undertake a statewide or tribal jurisdiction initiative that involves significant collaboration with other agencies and partners supporting the effort. Applicants must address the following items in this section:

- The roles and responsibilities of the lead agency and the partner agencies and/or entities committed to the effort. This discussion must explain the project's organizational structure and operations.
- Any previous or current experience conducting comprehensive planning to respond to human trafficking and/or commercial sexual exploitation of children and youth.
- A list of personnel, in addition to the identified coordinator, responsible for managing and implementing the major stages of the project, and a description of the current and proposed professional staff members' unique qualifications that enable them to fulfill their responsibilities.
- Resumes for key staff identified must be submitted as a separate attachment to the application.
- For Category 1 applicants: The coordinator who will organize state or tribal efforts to improve outcomes for child and youth victims of human trafficking must be empowered to lead a multidisciplinary, collaborative effort across many existing systems and with a diverse range of stakeholders.
- For Category 1 applicants: If any funds will go to organizations providing victim services, applicants must demonstrate that these entities have substantial experience providing services to victims of human trafficking or related populations (such as runaway and homeless youth), or employ staff specialized in the treatment of human trafficking victims.

d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in [Section A. Program Description](#).

**Your response to this section must include the following information:**

- A plan for collecting all of the performance measures data required by this solicitation. Award recipients will be required to provide the relevant data by submitting regular client and performance data through OVC's online Trafficking Information Management System (TIMS) located at <https://tims.ovcttac.gov/>. Applicants should examine the key performance measures and required client data in [Appendix A: Performance Measures Table](#).
- A description of the key staff that will be responsible for collecting data and a plan for using TIMS Online.

Applicants should visit OJP's performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP. Performance measures for this solicitation are listed in [Appendix A: Performance Measures Table](#).

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

### **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"](#) webpage of the ["Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards,"](#) available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that webpage.

### **4. Budget and Associated Documentation**

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

**a. Budget Detail Worksheet**

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

**Grant funds awarded to improve outcomes for child and youth victims of human trafficking are intended to support costs for the key activities of this program: Collaborative efforts to identify and serve child and youth victims of trafficking at a statewide or tribal jurisdiction level, direct victim services, training, and action research.** Applicants must dedicate a line item, within the appropriate budget category, for each activity and service that is selected in the program narrative. Minimal funds should be dedicated toward supporting administrative costs. See [Appendix B](#) for further budget guidance.

- 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. See [Appendix B](#) for further budget guidance.
- 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. 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](http://www.ojp.usdoj.gov/training/training.htm). The Programmatic Point of Contact and Financial Point of Contact are required to complete this training.
- OVC annual grantee meetings, 2 days each, in Washington, D.C. for up to two staff members per year, subject to change.

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.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

**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 an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

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. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

## 1. 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 Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not 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.

## **2. 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. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. 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.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source GAN. Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

### **d. Pre-Agreement Costs**

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

## **5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (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 (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 Office of the Chief Financial Officer (OCFO) Customer Service Center at 800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://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.) For the "de minimis" rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

## **6. Tribal Authorizing Resolution (if applicable)**

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 fully executed (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 fully executed legal documentation.

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

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application.

The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. 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**

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 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 and 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’s 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 this application.”

**b. Research and Evaluation Independence and Integrity**

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 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**

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 (IRS) regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (question 9c in the "OJP Financial Management and System of Internal Controls Questionnaire" located at <http://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> and 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 IRS 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. Plan for Action Research**

Applicants must describe a plan on [action research activities](#) that will guide them in assessing program performance through the life of the award.

Action research involves the collection and analysis of data during a project to assess project performance, identify areas for improvement, and provide direction. It is a collaborative effort between a researcher and project staff that provides timely analysis of data to help inform project activities. Action research is not a systematic investigation designed to develop or contribute to generalizable knowledge, and therefore would not be considered research involving human subjects. Action researchers are expected to be knowledgeable in the collection and analysis of data, relevant evaluation literature, and the operation of the program. Grantees will provide OVC with annual action research reports (annual summary reports and a comprehensive final report over the award period).

**The plan must include the following information:**

- A description of the proposed action research consultant(s) who will conduct research and evaluation activities for the project,
- A description of the qualifications of the consultant(s),
- Identification of key staff who will be involved in action research activities and the work of the consultant, and
- An explanation of the basic methodology and timeline for the action research.

**Applicants must allocate 2-7 percent of their total project budget, including match funds, to support action research activities.** The plan must include an itemized list of costs to conduct action research activities including the percent of time that staff contribute to action research; the cost of a consultant; and costs related to travel or supplies related to action research. The applicant should incorporate these costs within their Budget Detail Worksheet and Budget Narrative.

Evaluator staff should be external to the applicant organization. Applicants are encouraged to partner with consultants who have a working knowledge of social service programs, such as institutions of higher learning with this specialty.

#### e. Training Plan

Training and public awareness activities are integral to a community's response to human trafficking. Category 1 applicants are expected to conduct local trainings for project partners and for other community members, and to provide project staff with professional development opportunities (including travel to attend local and national victim assistance or regional or national trafficking conferences). A Training Plan should be submitted as a separate attachment to the application.

**The training plan should include the following information:**

- target audiences for trainings and public awareness activities
- topics of trainings
- tentative dates or frequency of training events
- key staff involved in delivering training
- identification of specific professional development opportunities for staff, including costs to attend local or national victim assistance or regional or national trafficking conferences.

**Under this program, OVC recommends each Category 1 applicant allocate 2-5 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/or kick-off meetings are not considered part of training costs.

Costs dedicated to training, public awareness, and professional development activities must be detailed and included as line items within the appropriate categories of the Budget Detail Worksheet and Budget Narrative.

As with the action research plan, 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 toward

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.

**g. MOUs, Letters of Intent, and/or Subcontracts/Subgrants**

Memoranda of Understanding (MOUs) and Letters of Intent can document stakeholders' commitments to work collaboratively to meet the goals and objectives of the grant (if funded). Statements of support from relevant government entities—such as the Governor, State Attorney General, and authorized state agency representatives from child welfare, juvenile justice, health (physical, mental, and behavioral), and education—are strongly encouraged.

For services, training, or activities to be provided by project partners, the applicant must name the project partner that will provide the specific service in the program narrative, and include, as an attachment to the application, an MOU, Letter of Intent, or subcontract/subgrant describing the commitment from that organization to perform a specific service and the fee for the service or cost to the grant for each service. If services training, or other work are to be provided as in-kind match, pro bono, 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 in the agreement;
- Purpose of the MOU/Letter of Intent and commitment of parties involved
- Scope of the direct service(s), training, activities, and other work to be performed under the agreement;
- Duration of the agreement;
- Estimated cost of any services or activities provided (fee-for-service, in-kind match, or no-cost);
- Total amount of the agreement;
- Specification of a minimum or maximum number of victims anticipated to be served under the agreement;
- Duration of the agreement; and
- Signatures of those named as parties.

MOUs and Letters of Intent should be submitted as a separate attachment to the application. Category 1 applications with insufficient documentation to fully demonstrate the applicant's ability to implement their proposed service plan will be negatively scored 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. Logic Model**

See page 18.

**i. Time-Task Plan**

The time-task plan 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 time-task plan.

#### **j. Position Descriptions and Resumes**

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

Category 1 applicants should create, or fund, a full-time program coordinator position to ensure that efforts established under this grant are not duplicative of existing efforts and are properly connected and coordinated with key stakeholders and systems, including federally funded anti-trafficking grantees. While this program focuses on the response to human trafficking involving children and youth, applicants should consider how to leverage the program coordinator position to improve jurisdictionwide coordination and communication on all forms of human trafficking.

#### **k. Privacy Certificate**

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 a sample Model Privacy Certificate, visit <https://ojp.gov/funding/Apply/Resources/PrivacyCertification.pdf>. For additional guidance on Privacy Certificate content, visit the National Institute of Justice's Privacy Certificate Guidance at <https://www.nij.gov/funding/humansubjects/pages/privacy-certificate-guidance.aspx>.

#### **How To Apply**

Applicants must register in and submit applications through [Grants.gov](https://www.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 <https://www.grants.gov/web/grants/support.html>.

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.

**Important Grants.gov update.** Grants.gov has updated its application tool. The legacy PDF application package was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 at <https://www.grants.gov/web/grants/manage-subscriptions.html>. 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. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other). Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

**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 (.)			

**\*When using the ampersand (&) in XML, applicants must use the “&amp;” format.**

**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:

### **Unique Entity Identifier (DUNS Number) and SAM**

Every applicant entity must comply with all applicable SAM and unique entity identifier (currently, a DUNS number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the 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.

### **Applying as an Individual**

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.)

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

### **Registration and Submission Steps**

- 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.

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 <https://www.dnb.com/>. A DUNS number is usually received within 2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at [https://www.fsd.gov/fsd.gov/answer.do?sysparm\\_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm\\_search=kb0013183](https://www.fsd.gov/fsd.gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183).

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an EIN. 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 (2 more weeks to acquire an EIN).

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](http://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 <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/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 16.320, titled "Services for Trafficking Victims," and the funding opportunity number is OVC-2018-14044.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple categories, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended category of the application.

OVC FY 2018 Improving Outcomes for Child and Youth Victims of Human Trafficking:  
Category 1 Statewide or Tribal Jurisdictionwide Response OVC-2018-14703

OVC FY 2018 Improving Outcomes for Child and Youth Victims of Human Trafficking:  
Category 2 Children and Youth Technical Assistance Program OVC-2018-14704

7. **Access Funding Opportunity and Application Package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.

**8. 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 July 9, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> 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 at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> 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 at <https://ojp.gov/funding/index.htm>.**

## **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 (15%)
2. Project Design and Implementation (40%)
3. Capabilities and Competencies (15%)
4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (2%)
5. Plan for Action Research (8%)
6. Budget (10%): 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.<sup>7</sup>
7. Training Plan (5%)
8. MOUs, Letters of Intent, and/or Subcontracts/Subgrants (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.

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.

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<sup>7</sup> 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.

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 OVC include 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 the applicant. 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 award.

In addition, 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, (FAPIS)).

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

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 applicant’s management systems, 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, 2018. 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 and submission 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 and regulations (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 2018 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. 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. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 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 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, 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 it will make any award under this solicitation in the form of a cooperative agreement. Cooperative agreements include a condition in the award document that sets out the nature of the “substantial federal involvement” in carrying out the award and program. Generally stated, under OJP cooperative agreement awards, 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 substantive coordination of technical efforts and site selection, and review and approval of project work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award terms and conditions that it may redirect the project if necessary.

In addition to an award condition that sets out the nature of the anticipated “substantial federal involvement” in the award, cooperative agreements awarded by OJP include an award 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.

Required reports. Recipients typically must submit quarterly financial reports, semiannual 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 webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each 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 award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP's performance measurement page at <https://ojp.gov/performance/> for an overview of performance measurement activities at OJP. Performance measures for this program are listed as [Appendix A.](#)]

## **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 the 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](mailto: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 [ojpprsupport@usdoj.gov](mailto:ojpprsupport@usdoj.gov). (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.

### Appendix A: Performance Measures Table

Objective	Performance Measure(s)	Data Grantee Provides
<p>Develop and implement jurisdictionwide efforts or protocols needed to combat the identified greatest challenge areas in child and youth sex and labor trafficking within the state or tribe. This includes improving efforts to address service gaps, developing protocols and procedures to ensure child and youth victims receive appropriate services, and strengthening data collection across multiple systems of care.</p>	<p>Percent of groups/agencies/organizations actively engaged in the jurisdictionwide effort that are child/youth-serving.</p>	<p>Number of groups/agencies/organizations actively engaged in the jurisdictionwide effort</p> <p>Number of these directly serving children and youth.</p>
	<p>Percent of groups/agencies/organizations that have formalized collaboration agreements.</p>	<p>Number of formalized collaboration agreements (e.g., MOUs or subawards) with agencies/entities/organizations.</p>
	<p>Percent increase in the number of protocols, policies, and procedures developed to ensure child/youth victims of trafficking receive appropriate services.</p>	<p>Baseline data: Number of existing protocols, policies, and procedures prior to the start of the award.</p> <p>Number of protocols, policies, and/or procedures developed to ensure child and youth victims of trafficking receive appropriate services.</p>
	<p>Percent of protocols, policies, and/or procedures implemented.</p>	<p>Number of protocols, policies, and/or procedures implemented to ensure child and youth victims of trafficking receive appropriate services.</p>
	<p>For projects including prosecutorial agencies as partners, number of trafficking charges filed and number of trafficking cases brought.</p>	<p>Number of trafficking charges filed.</p> <p>Number of trafficking cases brought.</p>
	<p>Number of new strategies or methodologies implemented to capture the prevalence of labor trafficking in the area served.</p>	<p>Number of new strategies or methodologies implemented to capture the prevalence of labor trafficking in the area served.</p>
	<p>Number of new strategies or methodologies implemented to capture the prevalence of sex trafficking in the area served.</p>	<p>Number of new strategies or methodologies implemented to capture the prevalence of sex trafficking in the area served.</p>

<p>Develop, enhance, and coordinate programs and activities geared toward improving outcomes for child and youth victims of sex and labor trafficking.</p>	<p>Percent of programs or activities implemented.</p> <p>Percent of child/youth victims seeking services that received them.</p> <p>Percent of child/youth victims seeking services that are referred to other groups/agencies/organizations for additional services.</p>	<p>Number of programs or activities developed to improve outcomes for child and youth victims of trafficking.</p> <p>Number of programs or activities implemented to improve outcomes for child and youth victims of trafficking (if applicable).</p> <p>Number of child/youth victims of trafficking seeking services and those served.</p> <p>Number and type of services provided to child/youth victims of trafficking.</p> <p>Number of child/youth victims of trafficking who were referred to other agencies/organizations for additional services (if applicable).</p>
<p>Conduct community trainings and promote awareness activities on child and youth victims of sex and labor trafficking. This includes the development of materials and tools that can assist other states in the replications of these efforts.</p>	<p>Percent of participants who indicated satisfaction with training.</p> <p>Percent of participants who identified an increase in knowledge post-training.</p> <p>Percent of participants who plan to implement training knowledge and objectives post-training.</p> <p>Percent increase in the number of program material or products created to assist other states or jurisdictions in replication of these efforts.</p>	<p>Number of participants, number of agencies represented, and types of trainings.</p> <p>Number of participants who indicated satisfaction with training.</p> <p>Number of participants who identify an increase in knowledge post-training.</p> <p>Number of participants who plan to implement training knowledge and objectives post-training.</p> <p>Baseline data: Number of program materials or products created prior to the start of the award.</p> <p>Number and type of program materials or products created to assist other states or jurisdictions in replication of these efforts.</p>

## Appendix B: Supplemental Budget Guidance

The human trafficking awards issued by OVC are primarily designed to support direct services to the victims. For that reason, OVC capped the amount that applicants can request for certain key activities, ranging from 2–10 percent of the requested project cost. These include project evaluation, training/outreach, and administrative costs. This budget guidance outlines the maximum allowable percentages for each type of activity. The chart below contains further information to assist applicants in their budget development process.

Type of Costs	Description
Personnel Costs	<p>Indicate for all proposed grant-funded positions the percent of time that each will dedicate to direct victim services, training/outreach, action research, administrative tasks, or other duties.</p> <p><b>Note:</b> Each staff member’s time must total 100% regardless of the percent allocation included in the budget. For example, a case manager position will dedicate 50% to the project. The breakdown of time is: 75% direct services; 5% administrative tasks; 15% training activities; and, 5% other activities (i.e., attending mandated and/or project-related meetings).</p> <p><b>Note:</b> Data collection is <i>not</i> considered part of the key activities, and should therefore be considered as <i>Other Activities</i>.</p>
Administrative Costs	<p>Salary and fringe benefits of executive-level leadership and accounting/financial administration.</p> <p><b>Note:</b> These, should not exceed more than 10 percent of the total direct cost of the project (excluding indirect costs).</p>
Evaluation Costs	<p>Applicants are required to develop a plan for action research activities. The plan must include an itemized list of costs to conduct action research activities including the percent of time that staff contribute to action research; the cost of a consultant/subaward; and costs related to travel or supplies related to action research. The applicant should incorporate these costs within their Budget Detail Worksheet and Budget Narrative.</p> <p><b>Note:</b> 2-7 percent of the total project budget, including match funds, must be dedicated to action research activities.</p>
Training/Outreach	<p>Training and public awareness activities may include conducting local trainings for project partners and other community members, providing staff with professional development opportunities (including travel to attend local and national victim assistance or regional or national trafficking conferences), etc.</p> <p><b>Note:</b> Project staff attendance at any OVC-required training or meeting is <i>not</i> subject to the allowable cost percentage under this key activity.</p> <p><b>Note:</b> 2-5 percent of the total project budget, including match funds, must be dedicated to conducting training and public awareness activities.</p>

Type of Costs	Description
Direct Victim Services	Applicants should outline the type of support to be provided to human trafficking victims in the program narrative, and dedicate a budget line item for each service type to be provided under the corresponding budget category, including proposed consultants and/or subawardees, as applicable.

### Sample Key Activity Summary

Budget Category	Key Activity														Subtotals/Totals								
	Administrative				Evaluation				Outreach/Training				Other				Direct Services		Federal	Match			
	Federal %	Amount	Match %	Amount	Federal %	Amount	Match %	Amount	Federal %	Amount	Match %	Amount	Federal %	Amount	Match %	Amount	Federal %	Amount			Match %	Amount	
Personnel																							
Name and Role in Project	5%	\$ 3,120	5%	\$ 780	5%	\$ 3,120	2%	\$ 312	10%	\$ 6,240	8%	\$ 1,248	10%	\$ 6,240	85%	\$ 13,260	70%	\$ 43,680	0%	\$ -		62,400	15,600
Name and Role in Project	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	5%	\$ 5,850	0%	\$ -	0%	\$ -	0%	\$ -	95%	\$ 111,150	0%	\$ -		117,000	
Name and Role in Project	25%	\$ 37,500	50%	\$ 8,100	0%	\$ -	0%	\$ -	10%	\$ 15,000	0%	\$ -	0%	\$ -	50%	\$ 8,100	65%	\$ 97,500	0%	\$ -		150,000	16,200
Name and Role in Project	34%	\$ 6,365	0%	\$ -	0%	\$ -	10%	\$ 936	20%	\$ 3,744	65%	\$ 6,084	40%	\$ 7,488	0%	\$ -	6%	\$ 1,123	25%	\$ 2,340		18,720	9,360
Name and Role in Project	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	5%	\$ 450	0%	\$ -	0%	\$ -	0%	\$ -	95%	\$ 8,550	100%	\$ 9,000		9,000	9,000
Name and Role in Project	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	100%	\$ 11,250	0%	\$ -	0%	\$ -		0	11,250
Subtotal Personnel		\$ 46,985		\$ 8,880		\$ 3,120		\$ 1,248		\$ 31,284		\$ 7,332		\$ 13,728		\$ 32,610		\$ 18,672		\$ 13,056		\$ 357,120	\$ 61,410
Consultants/Contractual - Subaward, University of TBD - Project Evaluation						\$ 55,650														\$ 55,650	\$ -		
All Other Budget Categories						\$ 1,000		\$ 500		\$ 5,000		\$ 3,250		\$ 233,000		\$ 98,230		\$ 184,840		\$ 337,230	\$ 188,590		
Totals		\$ 46,985		\$ 8,880		\$ 59,770		\$ 1,748		\$ 36,284		\$ 10,582		\$ 246,728		\$ 32,610		\$ 116,902		\$ 197,896		\$ 750,000	\$ 250,000

Total Award Amount: \$1,000,000

Key Activities	Allowable %	Maximum Allowable Amount	Proposed Budget
Administrative	10.00%	\$100,000	\$ 55,865
Evaluation	7.00%	\$70,000	\$ 61,518
Outreach/Training	5.00%	\$50,000	\$ 46,866

A downloadable and updatable excel spreadsheet is provided at <https://www.ovc.gov/grants/human-trafficking-sample-key-activity-summary.xlsx>.

## Appendix C: Application Checklist FY 2018 Improving Outcomes for Child and Youth 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 35)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 35)

#### *To Register with Grants.gov:*

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 36)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 36)

#### *To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 36)
- \_\_\_\_\_ Select the correct Competition ID (see page 36)
- \_\_\_\_\_ Access Funding Opportunity and Application Package (see page 36)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 34)
- \_\_\_\_\_ 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](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 14)

#### *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 36)

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

- \_\_\_\_\_ contact OVC's NCJRS Response Center regarding experiencing technical difficulties (see page 2)

### Overview of Post-Award Legal Requirements:

- \_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of specified by the category (up to \$1.5 million for Category 1; and up to \$600,000 for Category 2).

**Eligibility Requirement:** For eligibility information, see title page.

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)
- \_\_\_\_\_ Articles of Incorporation or 501(c)(3) Status Documentation (see page 16)
- \_\_\_\_\_ Project Abstract (see page 17)
- \_\_\_\_\_ Program Narrative (see page 18)
- \_\_\_\_\_ Plan for Collecting the Data Required for this Solicitation's Performance Measures (see page 19)

_____	Budget Detail Worksheet	(see page 21)
_____	Budget Narrative	(see page 22)
_____	Information on Proposed Subawards and/or Proposed Procurement Contracts (if applicable)	(see page 22)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 24)
_____	Tribal Authorizing Resolution (if applicable)	(see page 25)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 25)
_____	<a href="#">Disclosure of Lobbying Activities (SF-LLL)</a>	(see page 26)
_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 26)
_____	Research and Evaluation Independence and Integrity	(see page 27)
_____	Disclosure of Process Related to Executive Compensation	(see page 29)
_____	Plan for Action Research	(see page 30)
_____	Training Plan	(see page 31)
_____	MOUs, Letters of Intent, and/or Subcontracts/Subgrants	(see page 32)
_____	Logic Model	(see page 18)
_____	Time-Task Plan	(see page 32)
_____	Position Descriptions and Resumes	(see page 33)
_____	Privacy Certificate	(see page 33)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 14)