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

## OVC FY 2011 Services for Victims of Human Trafficking

### Eligibility

Applicants are limited to victim service organizations with a demonstrated history of providing trauma-informed, culturally competent services to victims of human trafficking. By statute, grants under this program may be awarded to states, units of local government (including federally recognized Indian tribal governments as determined by the Secretary of the Interior), and nonprofit, nongovernmental organizations (including tribal nonprofits). For the purposes of this program, a unit of local government is any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a state.

### Deadline

Registration with Grants.gov is required prior to application submission. (See "How To Apply," page 18.) All applications are due by 11:59 p.m. eastern time on July 5, 2011. (See "Deadlines: Registration and Application," page 4.)

### Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact either Bradley Mitchell, OVC Team Lead, at 202-514-9069 or by e-mail to [bradley.mitchell@usdoj.gov](mailto:bradley.mitchell@usdoj.gov), or Mary Atlas-Terry, OVC Victim Justice Program Specialist, at 202-353-8473 or by e-mail to [mary.atlas-terry@usdoj.gov](mailto:mary.atlas-terry@usdoj.gov).

**Important Note:**

OVC recommends that all first-time applicants contact either Mr. Mitchell or Ms. Atlas-Terry to discuss the parameters of this program before submitting an application.

Applicants must submit clear documentation on the problem of human trafficking within their proposed geographic service regions, including statistics on the number of human trafficking victims they have previously served. Applicants must also demonstrate their expertise and organizational capacity to successfully undertake an initiative that involves collaboration with local, state, and federal law enforcement, as well as local public agencies, victim service providers, and nonprofit and faith-based organizations in order to enhance or expand service delivery to victims of human trafficking as defined by the Trafficking Victims Protection Act (TVPA) of 2000, as amended.

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# **OVC FY 2011 Services for Victims of Human Trafficking (CFDA # 16.320)**

## **Overview**

The primary goal of this solicitation is to provide timely, high-quality services to victims of human trafficking as defined by the Trafficking Victims Protection Act (TVPA) of 2000, as amended, and to enhance interagency collaboration and coordination in the provision of services to such victims. This program will provide funding to victim service organizations with a demonstrated history of providing trauma-informed, culturally competent services to male and female victims of sex trafficking and labor trafficking. Funding under this program will support either a comprehensive array of services for trafficking victims in specific geographic areas or specialized mental health or legal services over larger geographic areas. Funding also will support efforts to increase the capacity of communities to respond to victims through the development of interagency partnerships and public outreach and awareness campaigns. The statutory authority for this program is 22 U.S.C. § 7105(b) (2) (A).

Award recipients will work to improve the community response to victims of trafficking by providing training to service providers and allied professionals within the community and working to enhance interagency collaboration and coordination on behalf of trafficking victims. Successful applicants will be required to provide services, either in-house or through project partners, for male and female victims of sex trafficking and labor trafficking, and must demonstrate that the services provided will be part of an existing community, state, or regional effort to combat human trafficking. Applicants must leverage all resources at local, state, and federal levels to provide ongoing services for trafficking victims. Intensive case management services are central in assisting trafficking victims in achieving independence and self-sufficiency. It is critical that victims served under this program are assisted in applying for all publicly available benefits and services for which they are eligible.

Applicants under this program are not required to submit joint applications with a formal law enforcement partner; however, all awarded applicants must include a plan to work collaboratively with local, state, and federal law enforcement, as appropriate, to meet the immediate and long-term needs of victims involved in human trafficking investigations.

## **Deadlines: Registration and Application**

Registration is required prior to submission. OJP strongly advises registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on July 5, 2011. Please see "How To Apply" on page 18 for more details.

## **Eligibility**

Please refer to the title page for eligibility under this program.

**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 which contribute to the phenomenon of trafficking in persons. U.S. nongovernmental organizations and their sub-grantees 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.

## Program-Specific Information

### Background

To address the problem of human trafficking in the United States, Congress passed, and the President signed into law, the TVPA of 2000 (22 U.S.C. § 7101 et. seq.), which was amended by the Trafficking Victims Protection Reauthorization Act of 2003, and again amended in 2005 and 2008. 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. (See Appendix A for a list of definitions of key terms used in this solicitation.)

Since 2003, OVC has funded cooperative agreements to support the provision of comprehensive services to foreign national victims of human trafficking in the U.S., with particular focus on assisting victims in obtaining “certification” from the U.S. Department of Health and Human Services (HHS), Office of Refugee Resettlement (ORR), for access to federal benefits (such as food stamps, refugee cash assistance, medical assistance, etc.) to the same extent as refugees. Longer term services for “certified” foreign national victims of human trafficking include ongoing case management and legal services.

OVC began working with the Bureau of Justice Assistance (BJA) in 2004 to implement a multidisciplinary task force model to proactively investigate trafficking crimes and provide restorative services for foreign national victims. In 2010, OVC and BJA updated the model for contemporary relevance based on identified needs in the anti-human trafficking field and lessons learned since the implementation of the original model. The updated task force model supports a comprehensive approach to combating all forms of trafficking—sex trafficking and labor trafficking—regardless of immigration status, age, or gender of victims.

In 2009, OVC awarded funding under a demonstration project to three nongovernmental organizations to serve as pilot sites in developing comprehensive service models for domestic minor victims of sex trafficking or labor trafficking; and to develop, enhance, or expand the community response to domestic minor victims of human trafficking.

OVC strives to uphold the intent of the TVPA of 2000 and its subsequent authorizations to ensure that all trafficking victims, regardless of immigration status, gender, or type of trafficking, receive support in accessing the services they need to heal in the aftermath of crime victimization. Funding through this solicitation will support organizations with the capacity to providing culturally and linguistically appropriate services to address the individualized needs of victims of 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 the TVPA of 2000, 22 U.S.C. 7102(8), means:

- a. 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
- b. 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.

Adult victims of human trafficking, both foreign national and domestic, are required to cooperate with reasonable requests from law enforcement on the investigation or prosecution of trafficking in persons. Exceptions will be considered on a case-by-case basis in consultation with OVC for adult victims who would be negatively impacted or traumatized by a requirement to assist law enforcement. Minors (foreign national and domestic), are not required to assist law enforcement; however, they should be encouraged to do so, if possible.

### **Program Areas**

Recognizing the diversity of human trafficking victim assistance providers, this solicitation offers providers some flexibility when applying for funding; however, all successful applicants awarded through this competitive solicitation will be required to provide services, either in-house or through project partners, for both adult and minor, male and female victims of sex trafficking and labor trafficking.

Applicants may choose to apply for funding within one of the five program areas listed below. Applicants must state in the Application for Federal Assistance (SF-424) and the Project Abstract the specific program area under which they are requesting funding. **Each application must target only one of the program areas described below.**

#### Comprehensive Services

Applicants may apply for funding to support the provision of intensive case management and comprehensive services (as listed on pages 8 and 9) for one of the following target populations identified in a specific geographic area:

1. **Comprehensive Services for All Victims of Human Trafficking** (including foreign national/domestic, adult/minor, male/female, sex/labor trafficking victims.)
2. **Comprehensive Services for Foreign National Victims of Human Trafficking** (including foreign national, adult/minor, male/female, sex/labor trafficking victims.)
3. **Comprehensive Services for Domestic (U.S. citizen and Lawful Permanent Resident) Victims of Human Trafficking** (including domestic, adult/minor, male/female, sex/labor trafficking victims.)

#### Specialized Services Over Larger Geographic Areas

1. **Specialized Mental Health Services for All Victims of Human Trafficking** (including foreign national/domestic, adult/minor, male/female, sex/ labor trafficking victims.) Awards funded under this category will support the delivery of culturally competent direct mental

health services and training for mental health providers over a large geographic area, as described on page 11.

2. **Specialized Legal and Immigration Services for All Victims of Human Trafficking** (including foreign national/domestic, adult/minor, male/female, sex/labor trafficking victims.) Awards funded under this category will support the delivery of direct legal services and training for legal providers over a large geographic area, as described on pages 11–12.

Note: Specialized services must be implemented in coordination with existing community and state initiatives to combat human trafficking.

Awards will be made at the highest funding level for proposals submitted under the category of Comprehensive Services for All Victims of Human Trafficking, if the applicant demonstrates a documented history of serving a substantive number of human trafficking victims and submits a detailed plan for providing intensive case management and coordinating a comprehensive array of services for all trafficking victims identified within a specific jurisdiction. Awards of lesser amounts will be made to organizations that submit proposals under all other categories. (See page 14 for amount and length of awards.)

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

This discretionary grant will provide funding to support either a comprehensive array of services for trafficking victims in specific geographic areas or specialized mental health or legal services over larger geographic areas.

Successful applicants will complete the following tasks:

1. Identify victims of sex trafficking and labor trafficking, as defined by the TVPA, within the proposed geographic service region and offer comprehensive or specialized mental health or legal services to meet each victim's individualized needs.
2. Collaborate, as appropriate, with local, state, and federal law enforcement, as well as local public agencies, victim service providers, and nonprofit and faith-based organizations to enhance or expand service delivery to victims of human trafficking
3. Conduct training and public awareness and outreach activities within a specified geographic service region to improve the community response to victims of human trafficking.
4. Conduct a program evaluation to ensure the project meets intended goals related to service provision and impact on victims of human trafficking. Interim and final evaluation reports must be submitted to OVC.

### **Comprehensive Service Model**

This service model was developed based on the knowledge OVC has gained, to date, through the implementation of its Services for Victims of Human Trafficking Program. The model provides a framework for the services most frequently needed by male and female victims of sex trafficking and labor trafficking to address their immediate health and safety needs, as well as to promote client self-sufficiency. A coherent, concise, and complete comprehensive service model will ensure that the basic core services and community partnerships are in place and can be mobilized at the local level when needed. The model also supports victims in making

informed decisions about the services they need to help them work through the aftermath of the crime, address the issues that shaped the trafficking situation, and assist them in identifying and obtaining their personal goals. This includes informing the victim about their options in working with local, state, tribal, and federal law enforcement in the prosecution of the trafficker and supporting them through the process.

The implementation of the comprehensive service model or provision of specialized services must be part of an existing community, state, or regional approach to combating human trafficking. Applicants must demonstrate their expertise and organizational capacity to successfully undertake an initiative that involves a significant level of coordination and collaboration to effectively deliver services for victims. For example, applicants must demonstrate a plan to coordinate on behalf of victims with local, state, and federal law enforcement or with a law enforcement anti-trafficking task force if one exists in the jurisdiction. Applicants also must demonstrate a plan to collaborate with state and local public social service agencies, community-based victim service providers, and nonprofit and faith-based organizations in an effort to serve diverse populations, such as immigrants, youth, persons with disabilities, persons who are homeless, male victims, persons with substance abuse addictions, and persons who identify as lesbian, gay, bisexual, transgender, and queer (LGBTQ), among others.

#### Short-term Services

**Funding for comprehensive services is intended to be short-term and to fill gaps where no other local, state, or federal funding is available to assist trafficking victims.** In the case of pre-certified foreign national victims, case managers must assist victims in obtaining certification or an eligibility letter from ORR, so that the victim may apply for benefits and services to the same extent as refugees. When certification is achieved, victims should be referred to ORR-funded programs immediately; however, case management and legal services can still be provided by the grantee. No such certification for eligibility for public benefits is required for U.S. citizen or Lawful Permanent Resident (LPR) victims. Therefore, regardless of immigration status, case managers must consider it a priority to assist victims (foreign or domestic) in applying for all public benefits and services for which they may be eligible, such as food stamps, rental/housing assistance, emergency assistance with utility bills, Medicaid, Social Security Disability, and other publicly funded programs.

If necessary, organizations funded under this project may use federal grant funds to provide up to **6 months** of direct support to adult U.S. citizen, LPR, and pre-certified foreign national victims for each the following services when needed: food, clothing, shelter, medical care, substance abuse treatment, dental care, mental health treatment and counseling, interpreter/translator services, ESL/literacy education, GED assistance, job training/employment assistance, transportation, and life skills training. Approval to extend OVC payment of these services for adult victims must be granted on a case-by-case basis by OVC. Grantees will be asked to document that these services are not available to trafficking victims by other sources within the community.

OVC will consider adult foreign national victims who are awaiting certification by HHS a priority for granting these extensions, because, as pre-certified trafficking victims, they are not eligible for most public benefits and services. However, the OVC grantee must document efforts to help clients obtain HHS certification, and communicate these efforts to OVC when requesting the extension.

### Longer-term Services

OVC grant funds may be used to support some services for victims over a longer term, when no other sources of funding for those services exist within the community. Services that may be provided over the longer term for all trafficking victims include intensive case management and legal services.

### **Collaboration and Coordination of Services**

Funds awarded for the comprehensive service model are intended to support the cost of direct services for victims (as stated above), either in-house or through subcontracts or fee-for-service agreements with other community-based agencies. Applicants that fail to dedicate adequate funding to support direct services, and applicants that propose to perform all work in-house and without demonstrated collaboration with other community-based agencies, will not be considered responsive to the solicitation.

The comprehensive service model must include a plan to provide intensive case management for the victim wherever they are residing in the community in an effort to help them effectively engage with multiple systems. The goal of intensive case management is to ensure the provision of “wraparound services” that meet victims where they are and best inform their choices, while working through the trauma of the situation and interacting with the necessary local and federal partners. Local and federal partners include, but are not limited to, local, state, tribal, and federal law enforcement and prosecutors; the federal immigration system; child welfare and child protection service systems; domestic violence, youth, and homeless shelter systems and transitional housing programs; child and adult educational systems; substance abuse treatment agencies; drop-in centers for youth and adults; detention facilities; medical and mental health services and systems; tribal/native-related services and expertise; and other partners providing important services.

Applicants submitting proposals to provide comprehensive services should submit a plan to provide each service specific to their target population listed below, either in-house or through project partners:

- Intake and eligibility assessment to determine that the individual meets the definition of human trafficking and is eligible to receive services through this program. (All Comprehensive Service applicants.)
- Intensive case management, including assessment of client needs, development of individualized service plans, assessment of eligibility for other public or community-based programs, assistance in accessing publicly funded programs, safety planning, assistance with crime victim compensation claims (when possible), information and referrals, documentation of services provided, and routine followup to ensure that the victim's needs are being addressed either in-house or through project partners. (All Comprehensive Service applicants.)
- Shelter/housing and sustenance: emergency, transitional, and long-term shelter for adult and minor, male, female, and transgender victims of sex and/or labor trafficking. This is considered a short-term service. (All Comprehensive Service applicants.)
- Medical care and substance abuse treatment. (All Comprehensive Service applicants.)

- Dental care. (All Comprehensive Service applicants.)
- Mental health treatment, emergency mental health assessments. (All Comprehensive Service applicants.)
- Individual counseling, group counseling, and peer-facilitated support or recovery groups. (All Comprehensive Service applicants.)
- Interpreter/translator services. (All Comprehensive Service applicants.)
- Legal immigration services, including assistance in screening the client to ensure that the victim meets the definition of human trafficking as described by the TVPA; explanation of legal rights and protections; assistance in obtaining certification for eligibility to apply for benefits to the same extent as refugees; assistance in applying for a T visa or other immigration relief; adjustment of status; assistance with applying for T visas for derivative family members; and general legal advocacy. (Comprehensive Service for Foreign National Victims applicants.)
- Assistance in achieving HHS certification as a victim of human trafficking, including coordination with law enforcement and allied experts to assist eligible victims to achieve certification; coordination with federal law enforcement to request Continued Presence; assisting the victim in applying for a T visa; and, once certified, assisting the victim in obtaining necessary documents to support their application for services and programs for which they may be eligible. (Comprehensive Services for Foreign National Victims applicants.)
- Legal assistance with family and civil matters, including assistance in screening the client to ensure that the individual meets the definition of human trafficking as described by the TVPA; explanation of legal rights and protections; Protection From Abuse orders; victims' rights enforcement and compliance efforts; representation in family court; and emancipation of minors. (Note: Criminal defense attorney services are not supported with funding through this project.) (All Comprehensive Service applicants.)
- Victim advocacy and information about crime victims' rights and services. Examples of services in this area include referrals to and coordination with the victim/witness coordinators with the Federal Bureau of Investigation, Immigration and Customs Enforcement, and U.S. Attorneys' Offices; victim/witness staff in district attorneys' offices or within local law enforcement; victim advocates within intimate partner violence and domestic violence or sexual assault crisis centers; Child Advocacy Centers; and local Sexual Assault Response Teams, Sexual Assault Nurse Examiners, and Sexual Assault Forensic Examiner programs. Victim advocates within these settings may provide information on the status of an investigation or prosecution; assistance with the application process for state crime victim compensation benefits; sexual assault forensic medical exam options; accompaniment to court proceedings; additional comprehensive victim services, whether in-house or through referrals; and information to help clients exercise their rights as crime victims within the criminal justice process. (All Comprehensive Service applicants.)

- Literacy education and education/GED assistance, as well as job training and job placement services. (All Comprehensive Service applicants.)
- Transportation assistance, metro cards, and bus passes. (All Comprehensive Service applicants.)
- Life skills training, including managing personal finances, self-care, parenting classes, community orientation, and other programs that help clients achieve self-sufficiency. (All Comprehensive Service applicants.)
- 24-hour evening and weekend response to client emergencies and emergency calls from law enforcement. This includes hotline services, call forwarding systems, rotating on-call cell phones, and a protocol for responding to victim emergencies and emergency referrals afterhours. (All Comprehensive Service applicants.)

**NOTE: The applicant must describe the staffing structure of its program, its plan for providing intensive case management for eligible victims of human trafficking, and how it will provide EACH of the direct services described above, either in-house or through project partners.** For services to be provided by project partners, the applicant must name the project partner that will provide the specific service, and include, as an attachment to the application, a Letter of Intent or Memorandum of Understanding (MOU) describing the commitment from that organization, and a description of the fee structure and cost to the grant (if any) for each service.

#### Specialized Mental Health and Legal Assistance Services

Many communities nationwide need support in providing timely, competent services to victims of human trafficking. This is particularly true in areas where victims are identified for the first time. In cases with large numbers of victims, the need for specialized services may exceed the resources of the community. As such, awards will be made under this solicitation to support two specialized victim services—mental health and legal services.

Successful applicants will demonstrate experience and expertise in providing mental health or legal services to victims of human trafficking. Providers must demonstrate their existing capacity to marshal resources on an as-needed basis to provide one of these specialized services, either throughout the United States or in a large geographic region, such as in multiple states or in a region.

#### Mental Health Services for Adult or Minor Victims

Victims of human trafficking benefit from mental health assessments and treatment from practitioners who are culturally competent, versed in the dynamics of trafficking victimization and trauma, and familiar with evidenced-based mental health interventions.

Awards under this category will be made to applicants demonstrating expertise and experience in the provision of mental health assessments and trauma-informed and evidence-based mental health interventions. Applicants must also demonstrate the capacity to dispatch these services over a large geographic area with short notice. Awards under this category will also support training and technical assistance to mental health service providers in the large geographic area or region.

OVC will consider proposals that include alternative and culturally appropriate mental health interventions and trauma-informed practices that are documented as having successful outcomes or that demonstrate promise for reducing the impact of trauma and improving mental health outcomes for victims. All services must be supervised by an experienced mental health clinician.

Applicants must clearly describe the geographic area(s) in which they have the capacity to serve victims, a plan for dispatching services to those areas, and the length of time services can be offered to individual victims. Applications must also include plans to provide training and technical assistance to victim service providers and mental health practitioners so that services and interventions can be sustained on the local level.

#### Legal Assistance for Foreign National and Domestic Victims

Victims of human trafficking have a critical need for legal services from skilled, experienced providers who understand both the complex dynamics of human trafficking and the various legal remedies available to help victims achieve stability and self-sufficiency. The definition of human trafficking itself can be confusing for victim service professionals, particularly around the issues of force, fraud, coercion, and “labor exploitation” vs. “labor trafficking”. Legal service providers throughout the U.S. have been instrumental in helping victim service programs screen individuals to help determine if an individual’s circumstances meet the definition of human trafficking as defined by the TVPA, and in helping victims understand their legal rights and options.

Awards under this specialized category will be provided to organizations that propose to provide or dispatch legal services over a large geographic area or region to all trafficking victims (both foreign national and domestic). Awards under this category will also support training and technical assistance to legal service providers over a large geographic area or region.

Both foreign national and domestic clients may require legal assistance and advocacy to assert their rights as crime victims within the criminal justice process, understand and apply for protection from abuse orders, and provide representation in family court proceedings. Applicants applying under this category must demonstrate an understanding of the civil remedies available for trafficking victims. In addition, foreign national victims may require a range of legal immigration remedies to help them obtain temporary or permanent legal status in the U.S., and help obtaining “certification” for eligibility for services to the same extent as refugees. Services in this area may include screening the victim to determine the most appropriate course of action for immigration relief; assistance in applying for T visa or U visa; coordination with law enforcement to request Continued Presence; assistance in obtaining the necessary documents to support applications for immigration relief; assistance with T visas for derivative family members; special services for juvenile victims; and legal assistance with repatriation or family reunification.

Applicants must demonstrate the capacity to dispatch these services over a large geographic area and monitor client progress toward achieving legal assistance goals. Applicants may plan to engage pro bono attorneys to deliver these services to victims; however, the grantee must describe a plan for followup on each client’s case to ensure that the pro bono attorneys are meeting with victims to address their legal needs.

Applicants must demonstrate a willingness and capacity to work in collaboration with law enforcement and victim service providers to provide legal services that are appropriate for each victim. Applicants must also demonstrate an understanding of the legal procedures in federal, state, and local criminal justice systems.

This award may support costs related to visa fees or application fees on behalf of the victim. Applicants must clearly describe the geographic area(s) in which they have the capacity to serve victims, a plan for dispatching services to those areas, and the length of time services can be offered to individual victims. Applicants must also include plans to provide training and technical assistance to victim service providers and legal service providers to sustain these services over the long term.

**For all applicants:** Successful applicants will have 90 days after the date of the award to secure formal MOUs, subcontracts, or letters of intent that fully demonstrate how each service will be provided. These documents must include the names of the organizations involved in the agreement; scope of the direct service(s) to be provided under the agreement; duration of the agreement; the total costs associated with the agreement (if applicable); estimated cost per victim for actual services provided (fee-for-service or no-cost); and maximum number (cap) of victims that may be served under the agreement (if applicable). If any of the required direct services above are to be provided pro bono or accessed through other government-subsidized programs, applicants must describe how services will be provided to victims without the use of grant funds.

### **Training**

All applicants must submit a training plan as a separate attachment to the application. Training and public awareness activities are integral to a community's response to human trafficking.

**Under this program, OVC recommends that a minimum of 2 percent (but no more than 5 percent) of the total project budget be dedicated to conducting local trainings for project partners and other community members, and providing project staff with professional development opportunities** (including travel to attend local or national victim assistance or regional or national trafficking conferences.) See page 23 for more information about training and how training funds should be allocated in the budget.

### **Evaluation**

All applicants must submit an evaluation plan as a separate attachment to the application. Evaluation is necessary to ensure projects meet intended goals related to service provision and impact on victims of human trafficking. **Under this program, OVC recommends that a minimum of 5 percent of the total project budget be used to support a program evaluation.**

Applicants may propose to hire an evaluation consultant or utilize existing staff with appropriate expertise. Funds allocated for evaluation may also be used to support activities related to data collection for OVC-required performance measures. (See "Performance Measures," pages 16–17, and "Data Collection," page 14.)

The evaluation plan must identify the evaluation consultant or key staff who will conduct evaluation activities; qualifications of the consultant or staff selected to conduct evaluation activities; the basic framework and timeline of evaluation activities; and the costs associated with evaluation activities. The applicant also must include a plan that describes how performance measurement data will be collected.

## **Data Collection**

OVC has developed a Trafficking Information Management System (TIMS) database to assist grantees with collecting and organizing performance measure data, as well as meeting OVC reporting requirements. TIMS helps collect data related to the number of clients served, client demographics, number and types of services provided, referral sources, types of outreach activities, and number and disciplines of professionals trained. All successful applicants under this solicitation will be required to use TIMS. Applicants will receive access to TIMS and the TIMS Users Guide. Successful applicants will be required to submit project-specific TIMS data to OVC and its Training and Technical Assistance Center (TTAC) every 6 months to coincide with the submission of semiannual progress reports. OVC TTAC provides detailed training and technical assistance on the use of the TIMS database for OVC's grantees.

## **Grants Versus Cooperative Agreements**

Cooperative agreements are used when **substantial** collaboration is anticipated between OVC and the award recipient during performance of the proposed activities. Responsibility for general oversight and redirection of the project, if necessary, rests with OVC. OVC will review and approve all activities in the requirements under the various stages as enumerated in the solicitation. This includes review and approval in a timely manner of all key personnel selections, consultants, assessments, plans, instruments, manuals, and documents developed or identified for use during the project, with suggestions for modifications. Responsibility for the coordination of topics addressed or services rendered will be shared by OVC and the recipient. Where appropriate, the recipient will act jointly with OVC to determine modifications to the program plan or budget, and design data collection instruments. In executing this responsibility, OVC requires that its program specialist meet periodically with the recipient (as determined by OVC) throughout the life of the project to discuss project activities, plans, problems, and solutions. Responsibility for the day-to-day conduct of the project rests with the recipient. This specifically includes operations, data collection, analysis, and interpretation.

## **Evidence-Based Programs or Practices**

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.

OVC encourages all applicants that have completed evaluations on their programs or its practices related to the provision of services to human trafficking victims to submit a copy of the final or interim evaluation report with their application.

## **Amount and Length of Awards**

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

Award Amount: OVC anticipates making awards ranging from \$200,000 to \$400,000 for a combined period of 2 years (24 months). OVC retains the right to exercise discretion in setting

award amounts. OVC also retains the right to make funding decisions based on documented numbers of victims identified and served with specific geographic regions.

- Maximum awards of \$400,000 will only be made to successful applicants that submit proposals under the category of Comprehensive Services for ALL Victims of Human Trafficking, document a clear plan and capacity for serving all victims, and document a history of serving a substantive number of human trafficking victims. (See page 6).
- Awards of between \$200,000 and \$300,000 will be made to successful applicants that submit proposals under the categories of Comprehensive Services for Foreign National Victims of Human Trafficking **or** Comprehensive Services for Domestic Victims of Human Trafficking. (See page 6.)
- Awards of between \$200,000 and \$300,000 will be made to successful applicants that submitted proposals under the categories of Specialized Mental Health Services **or** Specialized Legal Services. (See pages 7.)

### **Budget 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, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% 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. (The 2011 salary table for SES employees is available at [www.opm.gov/oca/11tables/indexSES.asp](http://www.opm.gov/oca/11tables/indexSES.asp).) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Assistant Attorney General for OJP. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

### **Match Requirement (cash or in-kind)**

Federal funds awarded under this program may not cover more than 75 percent of the total costs of the project being funded. The applicant must identify the source of the 25 percent non-federal portion of the total project costs and how match funds will be used. (Match is restricted to the same uses of funds as allowed for the federal funds.) Applicants may satisfy this match requirement with either cash or in-kind services. The formula for calculating the match is:

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

Required Recipient's Share Percentage x Adjusted Project Cost = Required Match

**Example:** 75%/25% match requirement: for a federal award amount of \$350,000, match would be calculated as follows:

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

## Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
To provide high-quality and timely comprehensive or specialized services to victims of human trafficking.	Percent increase in the number of trafficking victims served.	<p>The number of NEW foreign national trafficking victims served for the first time during the reporting period, broken down by the type of trafficking (sex, labor, or both).</p> <p>The number of NEW domestic trafficking victims served for the first time during the reporting period, broken down by the type of trafficking (sex, labor, or both).</p> <p>The TOTAL number of trafficking victims served during the reporting period. (This includes new clients and existing clients served during the reporting period.)</p>
	Percentage of grantees that report the capacity to provide the full range of comprehensive services.	Number and types of services provided to trafficking victims during the reporting period, broken down by type of service.
To enhance the ability of professionals and key stakeholders within the community to better understand human trafficking and more	Number and types of professionals who receive training in identifying human trafficking victims and providing services to them.	Number of professionals who receive training in identifying human trafficking and serving victims during the reporting period, broken down by discipline.

effectively identify and serve victims.		
To enhance interagency collaboration and the coordinated community response to victims of trafficking.	Percent increase in the number of collaborative partners working with the OVC-funded organization to serve victims of trafficking.	Number of collaborative partners serving trafficking victims at the beginning and end of the reporting period.

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to “What an Application Should Include” on page 20 for additional information.

**Note on project evaluations:** Applicants that propose to use funds awarded 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 protections. 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.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections 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, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” Web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

## Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

## How To Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800–518–4726**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for [Grants.gov](http://Grants.gov) registration. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866–705–5711 or by applying online at [www.dnb.com](http://www.dnb.com). Individuals are exempt from this requirement.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. An applicant must be registered in the CCR database to successfully register in Grants.gov. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.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. The applicant organization’s DUNS Number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
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. Please note that there can be more than one AOR for the organization.

5. **Search for the funding opportunity on Grants.gov.** Please 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-2011-3047.
6. **Submit an 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 an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). 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."

#### **Experiencing Unforeseen Grants.gov Technical Issues**

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact OVC staff **within 24 hours after the deadline** and request approval to submit its application. At that time, OVC staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: failure to begin the registration process in sufficient time, failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, failure to follow all of the instructions in the OJP solicitation, and technical issues experienced with the applicant's computer or information technology environment.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page, [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## **What an Application Should Include**

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to

make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, will neither proceed to peer review nor receive further consideration.

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

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

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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, please select "For-Profit Organization" or "Small Business" (as applicable).

**2. Project Abstract (Attachment 1)**

The abstract must be a single-spaced summary that clearly describes the following:

- Applicant's name, title of the project, and dollar amount requested.
- Type of service(s) to be provided (comprehensive or specialized).
- A specific description of the jurisdiction or geographic area where activities will be focused.
- A summary of the goals, objectives, and key deliverables of the project.

**3. Program Narrative (Attachment 2)**

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 "1 of 25," "2 of 25," etc.

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

The program narrative should include three clearly identified separate sections: Statement of the Problem, Project Design/Implementation Plan, and Organizational Capability and Project Management. (Detailed Training Plans, Data Collection/Evaluation Plans and the Time-Task Plan should be separate attachments.)

The following sections should be included as part of the program narrative.

- a. **Statement of the Problem:** Applicants must include the following:

- Identification of the problem of human trafficking within the targeted jurisdiction or geographic area, including local, state, and federal data regarding investigations, prosecutions, and services to trafficking victims in the proposed geographic area.
  - Outstanding problems, gaps in services, and unmet needs regarding human trafficking in the proposed geographic area.
  - A description of how this funding opportunity will help address these problems.
- b. **Project Design and Implementation:** Applicants must submit a coherent, concise, and complete plan for the implementation of this project that addresses the requirements of the solicitation as described below and on pages 7-14.
  - A demonstrated history of serving human trafficking victims. All applicants must provide detailed information on the number of human trafficking victims they have previously served through their community, state, and/or regional efforts. At a minimum, applicants must identify the total number of victims previously served with federal and non-federal funds; the types of victims they have served (sex vs. labor trafficking victims); and the geographic service region covered. Applicants must describe how this data was compiled. Additionally, applicants must state how long (in years) they have provided services to human trafficking victims.
  - The capacity to implement the comprehensive services model or a specialized service(s). For each direct service, all applicants must clearly identify the name of the organization or staff person/position name that will be providing service(s), how the performance of service provider(s) will be monitored, and the plan for how service(s) will be implemented. For direct services provided by project partners, the applicant must include, for each named project partner, an MOU, letter of intent, or sub-contract.
  - If applicable, a plan to ensure that intensive case management and services will be provided for all victims identified through this initiative (victims of sex and labor trafficking, male and female, foreign national and domestic, adults and minors), without excluding one type of victim over another.
  - Subcontracts, MOUs, or letters of intent. Applications must include documentation that formalizes partnerships between the primary grantee and partner agencies. Subcontracts, MOUs, and letters of intent must include the names of the organizations involved in the agreement; scope of the direct service(s) to be provided under the agreement; duration of the agreement; total costs associated with the agreement (if applicable); estimated cost per victim for actual services provided—fee-for-service or no-cost; and maximum number (cap) of victims that may be served under the agreement (if applicable). If any of the required direct services above are to be provided pro bono or accessed through other government subsidized programs, applicants must describe how services will be provided to victims without the use of grant funds.
- c. **Organizational Capability and Project Management:** Applicants must state their experience with managing federal grants that support direct services to crime victims

and document their administrative and financial capacity to manage federal grants. If the applicant has other grants to provide services to victims of human trafficking, training on human trafficking for professionals, or outreach to trafficking victims, the applicant must describe the scope of each of these grants and describe how activities and data collection on these projects will be tracked separately to avoid duplication.

Each organization must also demonstrate that it has the expertise and organizational capacity to successfully undertake an initiative that involves significant collaboration with other agencies, including local, state, and federal law enforcement, victim service and faith-based organizations, local medical providers, and other community service providers to develop, expand, or enhance services to victims of severe forms of trafficking who are not U.S. citizens or legal permanent residents of the United States. Applicants must also describe how the program will be managed and include an organizational chart or other information describing the roles and responsibilities of key personnel.

Additionally, applicants must provide a list of personnel responsible for managing and implementing the major stages of the project; a specific plan for supervision of case managers supported under this project (if additional staff will be hired to complete the project, the applicant should attach a job description and the selection criteria for the position); and a description of the current and proposed professional staff members' unique qualifications that will enable them to fulfill their grant responsibilities.

Note: Key staff, including case managers, must have prior victim service experience or be under the direct supervision of a senior case manager or project director who has such experience.

#### 4. Budget Detail Worksheet and Budget Narrative (Attachment 3)

##### a. Budget Detail Worksheet

The completion of a budget detail worksheet is required in support of the budget narrative form described below. The budget detail worksheet should list the cost of each budget item and show how the costs were calculated. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee to be paid through grant funds. The worksheet should present a complete and detailed itemization of all proposed costs.

- **Direct victim services:** Applicants seeking funds to implement the comprehensive service model must dedicate a line item for each of the direct services listed on pages 8–11. Each direct service must be addressed whether or not there is a charge to the grant. For example, if mental health services are provided at no charge and are not being applied as match, this service should still be listed as a line item in the budget under direct services with \$0 and a narrative justification that states services are free of charge.

Applicants seeking funds to implement a specialized service must dedicate line items, as appropriate, for costs related to the provision of such services over a large geographic area.

Funds awarded through the OVC cooperative agreement are intended to support the cost of direct services for victims, either in-house or through subcontracts or fee-for-services through other community-based agencies. Applicants that fail to dedicate adequate funding to support direct services and applicants that propose to perform all work in-house and without demonstrated collaboration with other community based agencies will not be considered responsive to the solicitation.

- **Administrative personnel costs:** The budget must direct adequate funding to the required victim support services outlined in this solicitation. Project costs toward salary/benefits for staff and operational costs that do not provide direct victim services should not exceed 10 percent of total project costs.
- **Travel for Required Meetings/Trainings:** Applicants applying for up to \$200,000 for one additional year should plan to send one or two staff persons to attend the following trainings and allocate these costs within the Travel category of the budget. Applicant must break out costs associated with travel, lodging, per diem, and ground transportation for each of the following events:
  - One OVC Discretionary Grantee meeting in Washington, D.C., in Fall 2011.
  - One Financial Management Training Seminar sponsored by OJP's Office of the Chief Financial Officer (OCFO), unless the grantee has previously attended this seminar. Specific information (such as dates and locations of upcoming OCFO events) can be found at [www.ojp.usdoj.gov/training/financial.htm](http://www.ojp.usdoj.gov/training/financial.htm).
  - The 2012 DOJ National Training Conference (2.5–3 days), location TBD.
  - One Regional Training Forum (2 days), location TBD, in 2013.

Please 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 board information sheet.

- **Program Match:** A 25-percent program match is required. (See pages 15–16.)
- **Consultant Rates:** Consultant rates may not exceed the maximum of \$450/day or, if paid by the hour, \$56.25/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 BJA and 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 \$450 per day or \$56.25 per hour limitation.

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

b. **Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the budget detail worksheet. The narrative should be mathematically sound and correspond with the information and figures provided in the budget detail worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant 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 be broken down by year.

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm](http://www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm).

6. **Project Timeline (Attachment 5)**

The timeline document must show—

- 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.

7. **Privacy Certificate (Attachment 6)**

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 interviews. For sample privacy certificates, visit [www.ojp.usdoj.gov/ovc/grants/help.html#forms](http://www.ojp.usdoj.gov/ovc/grants/help.html#forms) and view the two model privacy certificates available for adaptation. For additional guidance on Privacy Certificate content, visit the National Institute of Justice's Privacy Certificate Guidance [www.ojp.usdoj.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm](http://www.ojp.usdoj.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm).

**8. Plan for collecting the data required for this solicitation's performance measures (Attachment 7)**

Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to OVC as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

**9. Position descriptions/resumes (Attachment 8)**

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

**10. Letters of Support (Attachment 9), if available**

**11. Copies of outcome evaluations (Attachment 10), if available**

**12. Tribal Authorizing Resolution (Attachment 11), if applicable**

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at minimum, the applicant should submit an unsigned, draft tribal resolution as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the signed tribal resolution.

**13. Other Standard Forms**

Additional forms that may be required in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms:

- a. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#) (Required to be submitted in GMS prior to the receipt of any award funds.)
- b. [Disclosure of Lobbying Activities](#) (Required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded.)

- c. [Accounting System and Financial Capability Questionnaire](#) (Required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded.)
- d. [Standard Assurances](#) (Required to be submitted in GMS prior to the receipt of any award funds.)

## **Selection Criteria**

1. Statement of the Problem (25%)
2. Project Design and Implementation (30%)
3. Capabilities and Competencies (20%)
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (10%)
5. Budget (15%)

## **Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. OVC may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of 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. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer, in consultation with OVC, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the budget detail worksheet and budget narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

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 also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000—Federal Taxes Certification Requirement
- Active CCR Registration

# **Application Checklist**

## **OVC FY 2011 Services for Victims of Human Trafficking**

This application checklist has been created to assist in developing an application.

### **Eligibility Requirement**

The federal amount requested is within the allowable limit(s) ranging from \$200,000 to \$400,000 for a period of 2 years (24 months).

### **Program Specific Information**

- Maximum awards of \$400,000 will only be made to successful applicants that submit proposals under the category of Comprehensive Services for ALL Victims of Human Trafficking, document a clear plan and capacity for serving all victims, and document a history of serving a substantive number of human trafficking victims. (See page 6.)
- Awards of between \$200,000 and \$300,000 will be made to successful applicants that submit proposals under the categories of Comprehensive Services for Foreign National Victims of Human Trafficking **or** Comprehensive Services for Domestic Victims of Human Trafficking. (See page 6.)
- Awards of between \$200,000 and \$300,000 will be made to successful applicants that submit proposals under the categories of Specialized Mental Health Services **or** Specialized Legal Services. (See pages 7.)

### **What an Application Should Include:**

<input type="checkbox"/> Application for Federal Assistance (SF-424)	(see page 20)
<input type="checkbox"/> Project Abstract (Attachment 1)	(see page 20)
<input type="checkbox"/> Program Narrative (Attachment 2)	(see page 20)
<input type="checkbox"/> Statement of the Problem	(see page 20)
<input type="checkbox"/> Project Design and Implementation	(see page 21)
<input type="checkbox"/> Organizational Capability and Project Management	(see page 21)
<input type="checkbox"/> Budget Detail Worksheet and Budget Narrative (Attachment 3)	(see page 22)
<input type="checkbox"/> Indirect Cost Rate Agreement (Attachment 4, if applicable)	(see page 24)
<input type="checkbox"/> Project Timeline (Attachment 5)	(see page 24)
<input type="checkbox"/> Privacy Certificate (Attachment 6)	(see page 24)
<input type="checkbox"/> Plans for Evaluating and Collecting the Data Required for this Solicitation's Performance Measures* (Attachment 7)	(see page 25)
<input type="checkbox"/> Position Descriptions/Resumes (Attachment 8)	(see page 25)
<input type="checkbox"/> Letters of Support (Attachment 9, if available)	(see page 25)
<input type="checkbox"/> Copies of Outcome Evaluations (Attachment 10, if available)	(see page 25)
<input type="checkbox"/> Tribal Authorizing Resolution (Attachment 11, if applicable)	(see page 25)

### **Other Attachments:**

<input type="checkbox"/> Training Plan	(see page 13)
<input type="checkbox"/> Evaluation Plan	(see page 13)
<input type="checkbox"/> Other Standard Forms as applicable (see page 25–26), including:	
<input type="checkbox"/> Disclosure of Lobbying Activities (if applicable)	
<input type="checkbox"/> Accounting System and Financial Capability Questionnaire (if applicable)	

## **Appendix A: Definitions**

For the purpose of this solicitation, the following definitions are used:

**Adult:** A person who is over the age of 18.

**Comprehensive services:** An array of services that can be offered to a trafficking victim that will address needs identified at the time of intake and service planning. At a minimum, these services include shelter, intensive case management, safety planning, crisis intervention, victim advocacy, mental health treatment (including individual and group counseling,) support in family reunification/preservation, medical care, dental care, substance abuse treatment, assistance with educational needs/GED, life skills training, transportation, and other necessary services. These services must be made available for victims identified under this initiative in coordination with other existing local, state, and federal resources.

**Domestic victim:** A U.S. citizen or lawful permanent resident trafficked within the United States.

**Foreign national victim:** A person who is not a U.S. citizen or a legal permanent resident of the United States, trafficked within the United States.

**Key stakeholders:** Task force members that must include, but are not limited to:

- State, local, and tribal law enforcement (police, sheriff, etc.)
- Victim service organizations, nongovernmental organizations, and social service agencies with expertise in working with victims of trafficking
- U.S. Attorney's Office (the designated Assistant U.S. Attorney)
- Federal law enforcement (ICE, DOL, FBI, etc.)
- State Attorney General's Office
- State and/or district prosecutor's office
- Federal, state, and local regulatory agencies (ATF, IRS, state licensing departments and regulating bodies, etc.).
- Other critical partners, as identified by the applicants (including criminal justice system victim and witness coordinators; specialists on local, state, and federal levels; state monitor advocates; faith-based organizations, etc.)

**Minor:** A person who is under the age of 18.

**Multidisciplinary anti-human trafficking task force (or “Task Force site”):** A group of individuals and organizational resources that provides leadership, direction, and support for collaborative efforts among law enforcement and diverse victim service providers in order to respond effectively in combating all forms of human trafficking. Task force members (key stakeholders) for this program must include, but are not limited to those listed above under “Key stakeholders.”

**Victim of trafficking:** A person who has been subjected to a “severe form of trafficking in persons,” which, as defined in the TVPA of 2000, 22 U.S.C. 7102(8), means:

- a. 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
- b. 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.