

**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 FY 2016 Project Beacon: Increasing Services for Urban American Indian and Alaska Native Victims of Sex Trafficking. This program furthers the Department's mission by promoting practices that will result in justice and healing for victims of crime.

## **FY 2016 Project Beacon: Increasing Services for Urban American Indian and Alaska Native Victims of Sex Trafficking**

**Applications Due: June 21, 2016**

### **Eligibility**

Eligible applicants are limited to: nonprofit, nongovernmental organizations (including tribal nonprofit organizations) whose primary mission is specifically to provide services that meet the health, safety, and general welfare needs of American Indian and Alaska Native individuals who reside in urban areas. For additional information, see "[Section C. Eligibility Information](#)."

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 21, 2016.

All applicants are encouraged 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.

### **Pre-Application Webinars**

OVC will conduct two pre-application webinars. Participation in the webinars is optional for any potential applicant. During the webinars, OVC staff will review the solicitation requirements and conduct a question and answer session with participants. The webinars are scheduled for the following dates/times:

- Wednesday, May 11, 2016, from 3:00 p.m. to 4:30 p.m. eastern time
- Wednesday, June 8, 2016, from 3:00 p.m. to 4:30 p.m. eastern time

Anyone who is interested in submitting an application in response to this solicitation is eligible to participate in the webinars. To register for a webinar, please email Kimberly Woodard at [Kimberly.woodard@usdoj.gov](mailto:Kimberly.woodard@usdoj.gov). Please write "Project Beacon – Registration for Pre-Application Webinar" in the subject line of your message. All registrations must be received at least two hours prior to the scheduled start of the webinar.

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](http://Grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the OVC contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Kimberly Woodard, Senior Tribal Affairs Specialist, by telephone at 202-307-2952 or by email at [kimberly.woodard@usdoj.gov](mailto:kimberly.woodard@usdoj.gov).

Grants.gov number assigned to this announcement: OVC-2016-9285

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# FY 2016 Project Beacon: Increasing Services for Urban American Indian and Alaska Native Victims of Sex Trafficking (CFDA #16.320)

## A. Program Description

### Overview

Under the statutory authority of 22 U.S.C. § 7105(b)(2), the Office for Victims of Crime (OVC) will make up to three grant awards to increase the quantity and quality of services currently available to American Indian and Alaska Native victims of sex trafficking who reside in urban areas.<sup>1</sup> Award recipients will use the funding to increase their capacity to address the needs of American Indian and Alaska Native victims of sex trafficking through a combination of staff training and education on the topic, building strategic collaborative partnerships with other community-based organizations and agencies, and public awareness activities.

### Program-Specific Information

Recent research on the incidence of sex trafficking among American Indian and Alaska Native populations has focused on the plight of American Indian and Alaska Native women and girls who are involved in sex trafficking in urban areas. American Indian and Alaska Native women and girls may be over-represented among individuals who have been arrested for sex trafficking.<sup>2</sup> Most often American Indians and Alaska Natives who are involved in urban sex trafficking may not have grown up in urban areas. In one study, researchers found that 77 percent of American Indian women and girls who were victims of sex trafficking had been trafficked in urban areas, and that 58 percent of them had grown up in reservation communities.<sup>3</sup>

Migration from tribal reservation communities to urban centers increases the vulnerability of American Indians and Alaska Natives to become involved in sex trafficking along with other risk factors, including poverty, involvement in the foster care system, prior victimization (e.g., childhood sexual abuse and/or sexual assault as an adolescent or young adult), prior involvement in the juvenile or adult criminal justice systems, and substance abuse.<sup>4</sup> Though there are many organizations nationwide who have turned their attention to addressing the

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<sup>1</sup> For purposes of this solicitation, “American Indian and Alaska Native” refers to an individual who is an enrolled member of a federally recognized Indian tribe (25 U.S.C. § 479), “sex trafficking” refers to an incident “...in which a commercial act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age.” (22 U.S.C. §7102(9)(a)), and the definition of “urban area” is consistent with the U.S. Census Bureau’s definition of “urbanized area,” which refers to an area with a total population of “50,000 or more people” (<https://www.census.gov/geo/reference/urban-rural.html>)

<sup>2</sup> Farley, M., Matthews, N., Deer, S., Lopez, G., Stark, C., & Hudon, E. (2011). *Garden of Truth: The Prostitution and Trafficking of Native Women in Minnesota*. St. Paul, MN: Minnesota Indian Women’s Sexual Assault Coalition and Prostitution Research and Education

<sup>3</sup> Farley, M., et al.

<sup>4</sup> Farley, M., et al.; Suave, M. (2015). *Human Trafficking and Indigenous Populations*. Washington, DC: Administration for Native Americans, U.S. Department of Health and Human Services.

needs of victims of sex trafficking, it is not clear that their services are consistently reaching American Indian and Alaska Native victims.

American Indian and Alaska Native advocates report that American Indian and Alaska Native victims are often reluctant to access services offered by non-Native organizations because of perceived or actual bias, and cultural insensitivity displayed by staff members at such organizations. American Indian and Alaska Native victims of sex trafficking may find themselves hundreds or thousands of miles away from home, with little or no contact with individuals who understand their cultural, linguistic, or spiritual needs. Reconnecting American Indian and Alaska Native victims of sex trafficking with their spirituality and cultural identity may be an important factor in their recovery.<sup>5</sup> While there are numerous culturally specific nonprofit, nongovernmental organizations nationwide that have been established to meet the health care, social services, and other needs of urban American Indian and Alaska Native populations, many of these organizations may be unaware of the needs of victims of sex trafficking, or may lack the organizational capacity to meet their needs.

The primary aim of this program is to help bridge the divide between urban American Indian and Alaska Native victims of sex trafficking and nonprofit, nongovernmental urban Indian centers.

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

The overarching goal of this program is to increase the quantity and quality of victim-centered services available to assist American Indian and Alaska Native victims of sex trafficking in urban areas. All services provided as part of this program must respect the decisionmaking autonomy of victims of sex trafficking; support victim self-sufficiency; and promote victims' feelings of increased safety and well-being.

Award recipients under this solicitation will be required to meet the following objectives in support of the program goal:

1. Develop a plan or strategy to meet the comprehensive needs of American Indian and Alaska Native victims of sex trafficking through (a) the recipient's provision of direct services to victims; (b) the formation of strategic collaborative partnerships with other community-based organizations and/or agencies who can meet the victims' needs; or (c) a combination of (a) and (b).
2. Work collaboratively with federal, state, and local law enforcement, victim services providers, and community and faith-based organizations and agencies to facilitate the identification and referral of American Indian and Alaska Native victims of sex trafficking for services.
3. Participate in OVC-sponsored training and technical assistance to build the recipient's organizational capacity to provide direct services to American Indian and Alaska Native victims of sex trafficking through: professional development training and education for organizational staff; training and technical assistance on how to craft an effective public awareness campaign; and training and technical assistance on effective outreach strategies for victims of sex trafficking.
4. Participate in data collection and program evaluation activities to assess whether or not the funded project is meeting its stated goals and objectives.

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<sup>5</sup> Farley, M., et al.

Victim service providers funded under this program must use the Trafficking Information Management System (TIMS) Online to collect and report performance measurement data for this award. TIMS is an online data collection tool developed by OVC to assist trafficking victim service grantees with collecting, organizing, and reporting performance measurement data for this award. TIMS Online can be used as a case management system, and helps collect data related to the number of clients served, client demographics, number and types of services provided, referral sources, types of outreach and public awareness activities, and the number of professionals trained. OVC victim service provider grantees are required to use TIMS Online to support performance measurement reporting. Training and technical assistance on the use of TIMS Online is provided for OVC's grantees. (See page 18 for the list of the required performance measures for this award.)

The funds available under this program are primarily intended to support costs associated with the provision of short-term direct services that support the long-term goals of autonomy and self-sufficiency for recently identified victims of sex trafficking. OVC does not set time limits on the provision of services, and supports the grantee's provision of ongoing, specialized case management services for victims of sex trafficking when there are no other local organizations or agencies who provide such services. **The funds awarded under this program are not intended to provide long-term financial support to victims of sex trafficking.** Grantees are expected to develop a plan for the provision of long-term services to victims of sex trafficking that anticipates close coordination with other existing programs and services for victims of sex trafficking in the local community.

For the purpose of eligibility for services under this cooperative agreement, adult victims of human trafficking are required to cooperate with reasonable requests from law enforcement on the investigation or prosecution of trafficking in persons (OVC is currently reviewing this guidance and may revisit it in the future). OVC will consider exceptions on a case-by-case basis for adult victims who would be negatively impacted or re-traumatized by a requirement to assist law enforcement. Minors are not required to assist law enforcement; however, they should be encouraged to do so.

### **Comprehensive Service Model**

Applicants to this program are not expected to have the capacity to fulfill all of the needs of American Indian and Alaska Native victims of sex trafficking. Rather, OVC will provide the grant award recipients under this program with the training and technical assistance necessary to develop a logic model to meet the comprehensive needs of the victims that they will serve through a coordinated, community-wide response, that relies on collaborative partnerships and cross-referrals for services. The following is a partial list of potential community stakeholders who should be included in a coordinated community response:

- Federal, state, local, and tribal law enforcement officers, prosecutors, and victim-witness coordinators.
- Civil legal assistance providers.
- State and tribal child welfare and child protection services professionals.
- Tribal and non-tribal domestic violence, homeless, and youth shelter programs and transitional housing programs.
- Tribal and non-tribal mental health services providers, including drug and alcohol treatment programs.
- Federal, state, and local adult and youth detention facilities, halfway houses, and group homes.

- Educational services and job training programs for adults and youth.

Successful applicants who are selected for funding under this program will be required to develop a memorandum of understanding (MOU) with key stakeholders in the local community to strengthen collaborative partnerships by memorializing their commitment to assisting American Indian and Alaska Native victims of sex trafficking. OVC will provide award recipients with technical assistance on developing and executing an MOU which outlines the roles and responsibilities of each collaborative partner.

Additionally, under the comprehensive service delivery model, grantees are required to develop programs that are victim-centered. Key aspects of a victim-centered approach to providing direct services to victims of sex trafficking include:

- Adopting a trauma-informed approach to the provision of services.
- Creating individualized service plans to meet the needs of each victim.
- Educating victims about their options so that they may make informed decisions about the support that they need to overcome their victimization, address socio-economic as well as psychological and other issues that contributed to their victimization, and formulate and achieve personal goals.

Intensive case management services is a key component of the Comprehensive Service Model. The careful and consistent coordination of the delivery of services to victims across multiple systems ensures that the victim's holistic needs are met. Intensive case management also ensures that victims have the support necessary to make decisions about their lives and their futures, while also working to address the impact of ongoing traumatic stress related to their victimization, and their cooperation with federal, state, local, and tribal law enforcement officers and prosecutors in the investigation and prosecution of their traffickers. Award recipients must develop a service delivery plan that provides access to case management services for all victims, regardless of where the victim resides (e.g., minor victims who reside in a group home, foster care placement, or with family; adults living on their own, in a residential substance abuse program, or an emergency shelter).

With training and technical assistance provided by OVC, each grantee will be required to develop a comprehensive plan for the delivery of services to urban American Indian and Alaska Native victims of sex trafficking which includes, at a minimum, a plan to provide or refer victims to the following services:

- Intake and assessment of eligibility for services.<sup>6</sup>
- Intensive case management, including: assessment of client needs; development of individualized service plans; assessment of eligibility for other public or community-based services; assistance in accessing publicly funded programs; safety planning; assistance with completing crime victim compensation claims; information and referral services; documentation of services provided; and routine follow-up to ensure that the victim's needs are being met.

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<sup>6</sup> Though the primary emphasis in this solicitation is on providing direct services to victims of sex trafficking as defined by 22 U.S.C. §7102(9)(a), grant award recipients are not prohibited from providing direct services and/or a referral to direct services to victims of labor trafficking, which includes individuals who have been recruited, harbored, transported, provided, or obtained by another "...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." (22 U.S.C. §7102(9)(b)).

- Emergency shelter, transitional and permanent housing, including group and independent living options, and food/sustenance resources.
- Medical care and dental care.
- Mental health counseling, including emergency or crisis services, clinical evaluation and assessments, substance abuse treatment, and individual or group counseling as appropriate.
- Victim advocacy, including assisting victims with: accessing information about crime victim's rights and services; communicating or coordinating with victim-witness professionals at federal agencies (e.g., Federal Bureau of Investigation, Bureau of Indian Affairs, United States Attorneys' Offices), as well as victim-witness professionals at state, local, or tribal law enforcement and prosecution agencies; communicating and coordinating services with victim advocates and other staff employed by tribal and non-tribal domestic violence shelter programs and rape/sexual assault response centers and programs; communicating and coordinating services with local and tribal Sexual Assault Nurse Examiner Programs/ Sexual Assault Response Teams. Specific tasks associated with advocating on behalf of victims of sex trafficking in these settings may include: keeping the victim informed of the status of an investigation or prosecution; assisting a victim with completing an application for state crime victim compensation benefits; educating victims about the availability of sexual assault medical forensic exams; accompanying victims to court proceedings; and assisting victims with exercising their rights as crime victims under federal or state law.
- Literacy education, job training, and/or education and GED assistance that is culturally appropriate.
- Life skills training, including managing personal finances, self-care, parenting classes, and programs that help victims achieve self-sufficiency.
- Employment and transportation assistance.
- Assistance with accessing culturally specific services, including, but not limited to, traditional healing ceremonies.
- Access to a 24-hour crisis response to emergency calls from clients and law enforcement, including evenings and weekends (e.g., crisis hotline, rotating cell phone coverage, call-forwarding or answering service, or a protocol for responding to afterhours victim emergencies and emergency referrals).
- Civil legal assistance, to include: assistance with screening clients for a determination of eligibility for services; legal information; explanation of legal rights/protections, including assistance in obtaining restitution and enforcing compliance with federal and state victims' rights laws; assistance with family law matters related to the trafficking victimization, including, but not limited to, protection orders, representation in family court proceedings, and petitions for the emancipation of minors; assistance with family reunification; referrals to pro bono attorneys; and assistance with vacating or expunging a victim's criminal conviction for sex trafficking where allowed by law for victims of trafficking.

### **Community Outreach and Training**

Training and public awareness activities are integral to a community's response to sex trafficking. Applicants are expected to: conduct local trainings for project partners on how to meet the needs of American Indian and Alaska Native victims of sex trafficking; conduct outreach and awareness activities and events that educate urban American Indians and Alaska Natives about sex trafficking and the services available through the grant-funded project; and provide project staff with professional development opportunities (including travel to attend local

and national victim assistance or regional or national trafficking conferences). Under this program, each applicant must allocate a minimum of 2 percent (but not more than 5 percent) of the total amount of federal funds requested to support the delivery of training to local partners, community outreach activities, and to access professional development opportunities.

### **Products**

All award recipients will be required to deliver the following products to OVC for review and approval within the conclusion of the first 12 months of the grant award period:

- A detailed plan describing how the grantee will implement the Comprehensive Service Model described above.
- A logic model which illustrates how the grantee will monitor and evaluate its success in meeting the goals and objectives of the FY 2016 Project Beacon: Increasing Services for urban American Indian and Alaska Native Victims of Sex Trafficking Program.
- An MOU that outlines the roles and responsibilities of each of the grantee's collaborative partners, and details how the grantee will ensure that victims will receive holistic, victim-centered services across multiple systems.

Grantees will only have access to one-third of the funding available under an award made under this program for the first 12 months of the award period. Within the first 12 months, grantees must focus their program activities on developing and finalizing a Comprehensive Service Model plan, a logic model, and an MOU with the grantee's collaborative partners. Once grantees have received OVC approval on the list of products outlined above, OVC will issue a grant adjustment notice (GAN) to release the remaining two-thirds of the award funds.

Grant award recipients **cannot support** direct services to victims with funding from their OVC award until after OVC has issued the GAN necessary to release the remaining two-thirds of the award funds. OVC recognizes there may be emergency situations where no other resource is available to assist victims; in those instances, grantees may seek emergency authorization from OVC to provide direct services to a victim of sex trafficking prior to receiving final approval from OVC on its required products. OVC will approve such requests on a case-by-case basis.

### **Resource Coordination**

The projects funded under this solicitation are intended to fill a major gap in existing services by creating culturally appropriate services specifically for American Indian and Alaska Native victims of sex trafficking. Award recipients should determine if there is an existing OVC-funded trafficking victim service provider within their jurisdiction and work to coordinate grant activities within the geographic area as appropriate. The list of OVC-funded trafficking victim services grantees and the geographic regions they serve are listed on the OVC Web site at <http://ojp.gov/ovc/grants/traffickingmatrix.html>.

Once an award recipient under this solicitation has satisfied each of the prerequisites to provide direct services to victims, the award recipient must ensure that eligible victims served under this program are not concurrently served through other federally funded grants, contracts, or subawards specifically for services for victims of human trafficking.

## **B. Federal Award Information**

OVC estimates that it will make up to 3 awards of up to \$450,000 for an estimated total of \$1,350,000 for a 36-month project period, beginning on October 1, 2016.

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<sup>7</sup>**

OVC expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if OVC expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>8</sup>) must, as described in the Part 200 Uniform Requirements 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.

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<sup>7</sup> See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

<sup>8</sup> For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

### **Budget Information**

Funds from this program cannot be used to pay for costs associated with criminal defense services. Grantees will only have access to one-third of the available award funds for the first 12 months of the 36-month award period as they work to develop and finalize each of the products identified on p. 9 of this solicitation. Grant award recipients cannot provide direct services to victims until after OVC has issued the GAN necessary to release the remaining two-thirds of the award funds.

Additionally, each applicant must allocate a minimum of 2 percent (but not more than 5 percent) of the total amount of federal funds requested to support the delivery of training to local partners, community outreach activities, and to access professional development opportunities.

### **Cost Sharing or Matching Requirement: 25%**

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

Federal funds awarded under this program may not cover more than 75% of the total costs of the project. Applicants must identify the source of the 25% non-federal portion of the total project costs and how they 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 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:

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

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

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

### **Pre-Agreement Cost (also known as Pre-award Cost) Approvals**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant 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. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash 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.<sup>9</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged 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, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the 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 the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, 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 to be done.

### **Recipient Disclosure of Process Related to Executive Compensation**

A non-profit organization applicant 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 non-profit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who

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<sup>9</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a non-profit organization's compensation arrangements, however, may be available if the non-profit organization satisfied certain rules set out in Internal Revenue Service regulations with regard to its compensation decisions.

A non-profit organization receiving an award under this solicitation that believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 (which relates to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities), for any year during the period of performance for an award made under this solicitation must make a prompt written disclosure to OJP. Such disclosure shall be made as part of this grant application. Supplemental disclosure after the award also may be required in certain circumstances (e.g., changes in the way an organization determines compensation).

At a minimum, the disclosure of the process used by the recipient non-profit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons") 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 recipient 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; (4) the written or electronic records that the recipient maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting- or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on conference approval, planning, and reporting available at [www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://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 of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

### **Costs Associated with Language Assistance**

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

For additional information, see the "Civil Rights Compliance" section under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

Eligible applicants for this program are limited to: nonprofit, nongovernmental organizations (including tribal nonprofit organizations) whose primary mission is specifically to provide services that meet the health, safety, and general welfare needs of American Indian and Alaska Native individuals who reside in urban areas. Applicants must demonstrate the primary mission of its organization by submitting a copy of its organizational mission statement as an attachment to its application for funding. Applicants are also encouraged, but not required, to submit brief biographical sketches of the members of its board of directors, steering committee, or senior management team to demonstrate that the organization is led by individuals who have knowledge and expertise in meeting the needs of American Indians and Alaska Natives who reside in urban areas. Finally, nonprofit organizations that hold money in offshore accounts for the purpose of avoiding paying the tax described in 26 U.S.C. 511(a) are not eligible to apply.

Please Note: Applicants are not required to have a demonstrated knowledge/expertise in delivering services to victims of sex trafficking. Applicants, will however, be evaluated in part on their demonstrated experience in meeting the health, safety, and general welfare needs of American Indians or Alaska Natives who reside in urban communities.

### **Cost Sharing or Match Requirement**

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

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, OVC will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

## **D. Application and Submission Information**

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

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements

that OVC has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, OVC has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, a copy of the organization's mission statement, and the resumes/curricula vitae of key personnel. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

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

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate 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 (Times New Roman) with 1-inch margins

The project abstract must include the following information:

- Legal name of the applicant
- Specific description of the geographic area where activities will be focused
- Total American Indian or Alaska Native population in proposed service area
- Amount of federal funding requested

If it is submitted as a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

**Permission to Share Project Abstract with the Public:** It is unlikely that OVC will be able to fund all applications submitted under this solicitation, but it may have the opportunity to

share information with the public regarding unfunded applications, for example, through a listing on a web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

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

### **3. Program Narrative**

The program narrative should: be double-spaced, using a standard 12-point font (Times New Roman preferred); have 1-inch margins all around; not exceed 25 pages; and be numbered "1 of 25," "2 of 25," etc.

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:

#### **a. Statement of the Problem**

Applicants must include the following information in this section:

- i. A description of the service area for the proposed project, including demographic information which describes the American Indian and Alaska Native population in the service area, and a description of other organizations and agencies which are specifically dedicated to addressing the health, welfare, and safety needs of American Indians and Alaska Natives who reside in the area.
- ii. A description of the applicant's organizational history, mission, and current menu of services offered to American Indians and Alaska Natives, including the total number of American Indians and Alaska Natives served by the applicant in the past 24 months. The applicant must submit a copy of its organizational mission statement as an attachment to the application.
- iii. A description of existing services for victims of sex trafficking in the community to be served, including the identification of the unmet needs and gaps in services for American Indian and Alaska Native victims of sex trafficking.
- iv. An explanation of how the applicant will use funding from this program to address the current unmet needs of American Indian and Alaska Native victims of sex trafficking in the community to be served.

#### **b. Project Design and Implementation**

Applicants must include coherent, concise, and comprehensive plan to develop and implement the proposed project, including:

- i. A detailed statement of the goals and objectives that will be completed during the 36-month award period. These goals and objectives must align with the goals and objectives of the program as described on page 5 of this solicitation.

- ii. A description of the applicant's current capacity to provide any of the services required as part of the Comprehensive Service Model described on page 6 of this solicitation.
- iii. Identification of potential collaborative partners who have the organizational capacity to assist the applicant in providing the other required services required as part of the Comprehensive Service Model described on page 6 of this solicitation.
- iv. A detailed, 36-month project timeline which details how the applicant will accomplish its stated goals and objectives, and the name, title, and organization of the individual responsible for carrying-out the identified activities. The timeline should be submitted as a separate attachment.

**c. Capabilities and Competencies**

Applicants must successfully demonstrate their knowledge of and expertise in meeting the health, safety, and general welfare needs of members of urban American Indian and Alaska Native populations by providing:

- i. A detailed description of the experience of key personnel in providing services to meet the health, safety, and general welfare needs of members of urban American Indian and Alaska Native populations, including any relevant experience in providing services to victims of sex trafficking. Applicants should attach resumes/curricula vitae for key personnel as an attachment. If the applicant is proposing to create a new position(s) to staff the proposed project, the applicant should attach a proposed job description for the new position that would be created with grant award funds.
- ii. If the applicant has no prior experience in providing services to victims of sex trafficking, the applicant should describe a prior experience in using grant award funding to increase its organizational capacity to meet an unmet need of its service population.
- iii. A description of the roles/responsibilities assigned to key personnel who will be responsible for developing and implementing the proposed project.
- iv. A description of the organizational structure of the applicant, including who will supervise the work of key personnel.
- v. A description of the organization's current/prior experience with managing federal grant awards, including a description of the organization's administrative capacity to comply with federal award requirements and successfully account for federal award funds.

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

Applicants must include, as an attachment to the application, information that outlines an implementation plan for the collection of performance measurement data and program evaluation.

- i. Costs dedicated to data collection and evaluation activities must be detailed in the evaluation plan and must also be included as line items within the appropriate categories of the Budget Detail Worksheet and Budget Narrative.
- ii. The evaluation plan must include a description of the proposed methods for the collection of data for the required performance measures of this grant, including a plan to use TIMS Online. The applicant must also demonstrate an understanding of the required performance measures for this program and include information about how they will gather the required data, should they receive funding. This must include a commitment to use TIMS Online and a description of the key staff that will be responsible for collecting and entering the data.

To demonstrate program progress and success, as well as, to assist the Department with 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, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, 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 enhance the quality and quantity of services available to assist victims of sex trafficking.	<p>Number of victims served.</p> <p>Number of victim services provided.</p> <p>Number of programs reporting an increase in collaborative partnerships.</p>	<p>Number of NEW victims of sex trafficking served for the first time during the performance period.</p> <p>Total number of sex trafficking victims served during the performance period, including new and existing victims served.</p> <p>Total number of services provided to sex trafficking victims during the performance period, broken down by the type of service.</p> <p>Number of collaborative partners serving sex trafficking victims during the performance period.</p>
Enhance response to victims of trafficking through training and public awareness activities.	<p>Training events and activities conducted.</p> <p>Number of participants who attend the training.</p> <p>Number of public awareness events or outreach campaigns delivered</p>	<p>Number of trainings conducted during the performance period, broken down by topic.</p> <p>Number of participants attending trainings during the performance period, broken down by type of participant.</p> <p>Number of public awareness events or outreach campaigns delivered</p>

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

## 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 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.” 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 Funding Resource Center](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page ([www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

## 4. Budget Detail Worksheet and Budget Narrative

### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.

**Direct Victim Services:** Applicants must dedicate a line item, within the appropriate budget category, for each identified specialized service identified in the program narrative. Each identified specialized service must be addressed, whether or not there is a charge to the grant. Funds awarded through the OVC cooperative agreement are intended to support the cost of direct services for victims, either in-house or through subcontractors or fee-for-service through other community-based agencies.

### **Administrative and Operational Costs:**

Grant funds awarded through this cooperative agreement are to support costs for the key activities of this program: **direct victim services, outreach, training, and evaluation activities**. Administrative costs related to executive-level leadership and accounting/financial administration should not exceed more than 10 percent of the total direct cost of the project (indirect costs charged under a federally approved indirect cost rate are not affected by this 10 percent limit). Applicants must clearly indicate whether staff listed under the personnel section of the budget are directly involved in the implementation of the key activities and whether the position is administrative and/or operational. Applicants must also indicate the percentage of time that each position will

dedicate to administrative activities versus direct services, outreach, training, or evaluation.

### **Travel for OVC-Sponsored Training**

The Travel category of the Budget Detail Worksheet should include costs to support the travel of staff to attend OVC-sponsored trainings related to human trafficking. Applicants may plan to send at least one, but no more than two staff persons to attend the required trainings. For each event requiring staff travel, applicants must individually itemize costs associated with travel, lodging, per diem, and ground transportation. Unless otherwise specified below, the location and dates of these events are TBD, but Applicants should ensure that their proposed budgets include costs associated with sending up to two staff members to the following events:

- An annual 2-3 day OVC Human Trafficking Grantee Meeting in years one, two, and three of the award.
- One 3-4 day Regional USDOJ Human Trafficking conference, location TBD.
- One national 3-4 day human trafficking conference, location TBD

### **Community Outreach and Training**

Each applicant must allocate a minimum of two percent (but not more than five percent) of the total amount of federal funds requested to support the delivery of training to collaborative partners, community outreach activities, and access to professional development opportunities.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at <http://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).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant 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 narrative should be mathematically sound and correspond 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 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.

#### **c. Non-Competitive Procurement Contracts in Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

**d. Pre-Agreement Cost Approvals**

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

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

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant 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).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their 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. For the definition of Cognizant Federal Agency, see the “Glossary of Terms” in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 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 <http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>10</sup>

**6. Applicant Disclosure of High Risk Status**

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high risk information does not disqualify any organization from receiving an

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<sup>10</sup> See 2 C.F.R. § 200.414(f).

OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

**7. Additional Attachments**

**a. Applicant Disclosure of Pending Applications**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

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

Applicants that have pending applications as described above are 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 funding agency

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

Applicants should include the table as a separate attachment to their application. The file should be named “Disclosure of Pending Applications.”

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation

and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**b. Project Timeline**

Applicants must submit a detailed, 36-month project timeline which details how the applicant will accomplish its stated goals and objectives, describes the activities responsible for fulfilling the stated goals and objectives, and the name, title, and organization of the individual responsible for carrying-out the identified activities.

**c. Plan for Collecting the Data Required for this Solicitation’s Performance Measures**

Applicants must include, as an attachment to the application, information that outlines an implementation plan for the collection of performance measurement data and program evaluation, including the requirement to enter data into the online TIMS database. The plan must identify specific costs associated with data collection for performance measurements, as well as describe the methods that will be used to collect the data.

**d. Copy of the Applicant’s Organizational Mission Statement**

Applicants must demonstrate the primary mission of its organization by submitting a copy of its organizational mission statement as an attachment to its application for funding.

**e. Position Descriptions and Resumes:** Applicants must include position descriptions for anynew positions that will be created to fulfill key responsibilities in meeting the goals and objectives of the project. Applicants should also include the resumes or C.V. of existing staff whose time/effort will be charged to the grant as they fulfill key responsibilities in meeting the goals and objectives of the grant award.

**f. Biographical Sketches (Optional)**

Applicants are encouraged, but not required, to submit brief biographical sketches of the members of its board of directors, steering committee, or senior management team to demonstrate that the organization is led by individuals who have knowledge and expertise in meeting the needs of American Indians and Alaska Natives who reside in urban areas.

**8. Financial Management and System of Internal Controls Questionnaire**

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, Federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a Federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

**9. Disclosure of Lobbying Activities**

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 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 several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 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.

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

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

**Note on Attachments.** Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please insure all required documents are attached in the mandatory category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

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 ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;#amp;” format.</b>		

Grants.gov is designed to forward successfully submitted applications to the OJP 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.” 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:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2 and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** 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 a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating 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. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

Applications 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 up to 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. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the

applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.320, titled "Services for Trafficking Victims" and the funding opportunity number is OVC-2016-9285.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or 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 well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 21, 2016.

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

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, OVC will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How to Apply](#).

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicants must email the OVC contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The email must describe the technical difficulties, and 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: OVC does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate 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 applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally 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, including firewalls, browser incompatibility, etc

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at <http://ojp.gov/funding/index.htm>.**

## **E. Application Review Information**

### **Selection Criteria**

1. Statement of the Problem (20%)
2. Project Design and Implementation (40%)
3. Capabilities and Competencies (25%)
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate 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>11</sup> (10%)

### **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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant
- Applications must request funding within programmatic funding constraints (if applicable)
- Applications must be responsive to the scope of the solicitation
- Applications must include all items designated as "critical elements"
- Applicants will be checked against the System for Award Management (SAM)

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<sup>11</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 critical elements, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

OVC may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. 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 under prior OVC and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those 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 may consider factors including, but not limited to, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior OVC and OJP awards, and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP sends award notification 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 how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 20, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

### **Administrative, National Policy, and other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>12</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, OVC anticipates that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and

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<sup>12</sup> See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with OVC.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on conference approval, planning, and reporting.

### **General Information about Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative obligations of the recipient or the program.

## **G. Federal Awarding Agency Contact(s)**

For Federal Awarding Agency Contact(s), see the title page.

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

## **H. Other Information**

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or email listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

**Application Checklist**  
**FY 2016 Project Beacon: Increasing Services for Urban American Indian and Alaska Native Victims of Sex Trafficking**

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

**What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

- Acquire a DUNS Number (see page 25)
- Acquire or renew registration with SAM (see page 25)

*To Register with Grants.gov:*

- Acquire AOR and Grants.gov username/password (see page 25)
- Acquire AOR confirmation from the E-Biz POC (see page 25)

*To Find Funding Opportunity:*

- Search for the Funding Opportunity on Grants.gov (see page 26)
- Download Funding Opportunity and Application Package (see page 26)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 24)
- Read [Important Notice: Applying for Grants in Grants.gov](#)
- Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 13)

*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 24)

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

- contact OVC regarding experiencing technical difficulties (see page 2)

**General Requirements:**

- Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

**Scope Requirement:**

- The federal amount requested is within the allowable limit(s) of \$450,000.

**Eligibility Requirement:**

- Applicants must attach a copy of their organizational mission statement.

**What an Application Should Include:**

- Application for Federal Assistance (SF-424) (see page 15)
- Project Abstract (see page 15)
- Program Narrative (see page 16)
- Budget Detail Worksheet (see page 19)
- Budget Narrative (see page 20)
- Indirect Cost Rate Agreement (if applicable) (see page 21)
- Applicant Disclosure of High Risk Status (see page 21)

_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 22)
_____	Project Timeline	(see page 23)
_____	Plan for Collecting the Data Required for This Solicitation's Performance Measures	(see page 23)
_____	Copy of the Organizational Mission Statement	(see page 23)
_____	Biographical Sketches (Optional)	(see page 23)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 23)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 23)
_____	Employee Compensation Waiver Request and Justification (if applicable)	(see page 12)