

**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 to support comprehensive services to victims of all forms of human trafficking throughout the United States. This program furthers the Department's mission by enhancing the social service field's response to victims of human trafficking.

# **OVC Fiscal Year (FY) 2016 Comprehensive Services for Victims of All Forms of Human Trafficking**

**Applications Due: May 2, 2016**

## **Eligibility**

By statute, grants under this program may be awarded to states, units of local government, federally recognized Indian tribal governments (as determined by the Secretary of the Interior), and nonprofit, nongovernmental organizations (including tribal nonprofits). For the purposes of this program, a unit of local government is any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a state, territory, or federally recognized Indian tribal government. Organizations with a demonstrated history of providing victim assistance, social services, legal services, shelter, or mental health services for victims of human trafficking are eligible to apply. OVC may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications, and on the availability of appropriations.

OVC welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

Current OVC trafficking victim services grantees who received funding from the OVC FY 2015 Comprehensive Services for Victims of Human Trafficking solicitation or the OVC FY 2015 Enhanced Collaborative Model to Combat Human Trafficking solicitation are not eligible to apply for funding under this solicitation.

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.

## 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 April 27, 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.

## 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](#) 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 Kisha Green, Victim Justice Program Specialist, by telephone at 202-307-5983 or by email at [kisha.w.green@usdoj.gov](mailto:kisha.w.green@usdoj.gov).

Grants.gov number assigned to this announcement: OVC-2016-9291

Release date: March 16, 2016

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# OVC FY 2016 Comprehensive Services for Victims of All Forms of Human Trafficking (CFDA # 16.320)

## A. Program Description

### Overview

The primary goal of this program is to enhance the quality and quantity of services available to assist victims of human trafficking, as defined by the Trafficking Victims Protection Act (TVPA) of 2000, as amended, by enhancing interagency collaboration and the coordinated community response to victims of human trafficking, and by providing high-quality services that address the individual needs of trafficking victims. This solicitation will provide funding to victim service organizations with a demonstrated history of providing services for victims of human trafficking. Funding under this program will support comprehensive services for all victims of human trafficking. Funding will also support efforts to increase the capacity of communities to respond to human trafficking victims through the development of interagency partnerships, professional training, and public awareness activities. The statutory authority for this program is 22 U.S.C. § 7105(b)(2).

### Program-Specific Information

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

OVC strives to uphold the intent of the TVPA and its subsequent authorizations to ensure that all trafficking victims receive support in accessing the services they need to heal in the aftermath of crime victimization, regardless of immigration status, gender, age, or form of trafficking. Sex trafficking and labor trafficking occur within many different settings within communities, and victims of these crimes are very diverse. Trafficking victims include adult and minor foreign nationals and U.S. citizens of all genders and sexual orientations. This solicitation places a priority on funding direct services provided by organizations with the capacity to implement a highly collaborative and comprehensive service model, engaging all appropriate community resources, to address the needs of victims of all forms of human trafficking.

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

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

## Goals, Objectives, and Deliverables

The overarching goal of this program is to enhance the quality and quantity of services available to assist all victims of human trafficking in achieving their goals, which may include increased autonomy and self-sufficiency and increased feelings of safety and well-being.

The program's primary objectives are to enhance interagency collaboration and the coordinated community response to victims of human trafficking, and to provide high-quality services that address the individualized needs of trafficking victims.

Grantees funded through this solicitation will engage in the following activities in order to meet program goals and objectives:

1. Provide comprehensive services for victims of all forms of human trafficking, either in-house or through community partnerships.
2. Work in collaboration with federal, state, and local law enforcement, local service providers, and community- and faith-based organizations to develop comprehensive response protocols to ensure that trafficking victims are identified and referred for appropriate services.
3. Conduct training and public awareness activities for professionals and community members in order to improve their knowledge of human trafficking and their ability to identify and respond to victims.
4. Conduct data collection and evaluation activities to determine if the program is meeting stated goals and objectives.

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

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 revise 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 this requirement. Minors (persons under the age of 18) are not required to assist law enforcement; however, they should be encouraged to do so, if possible.

This program supports services for sex trafficking and labor trafficking victims identified within a specific geographic area. Such victims often represent a diversity of backgrounds, and may include foreign nationals, U.S. citizens, legal permanent residents (LPR), adults, minors, males, females, and lesbian, gay, bisexual, transgender, or queer (LGBTQ) victims of trafficking, among others. Service providers will be expected to serve victims of all forms of human trafficking.

## **Comprehensive Service Model**

The Comprehensive Service Model outlined below includes a wide variety of services that victims of human trafficking often need in order to address their needs for safety, security, and healing. No one agency is expected to provide all of the services outlined within the Model in-house; however, applicants are expected to demonstrate that there is a coordinated, community-wide approach in place to ensure that each of the services outlined within the Model is available to trafficking victims identified within their community, either in-house or through project partners and other community-based programs. Local and federal partners involved in the community response to victims and the delivery of a coordinated, community-wide approach include, but are not limited to, local, state, tribal, and federal law enforcement and prosecutors; legal assistance providers; child welfare and child protection services systems; domestic violence, youth, and homeless shelter systems and transitional housing programs; medical and mental health services and systems; immigrant and refugee service providers; child and adult educational systems; job training programs; substance abuse treatment agencies; drop-in centers for youth and adults; detention facilities; faith-based service providers; interpretation and translation providers; and other partners providing critical services.

The Model supports the development of individualized service plans tailored to meet victims' identified needs. Using this Model, in coordination with a victim-centered and trauma-informed approach, will help ensure that victims of human trafficking have the opportunity to make informed decisions about the support they need to work through the impact of the crime, address the issues that shaped the trafficking situation, and work toward identifying and achieving their personal goals. It supports the process of informing victims about their options and helping them work with local, state, tribal, and federal law enforcement in the prosecution of the trafficker.

Intensive case management is a central service within the Comprehensive Service Model, as it ensures that victims have support in accessing a variety of services that are coordinated across multiple systems. It ensures the provision of "wraparound services" that meet victims where they are, and helps to express their choices while working through the trauma of the situation and interacting with the necessary local and federal partners. Applicants must include a plan to ensure that case management is provided for all victims of human trafficking enrolled in the OVC-funded program, regardless of where the victim resides. For example, case management should be provided, either in-house or through project partners, for victims under the age of 18 who may be placed in foster care, a group home, or reside with family; and for adults living independently or within a substance abuse treatment center or a shelter.

Applicants seeking funding through this solicitation must demonstrate that they have prior experience in serving trafficking victims. They also must document that they have a comprehensive service model in place or have specific plans to use grant funding to develop such a model. Applicants must ensure that the services outlined below will be made available to victims of all forms of human trafficking within the stated geographic area, including foreign nationals, U.S. citizens, LPRs, adults, minors, males, females, and victims who identify as LGBTQ.

Applicants must include a description of how they will provide each of the direct services described below, either in-house or through project partners:

- Intake and eligibility assessment, to determine if an individual meets the definition of a victim of a severe form of trafficking, as defined by the TVPA, and to determine eligibility for programs and services.
- Intensive case management, including assessment of client needs, development of individualized service plans, assessment of eligibility for other public or community-based programs, assistance in accessing publicly funded programs, safety planning, assistance with crime victim compensation claims, when possible, information and referrals, documentation of services provided, and routine follow-up to ensure that the victim's needs are being addressed, either in-house or through project partners.
- Shelter, housing, and sustenance, to include access to a variety of emergency and transitional shelters, group and independent living options, and food.
- Medical care.
- Dental care.
- Mental health treatment, emergency mental health assessments, and individual and/or group counseling.
- Interpreter/translator services.
- Substance abuse treatment.
- Assistance in achieving certification from the U.S. Department of Health and Human Services (HHS) for foreign national victims (HHS certification), including coordination with law enforcement and allied experts to obtain documentation necessary to achieve HHS certification; assistance in coordination with federal law enforcement to request Continued Presence (CP); and assistance in obtaining necessary documents to support their application for services and programs for which they may be eligible.
- Victim advocacy and information about crime victims' rights and services, including coordination with the Federal Bureau of Investigation, Immigration and Customs Enforcement, and U.S. Attorney's Office victim/witness coordinators; victim/witness staff in district attorneys' offices or within local law enforcement; victim advocates within intimate partner violence and domestic violence or sexual assault crisis centers; and local Sexual Assault Response Teams, Sexual Assault Nurse Examiners, and Sexual Assault Forensic Examiner programs. Victim advocates within these settings may provide information on the status of an investigation or prosecution, assistance with the application process for state crime victim compensation benefits, sexual assault forensic medical exam options, accompaniment to court proceedings, information to help clients exercise their rights as crime victims within the criminal justice process, and additional comprehensive victim services, either in-house or through referrals.
- Literacy education, job training, and/or education/GED assistance that is culturally and linguistically appropriate.
- Life skills training, including managing personal finances, self-care, parenting classes, and programs that help clients achieve self-sufficiency.
- Employment assistance.

- Transportation assistance.
- 24-hour law enforcement response to client emergencies and emergency calls (including evenings and weekends). This may include hotline services, call-forwarding systems or rotating on-call cell phones, and a protocol for responding to victim emergencies and emergency referrals after hours.
- Legal services, including—
  - assistance with screening each client to ensure they meet the definition of a victim of a severe form of trafficking as defined by the TVPA;
  - screening and assessment to determine the type of legal assistance needed;
  - explanation of legal rights and protections, including assistance in obtaining restitution and victims' rights enforcement and compliance efforts;
  - coordination with law enforcement to request CP;
  - assistance with achieving HHS certification or, for foreign national minors, an Eligibility Letter for eligibility of benefits to the same extent as refugees;
  - assistance with applying for T nonimmigrant status (T visa) or other immigration relief;
  - assistance with payment of application fees and visa fees, if needed;
  - assistance with family and civil matters related to the trafficking victimization, including, but not limited to, protection from abuse orders, representation in family court proceedings, and emancipation of minors;
  - assistance with repatriation or family reunification;
  - facilitation of representation of the victim by attorneys willing to provide pro bono legal services;
  - assistance with pursuing efforts to vacate a victim's criminal conviction and/or expunge a victim's criminal record where the law allows vacatur/expungement based on being a human trafficking victim; and
  - general advocacy and assistance on matters that arise as a result of the human trafficking victimization.

**Note:** OVC funding may not be used for criminal defense services.

Applicants must demonstrate that a coordinated, community-wide approach will be used to leverage various local, state, and federal resources for the provision of a comprehensive array of services for all victims identified through this initiative. Applicants that fail to dedicate adequate funding to support direct services, and applicants that propose to perform all work in-house without demonstrated collaboration with other community-based agencies, will not be considered responsive to the solicitation.

Foreign national victims (minors and adults): A comprehensive array of services can be provided to a foreign national victim in the short-term aftermath of victim identification until they

achieve HHS certification. Once a trafficking victim achieves HHS certification, service providers should refer the victim to other federal, state, or local programs for which the victim may be eligible, including HHS funded services. If no trafficking-specific case management and/or legal services exist within a reasonable distance from where the trafficking victim resides, the grantee may continue to use OVC grant funds to provide case management and legal services. Approval to use grant funds for other services beyond case management and legal services for certified foreign national victims must be granted in writing by OVC. OVC is currently reviewing this guidance and may revise in the future.

U.S. citizens (minors and adults): A comprehensive array of services can be provided to a victim in the short-term aftermath of victim identification until they are able to access other federal, state, or local programs for which they may be eligible. If no trafficking-specific case management or legal services exist within a reasonable distance from where the trafficking victim resides, the grantee may continue to use OVC grant funds to provide case management and legal services.

### **Resource Coordination**

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

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

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

### **Training and Public Awareness**

Training and public awareness activities are integral to a community's response to human trafficking. Applicants are expected to conduct local trainings for project partners and for other

community members, 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, OVC recommends that a minimum of 2 percent (but no more than 5 percent) of the total victim service project cost, including match funds, be dedicated to these activities. A Training Plan should be submitted as a separate attachment to the application (Attachment 8). For more information about what should be included in the Training Plan, please refer to page 24.

### **Evaluation and Collection of Data for Performance Measures**

Data collection and evaluation activities are necessary to document the required performance measures and ensure projects meet intended goals related to service provision and impact on victims of human trafficking. Under this program, OVC recommends that no more than 5 percent of the total victim service project budget, including match funds, be used to support a program evaluation. A Data Collection and Evaluation Plan should be submitted as a separate attachment to the application (Attachment 3). For more information about what should be included in the Data Collection and Evaluation Plan, please refer to page 19.

### **Memorandums of Understanding and Letters of Intent**

For services to be provided by project partners, the applicant must name the project partner that will provide the specific service in the program narrative, and include, as an attachment to the application, a Letter of Intent or Memorandum of Understanding (MOU) describing the commitment from that organization to perform a specific service, and a description of the fee for the service or cost to the grant for each service. If services are to be provided as in-kind match, pro bono, or at no cost to the grant, this must be clearly stated in the MOU or Letter of Intent.

MOUs and Letters of Intent must include the following: (1) names of the organizations involved in the agreement; (2) scope of the direct service(s) and other work to be performed under the agreement; (3) duration of the agreement; (4) estimated cost per victim or cost of actual services provided (fee-for-service, in-kind match, or no-cost); (5) whether or not there is a cap on the total amount of the agreement; and (6) whether or not there is a maximum number of victims that may be served under the agreement. If any of the required direct services above are to be provided pro bono or accessed through other government-subsidized or otherwise-funded programs, applicants must describe how services will be provided to victims without the use of grant funds. MOUs and Letters of Intent should be submitted as a separate attachment to the application (Attachment 9).

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

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

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

- Improving the quantity and quality of evidence OJP generates.
- Integrating evidence into program, practice, and policy decisions within OJP and the field.
- Improving the translation of evidence into practice.

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

## **B. Federal Award Information**

OVC estimates that it will make up to 10 awards of up to \$750,000 each for a 36-month project period, beginning October 1, 2016.

OVC reserves the right to exercise discretion in setting award amounts. Award amounts will be based on the documented number of victims served each year during 2014 and 2015 within the targeted geographic region, the geographic location of the project, the scope and complexity of the service strategy, funding priorities, and funding availability.

OVC may, in certain cases, provide supplemental funding in future years to awards under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

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

### **Type of Award<sup>1</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>2</sup>) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

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<sup>1</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>2</sup> For purposes of this solicitation, "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.

(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.

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

### Cost Sharing or Matching Requirement

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

Federal funds awarded under this program may not cover more than 75 percent of the total costs of the project. Applicants must identify the source of the 25-percent 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>3</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 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.

### **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

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<sup>3</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.

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 applicable)**

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

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

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

A non-profit organization applicant may be required (by 22 U.S.C. 7113(2)), 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 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.

## C. Eligibility Information

For additional eligibility information, see the title page.

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 and Budget Narrative
- Plan for Collecting the Data Required for this Solicitation's Performance Measures
- Project Timeline
- MOUs/Letters of Intent
- Training Plan

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," "Timeline," "Memoranda of Understanding," "Resumés") for all attachments. Also, OJP recommends that applicants include resumés 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 (Attachment 1)

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

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins

The abstract should be a summary that clearly describes the following:

- Applicant's name, title of the project, and dollar amount requested.
- Jurisdiction or geographic area where activities will be focused.
- Number of trafficking victims served by the applicant agency each year in 2014 and 2015.
- Goals, objectives, and key deliverables of the project.

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 (Attachment 2)

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

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

The program narrative should include three clearly identified separate sections: (1) Statement of the Problem, (2) Project Design/Implementation Plan, and (3) Organizational Capability and Project Management.

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

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

- i. Identification of the nature and scope of the problem that the program will address. Applicants must demonstrate the problem of human trafficking within the targeted geographic region, including local, state, and federal data regarding investigations, prosecutions, and the number of individuals identified as victims of human trafficking in the proposed geographic area. **Applicant must provide the source of this data.**
- ii. A description of previous or current attempts to address the problem, including documentation of the number of trafficking victims served each year during 2014 and 2015 within the targeted geographic region. At a minimum, applicants must identify the total number of victims previously served within the targeted geographic region, with federal and nonfederal funds; and the types of victims they have served (sex or labor trafficking victims). **Applicant must provide the source of this data.**
- iii. A description of outstanding problems, gaps in services, and unmet needs regarding services for human trafficking victims in the proposed geographic area. See page 15 for more information about what an application must include regarding gaps in services and coordinating resources with other OVC-funded service providers.
- iv. A description of how this funding opportunity will help address these problems.

**b. Project Design and Implementation:** Applicants must submit a coherent, concise, and complete plan for the implementation of this project that addresses the requirements of the solicitation as described below and starting on page 5.

- i. Applicants must clearly state the goals, objectives, and primary activities that will be accomplished through this project. These activities must be in alignment with the stated goals and objectives of this solicitation as described on page 5. Applicants must include a logic model that graphically illustrates how the project's goals, objectives, and activities are interrelated to address the stated problem. The logic model must be included as a separate attachment (Attachment 11), and must include information related to anticipated outputs, performance measures, and short- and long-term outcomes that are anticipated for victims served and the community. Sample logic models are available at [www.oijdp.gov/grantees/pm/logic\\_models.html](http://www.oijdp.gov/grantees/pm/logic_models.html).

- ii. Applicants must describe the plan to implement each of the direct services outlined on pages 6–9, either in-house or through project partners. The implementation plan must demonstrate that intensive case management and a comprehensive array of services will be accessible in-house, or through community partners, to address the service needs of all types of trafficking victims that may be identified within a community, including victims of sex trafficking and labor trafficking, males, females, U.S. citizens, foreign nationals, LPRs, adults, minors, and individuals who identify as LGBTQ.
- iii. All applicants must clearly indicate the name of the agency and the staff name or position title of the person(s) that will be providing the direct services outlined in the proposal. For those services provided by project partners, applicants must also include information about how the performance of the service provider will be monitored.
- iv. Applicants must include, for each named partner, an MOU, Letter of Intent, or subcontract that confirms the partner's agreement to provide the service and describes the cost agreement between the agencies. Subcontracts, MOUs, or Letters of Intent should be submitted as one separate attachment to the application (Attachment 9). See page 10 for information about what should be included in subcontracts, MOUs, or Letters of Intent.
- v. Applicants must submit a project timeline as a separate attachment to the application (Attachment 6). See page 24 for information about what should be included in the project timeline.

**c. Capabilities and Competencies**

- i. Applicants must describe the staffing structure of the program, information about how the program will be managed, and how key staff, including case managers, will be supervised.
- ii. Applicants must include an organizational chart and other information describing the roles and responsibilities of key personnel. Applicants must also provide a list of the personnel responsible for managing and implementing major activities of the project and a description of the current and proposed professional staff member's unique qualifications that will enable them to fulfill their grant responsibilities. Position descriptions and resumes for staff should be included as Attachment 10. If additional staff will be hired to complete various activities for this project, the applicant should also attach a proposed job description and the selection criteria for the position.
- iii. Applicants must demonstrate that personnel who provide direct services, including case managers, have prior victim service experience or be under the direct supervision of a senior case manager or project director who has such experience.
- iv. Applicants must demonstrate a history of providing services on behalf of victims of human trafficking. Applicants must include the number of human trafficking victims served each year in 2014 and 2015 by the applicant agency and the formal partners included in the budget.

- v. Applicants must describe their experience in providing or coordinating services for victims of all forms of human trafficking that might be identified within the target area, including foreign nationals, U.S. citizens, LPRs, adults, minors, males, females, and individuals who identify as LGBTQ.
- vi. Applicants must demonstrate the expertise and organizational capacity to successfully undertake an initiative that involves significant collaboration with other agencies, including local, state, and federal law enforcement, victim service and faith-based organizations, local medical providers, and other community services in order to enhance interagency collaboration and the coordinated community response to victims of human trafficking.
- vii. Applicants must state their experience with managing federal grants that support direct services to crime victims and document their administrative and financial capacity to manage federal grants. If the applicant has other grants to provide services to victims of human trafficking, training on human trafficking for professionals, or outreach to trafficking victims, the applicant must describe the scope of each of these grants and describe how activities and data collection on these projects will be tracked separately to avoid duplication.
- viii. Applicants with current OVC funding for services for victims of human trafficking must demonstrate how this application fills gaps in services or interventions not previously addressed by current available funding.

#### **4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (Attachment 3)**

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

- a. 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 (Attachment 4). **Under this program, OVC recommends that a minimum of 2 percent, but no more than 5 percent, of the total project budget, including match funds, be used to support costs for program evaluation and data collection.**
- b. The evaluation plan must include a description of the proposed methods for the collection of data for the required performance measures of this grant, including a plan to use TIMS Online. (See "Performance Measures, page 20.)
- c. The evaluation plan must be in alignment with the Logic Model submitted for this application, and must identify (1) the evaluation consultant or key staff who will conduct the program evaluation and evaluation activities, (2) qualifications of the consultant or staff selected to conduct evaluation activities, and (3) the basic methodology and timeline for the evaluation.

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 human trafficking.	<p>Number of trafficking victims served.</p> <p>Number of victim services provided.</p> <p>Number of collaborative partners providing services.</p>	<p>Number of NEW victims of human trafficking served for the first time during the performance period, broken down by the type of trafficking (sex, labor, or both) and by immigration status of the victim.</p> <p>Total number of trafficking victims served during the performance period. This includes NEW clients and existing clients served during the performance period.</p> <p>Total number of services provided to trafficking victim during the performance period, broken down by the type of service.</p> <p>Number of collaborative partners serving trafficking victims during the performance period, broken down by type of organization.</p>
Enhance response to victims of trafficking through training and public awareness activities.	<p>Number of training events conducted.</p> <p>Number of participants who attended training.</p>	<p>Number of training events conducted during the performance period, broken down by topic.</p> <p>Number of participants who attended trainings during the performance period, broken down by type of participant.</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.

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

### 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.

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

**Direct victim services:** Applicants must dedicate a line item, within the appropriate budget category, for each identified specialized service/intervention. Each direct service proposed 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. Applicants that fail to dedicate adequate funding to support direct services, and applicants that propose to perform all work in-house, without demonstrated collaboration with other community-based agencies, will not be considered responsive to the solicitation.

**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, or whether the position is administrative and/or operational. Applicants should also indicate the

percentage of time that each position will dedicate to administrative activities versus direct services, outreach, training, or evaluation.

**Travel for required trainings:** The Travel category of the Budget Detail Worksheet should include costs to support the travel of staff to attend trainings. Applicants may identify costs to travel to obtain training related to human trafficking, but ALL applicants must include costs associated with travel, lodging, per diem, and ground transportation for each of the following:

1. The Regional Financial Management Training Seminar sponsored by OJP's Office of the Chief Financial Officer (OCFO), unless the applicant has previously attended this seminar or plans to take the training online. Specific information about the dates and locations of upcoming OCFO events and information about the DOJ Grants Financial Management Online Training can be found at [www.ojp.usdoj.gov/training/training.htm](http://www.ojp.usdoj.gov/training/training.htm).
2. A regional trafficking training, 2½–3 days, in a location to be determined.
3. An OVC grantee meeting, 2–3 days, in a location to be determined.

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

**Consultant Rates:** Consultant rates may not exceed the maximum of \$650 per day or, if paid by the hour, \$81.25 per hour for a maximum 8-hour workday. Rates that exceed the maximum rate must be strongly justified by the applicant at the time of the application and approved in writing by OVC after the award is made. Consultants or other providers who are donating the cost of their services as match toward the project are also subject to the \$650 per day of \$81.25 per hour limitation.

**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, 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](#).

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

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 [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](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>4</sup>

**7. Project Timeline (Attachment 6):**

The Project Timeline must include—

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

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<sup>4</sup> See 2 C.F.R. § 200.414(f).

## 8. Privacy Certificate (Attachment 7)

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

## 9. Training Plan (Attachment 8)

Applicants must include, as an attachment to this application, implementation plans for conducting training and public awareness activities and plans to provide staff with professional development opportunities.

Costs dedicated to training, public awareness, and professional development activities must be detailed in the Training Plan and also included as line items within the appropriate categories of the Budget Detail Worksheet and Budget Narrative. **Under this program, OVC recommends that a minimum of 2 percent (but no more than 5 percent) of the total victim service project cost, including match funds, be dedicated to conducting local trainings for project partners and other community members, public awareness activities, and providing project staff with professional development opportunities** (including travel costs, staff time, and speaker fees, if applicable).

The training plan should include information about target audiences for trainings and public awareness activities, topics of trainings, tentative dates or frequency of training events, and the key staff involved in delivering training. The plan should also identify specific professional development opportunities for staff, including costs to attend local or national victim assistance or regional or national trafficking conferences.

An agency that receives both OVC funds and HHS Office of Refugee Resettlement (ORR) funding through the Rescue & Restore Victims of Human Trafficking Regional Program for training and public awareness activities must describe how activities and data collection on these projects will be tracked separately to avoid duplication.

Note: All training hosted by the applicant organization with funds awarded through this cooperative agreement is subject to regulations, policies, and guidance outlined on the OJP Web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This includes the requirement to obtain specific DOJ prior approval at least 120 days before the date of a conference, training, or other formal event planned and implemented with the use of grant funds. The training plan

submitted within the application program narrative should include the submission of requests for DOJ prior approval. For additional conference information, see page 13.

#### **10. MOUs and Letters of Intent (Attachment 9)**

For services to be provided by project partners, the applicant must include Letters of Intent and/or MOUs describing the commitment from each organization to perform a specific service, and a description of the fee for the service or the cost to the grant for each service. If services are to be provided as in-kind match, pro bono, or at no-cost to the grant, this should be clearly stated in the MOU or Letter of Intent.

MOUs and Letters of Intent related to victim services must include the following: (1) names of the organizations involved in the agreement; (2) scope of the direct service(s) and other work to be performed under the agreement; (3) duration of the agreement to cover the three year period of the new award; (4) estimated cost per victim or cost of the actual services provided—fee-for-service, in-kind match, or no-cost; (5) whether or not there is a cap on the total amount of the agreement; and (6) whether or not there is a maximum number of victims that can be served under the agreement. MOUs and Letters of Support related to the provision of victim services should be included as one separate attachment to the application.

#### **11. Position Descriptions/Resumes (Attachment 10)**

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

#### **12. Logic Model (Attachment 11)**

See page 17 for more information.

#### **13. Tribal Authorizing Resolution (if applicable) (Attachment 12)**

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

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

#### 14. Applicant Disclosure of High Risk Status (Attachment 13)

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

#### 15. Additional Attachments

##### a. Applicant Disclosure of Pending Applications (Attachment 14)

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
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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. Research and Evaluation Independence and Integrity (Attachment 15)**

If a proposal involves research and/or evaluation, regardless of the proposal's other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
  - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by OVC grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example,

generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

#### **16. 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](#).

**17. 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.

**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 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 "OVC Fiscal Year (FY) 2016 Comprehensive Services for Victims of All Forms of Human Trafficking," and the funding opportunity number is OVC-2016-9291.
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 May 2, 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.

**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**

Applications will be evaluated and rated based on the extent to which the program meets the following selection criteria, which were described in the section of this solicitation titled "What an Application Should Include," on page 15.

1. Statement of the Problem (20%)
2. Project Design and Implementation (40%)
3. Capabilities and Competencies (20%)
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>5</sup> (10%)
6. Plan for Delivering Training and Accessing Professional Development (5%)

### **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).

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<sup>5</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.

- 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).

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 30, 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>6</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>6</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 résumé 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

### OVC Fiscal Year (FY) 2016 Comprehensive Services for Victims of All Forms of Human 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 30)
- Acquire or renew registration with SAM (see page 30)

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

- Acquire AOR and Grants.gov username/password (see page 30)
- Acquire AOR confirmation from the E-Biz POC (see page 31)

##### *To Find Funding Opportunity:*

- Search for the Funding Opportunity on Grants.gov (see page 31)
- Download Funding Opportunity and Application Package (see page 31)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 29)
- Read [Important Notice: Applying for Grants in Grants.gov](#)
- Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 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 31)

##### *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 \$750,000.

#### Eligibility Requirement:

See eligibility requirements on the title page.

#### What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 16)
- Project Abstract (Attachment 1) (see page 16)
- Program Narrative (Attachment 2) (see page 17)
- Plan for Collecting the Data (Attachment 3) (see page 19)
- Budget Detail Worksheet and Narrative (Attachment 4) (see page 21)
- Indirect Cost Rate Agreement (if applicable) (Attachment 5) (see page 23)
- Project Timeline (Attachment 6) (see page 23)
- Privacy Certificate (Attachment 7) (see page 24)
- Training Plan (Attachment 8) (see page 24)

_____	MOUs and Letters of Intent (Attachment 9)	(see page 25)
_____	Position Descriptions/Resumes (Attachment 10)	(see page 25)
_____	Logic Model (Attachment 11)	(see page 17)
_____	Tribal Authorizing Resolution (if applicable) (Attachment 12)	(see page 25)
_____	Applicant Disclosure of High Risk Status (Attachment 13)	(see page 26)
_____	Additional Attachments;	
_____	Applicant Disclosure of Pending Applications (Attachment 14)	(see page 26)
_____	Research and Evaluation Independence and Integrity (Attachment 15)	(see page 27)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 28)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 29)
_____	Employee Compensation Waiver Request and Justification (if applicable)	(see page 13)