

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



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

## **FY 2017 Improving Outcomes for Child and Youth Victims of Human Trafficking: A Jurisdiction-Wide Approach**

Applications Due: February 13, 2017

### **Eligibility**

Eligible applicants are states (including U.S. territories and the District of Columbia) and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

OVC welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed subrecipients ("subgrantees").<sup>1</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient ("subgrantee") in more than one application.

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

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due by 11:59. p.m. eastern time on February 13, 2017.

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

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

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

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

## Contact Information

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

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

For assistance with any other requirements of this solicitation, contact Silvia Torres, Grants Management Specialist, by telephone at 202-616-1796 or by email at [silvia.torres@usdoj.gov](mailto:silvia.torres@usdoj.gov).

Grants.gov number assigned to this solicitation: OVC-2017-11572

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# FY 2017 Improving Outcomes for Child and Youth Victims of Human Trafficking: A Jurisdiction-Wide Approach CFDA # 16.320

## A. Program Description

### Overview

The purpose of this program is to improve outcomes for child and youth victims of sex and labor trafficking. Applicants must identify the state or tribe's greatest barriers to identifying and assisting child and youth victims of sex and labor trafficking and/or to investigating and prosecuting these cases, and develop a jurisdiction-wide strategy to address these challenges. Applicants must describe how the program would leverage existing victim assistance, law enforcement, and child welfare efforts against human trafficking and commercial sexual exploitation of children and youth in the state or in the tribal jurisdiction. Proposals should detail how the state or federally recognized Indian tribe will demonstrate measurable improvement in outcomes for victims using baseline data.

**Statutory Authority:** The Justice for Victims of Trafficking Act of 2015 (18 U.S.C. § 3014(h)(2)), and the Trafficking Victims Protection Act of 2000 (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 Trafficking Victims Protection Act (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. In 2014, Congress passed, and the President signed into law, the Preventing Sex Trafficking and Strengthening Families Act (Public Law 113-183). Title I of the law modifies existing or adds new requirements for state and tribal IV-E agencies to identify, report, and determine services to child and youth victims of sex trafficking, including coordination with law enforcement. In 2015, Congress passed, and the President signed into law, the Justice for Victims of Trafficking Act (Public Law 114-22), which created the Domestic Trafficking Victims' Fund and provided that funds may be used to award grants, including for the purposes of developing, improving, or expanding programs that "assist law enforcement officers, prosecutors, judicial officials, and qualified victims' services organizations in collaborating to rescue and restore the lives of victims, while investigating and prosecuting offenses involving child human trafficking".

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

- a. Sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such an act has not attained 18 years of age; or

- b. The recruitment, harboring, transportation, provision, or obtaining of a person for labor or services through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

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

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

Applicants should provide brief descriptions of relevant programs and initiatives in the state or tribal jurisdiction, such as anti-trafficking task forces and child exploitation/Innocence Lost task forces; federal, state, local, and tribal programs and grants to provide services to child and youth victims of trafficking; and existing state or tribal anti-trafficking protocols, strategies, or legislation. Successful applications will describe how the state, jurisdiction, or tribe will (1) ensure that child and youth victims of sex and labor trafficking are provided comprehensive, coordinated, trauma-informed services to fully address their needs; (2) identify eligibility for public benefits and services accessible to victims of trafficking to efficiently use federal, state, local, and tribal funds; (3) ensure that law enforcement efforts are victim-centered; (4) ensure that protocols and policies are established to sustain the proposed program long-term; and (5) interact with the juvenile justice, child welfare, health care, and education systems in the state or jurisdiction. There should be a specific focus on youth transitioning out of systems of care, including foster care and juvenile detention. Applicants should demonstrate existing and proposed partnerships with frontline responders, anti-trafficking experts, and survivor advocates, including any in the form of Memoranda of Understanding (MOUs).

Applicants should identify the state, jurisdiction, or tribe’s greatest barriers to identifying and assisting child and youth victims of sex and labor trafficking and/or to investigating and prosecuting these trafficking cases, and propose a program to systematically address those barriers. Examples of possible programs include the following:

- Developing a state- or jurisdiction-wide program focused on providing appropriate housing to child and youth victims of trafficking, with a particular focus on the needs of youth transitioning out of care.
- Creating or funding a dedicated law enforcement or prosecutorial unit to proactively

investigate and prosecute cases of sex trafficking, and labor trafficking, involving children and youth in identified high-risk areas.

- Developing a targeted initiative to establish alternative measures to a juvenile justice response and to proactively screen children and youth in conflict with the law for trafficking victimization.
- Integrating screening tools to improve the identification of human trafficking within various sectors and enhance access to services for children and youth.
- Developing a unified strategy to provide training to professionals throughout the jurisdiction, including but not limited to law enforcement officers, first responders, victim service providers, health care officials, child welfare officials, juvenile justice personnel, prosecutors, and judicial personnel, with a particular focus on safe harbor laws aimed at preventing the criminalization and prosecution of child and youth trafficking victims.

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

All proposed programs should describe how they will avoid further stigmatizing and/or criminalizing children and youth who have been trafficked, and how victim assistance will be trauma-informed and strength-based and involve options for victimized children and youth.

#### Resource Coordination

Proposals should fill gaps and coordinate responses in existing anti-trafficking efforts, including those related to victim assistance, law enforcement, child welfare, runaway and homeless youth, and juvenile justice, among others. All applicants should determine if there are existing federal or federally funded anti-trafficking initiatives within their jurisdiction and work to ensure that the new application does not duplicate these existing initiatives, including victim assistance or task force efforts. These include victim service providers funded by OVC and HHS, as well as DOJ anti-trafficking task forces, Internet Crimes Against Children/Innocence Lost task forces, and anti-trafficking coordination teams (ACTeams), among others. If there is currently a federally funded trafficking victim service grantee or federal task force within the same jurisdiction as the applicant is proposing, applicants must document how the new proposal will fill existing gaps in efforts to combat child and youth trafficking in the jurisdiction, and describe how these efforts will be coordinated within the state, jurisdiction, or tribe. The list of OVC-funded trafficking victim services grantees and the geographic regions they serve are listed on the OVC website at <http://ojp.gov/ovc/grants/traffickingmatrix.html>. FY 2015 BJA-funded task forces are listed at [www.bja.gov/funding/Awards\\_GMS-numbers.pdf](http://www.bja.gov/funding/Awards_GMS-numbers.pdf) and HHS-funded anti-trafficking grantees are listed at [www.acf.hhs.gov/programs/endtrafficking/funding](http://www.acf.hhs.gov/programs/endtrafficking/funding). Applicants are required to coordinate with existing task forces, and OVC will not fund a new proposal that duplicates existing anti-trafficking efforts.

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 must demonstrate how the new proposal will fill 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 by other federally funded grants, contracts, or subawards issued to the applicant agency specifically for services for victims of human trafficking, such as other OVC grants, and awards funded by HHS or other federal sources. An agency that receives OVC trafficking services funds and is an HHS Office on Trafficking in Persons (OTIP) trafficking victim assistance program grantee or subawardee should use funds awarded by OVC to serve pre-certified victims over the age of 18 until the victim achieves OTIP certification. Upon OTIP certification, the victims over the age of 18 should be transferred to an OTIP trafficking victim assistance-funded program. Further guidance will be provided to awarded grantees receiving concurrent funds from OVC and other HHS grant funds.

#### 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 to provide project staff with professional development opportunities (including travel to attend local and national victim assistance or regional or national trafficking conferences). **Under this program, each applicant must allocate a minimum of 2 percent of their total project budget to support the delivery of training to stakeholders within the state or tribal jurisdiction, and to access professional development opportunities.** A Training Plan should be submitted as a separate attachment to the application. For more information about what should be included in the Training Plan, please refer to page 28.

#### 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 improved outcomes for child and youth victims of human trafficking. **Under this program, each applicant must allocate a minimum of 2 percent of their total project budget to collecting data on the performance measures of this grant.** A Plan for Evaluation and Data Collection for this Solicitation's Measurable Performance Measures should be submitted as one separate component to the application. For more information about what should be included in the Plan, please refer to page 18.

#### MOUs and Letters of Intent

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

For services, training, or activities to be provided by project partners, the applicant must name the project partner that will provide the specific service in the Program Narrative, and include, as an attachment to the application, a Letter of Intent or MOU describing the commitment from that organization to perform a specific service, and the fee for the service or cost to the grant for each service. If services, training, or other work are to be provided as in-kind match, pro bono, or at no-cost to the grant, this should be clearly stated in the MOU or Letter of Intent.

MOUs or Letters of Intent must include the following:

- Names of the organizations involved in the agreement.

- Purpose of the MOU/Letter of Intent and commitment of parties involved.
- Scope of any direct service(s), training, activities, or other work or support to be provided under the agreement.
- Estimated cost of any services or activities provided (fee-for-service, in-kind match, or no-cost).
- Duration of the agreement.
- Signatures of those named as parties.

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

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

The overarching goal of this program is to improve outcomes for children and youth who are victims of human trafficking by integrating human trafficking policy and programming at the state or tribal level and by enhancing a coordinated, multidisciplinary, and jurisdiction-wide approach to human trafficking. Successful applicants funded through this solicitation will engage in the following general activities in order to meet program goals and objectives:

- Develop and implement a jurisdiction-wide strategy to combat the identified greatest challenge areas in child and youth sex and labor trafficking within the state or tribe. This strategy must be finalized and approved or enacted within the first year of the program start date. This strategy will also include developing a systematic method to screen for victimization across entities, developing protocols and procedures to ensure child and youth victims receive appropriate services, delivering staff training to implement and sustain the strategy jurisdiction-wide, and strengthening data collection across multiple systems of care.
- Develop, enhance, and coordinate programs and activities geared toward improving outcomes for child and youth victims of sex and labor trafficking. States or tribes should establish a program coordinator role to oversee program implementation and ensure coordination of anti-trafficking efforts in the state or tribal jurisdiction.
- Enhance or develop protocols or policies to ensure that child and youth victims of human trafficking are not penalized for crimes committed as a result of being trafficked, including crimes related to prostitution.

The specific goals, objectives, and deliverables that each applicant presents will be unique, depending on the identified needs and challenges of the state or tribe. Applicants must submit a logic model that outlines the target problem(s) and specific goals, objectives, and outcomes that can be addressed with the help of grant funds through this program (see page 15). A more detailed and comprehensive jurisdiction-wide strategy and evaluation plan will be required within a year of the project start date (see page 18).

OVC will give special consideration to jurisdictions with legislation ensuring that laws criminalizing the sale of sex do not apply to minors, particularly when accompanied by statistics demonstrating a decrease in arrests of minors for prostitution-related crimes. OVC will also give special consideration to proposals constructed with the input of human trafficking

survivors and incorporating survivor perspectives throughout the implementation of the program; and with law enforcement involvement. Applicants should demonstrate a willingness to ensure sustainability of the program by providing a plan for continuation of funding of activities after the expiration of the award.

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

### **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 expects to make up to two awards of up to \$1.5 million each, with an estimated total award amount of up to \$3 million. OVC expects to make awards for a 36-month period of performance, to begin on October 1, 2017.

OVC may, in certain cases, provide additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

### **Type of Award**

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

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

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>2</sup>) must, as described in the Part 200 Uniform Requirements<sup>3</sup> as set out at 2 C.F.R. 200.303:

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

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

## **Budget Information**

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

Federal funds awarded under this solicitation may not cover more than 75 percent of the total costs of the project. An applicant must identify the source of the 25 percent non-federal portion<sup>4</sup> of the total project costs and how it will use match funds. If a successful applicant’s proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. (“Match” funds may be used only for purposes that would be allowable for the federal funds.)

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

<sup>3</sup> The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

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

Recipients may satisfy this match requirement with either cash or in-kind services. See the [DOJ Grants Financial Guide for examples of “in-kind” services](#). The formula for calculating the match is:

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

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

**Example:** 75%/25% match requirement: for a federal award amount of \$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 [DOJ Grants Financial Guide](#).

### **Other Budget Recommendations**

Grant funds awarded for services to victims of human trafficking are designed to support costs for the key activities of this program: direct victim services, training, data collection, and data evaluation. Minimal funds ought to be dedicated towards supporting administrative costs.

The following are some recommendations to assist applicants during the budget and budget narrative preparation.

#### Personnel Costs

Applicants must clearly demonstrate in the budget and the budget narrative the percent of time that each staff person will dedicate to the above-mentioned key program activities. For project activities that do not fall within those key elements, but are part of a person's salary and/or effort, should be noted as *other activities*. Examples of those types of other activities include building and maintaining partnerships, attending project related meetings, and participating in OVC-mandated grantee, regional, and annual meetings. To illustrate, a Budget Narrative may say: Case Manager's time breakdown for the OVC grant is 75 percent on direct services, 5 percent on data collection, 5 percent on administrative tasks, 10 percent on training activities, and 5 percent on other activities related to the project—namely, attending mandated and/or project-related meetings and community events.

#### Administrative Costs

Grant funds awarded through this cooperative agreement are to support costs directly related to implementation of the key activities of this program. **Administrative costs related to the salary and fringe benefits of executive-level leadership and accounting/financial administration should not exceed more than 10 percent of the total direct cost of the project.**

#### Data Collection and Evaluation Costs

Data collection, entry, and project 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, each application must allocate a minimum of 2 percent (but not more than 5 percent) of their total project budget, including match, to data collection and project evaluation activities.** These costs 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.

It is strongly encouraged that the evaluator be independent and not connected, directly or indirectly, to the applicant organization outside of the agreement for the program evaluation. In addition, OVC recommends that the evaluation plan include a chart illustrating *the federal funds, and the match amounts*, for each staff person who will be dedicating effort to evaluation and data collection activities to show that the cumulative costs for this purpose fall between required percentages, as stipulated in the solicitation. It must be clear where these numbers are pulled from within the budget.

#### Training Costs

**Each application must allocate between 2 and 5 percent of the total project cost, including match, for public awareness, training, and professional development activities** such as conducting local trainings for project partners and other community members or providing project staff with professional development opportunities (including travel costs, staff time, and speaker fees, as applicable).

As with the evaluation costs, it is strongly recommended that the training plan includes a chart to illustrate the breakdown of *federal funds, and match amounts*, for each project staff person, consultant, and contractual entity that will devote effort towards training activities. The Budget Detail Worksheet and Budget Narrative should match the amounts shown on the chart. It must be clear where these numbers are pulled from within the budget.

Please note that required attendance at DOJ grantee and/kick-off meetings and participation at conferences and workshops are not considered part of training costs. Those expenditures should be allocated as *other expenses*.

#### **Pre-Agreement Costs (also known as Pre-award Costs)**

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

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

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

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>5</sup> Until the 2017 salary table for SES employees is available, please refer to the 2016 rates of basic pay, at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate,

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

provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

[www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference-, meeting-, and training- costs for cooperative agreement recipients, and some conference-, meeting-, and training- costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

### **Costs Associated With Language Assistance (if applicable)**

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

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

## **C. Eligibility Information**

For eligibility information, see the title page.

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

## D. Application and Submission Information

### What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that OVC has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, OVC has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, Logic Model, Time-Task Plan, Plan for Evaluation and Data Collection, Plan for Training and Professional Development, and MOUs and Letters of Intent. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the “Note on File Names and File Types” under [How to Apply](#) to ensure applications are submitted in permitted formats.

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

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

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

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

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

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

## 2. Project Abstract

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

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

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 applications.

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

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

## 3. Program Narrative

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

The following sections should be included as part of the program narrative<sup>6</sup>:

### a. Statement of the Problem

Applicants must briefly describe the sex trafficking and labor trafficking of children and youth in their state or tribal jurisdiction. They should use jurisdictional baseline data to provide evidence that the problem exists, demonstrate the size and scope of

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

the problem, and document existing efforts to address it, citing the source of the data. Relevant baseline data might include the following:

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

Applicants should briefly describe any previous or current jurisdiction-wide attempts to address sex and labor trafficking of children and youth, as well as any related research or evaluation studies that contribute to applicants' understanding of its causes and potential solutions. They should identify the challenges (e.g., resources, policy and system barriers, training gaps) to improving outcomes for child and youth victims of trafficking within the state or tribe and provide a clear statement of how funding will allow them to address these challenges. Applicants must also make a convincing case that the project addresses a gap in existing efforts and does not duplicate existing resources.

**b. Project Design and Implementation**

Applicants must clearly state the goals and measurable objectives for the project. The goals and objectives must relate directly to the challenges described in the problem statement and to the purpose of the solicitation, as stated on page 8, and objectives must be measurable.

- Applicants must include a Logic Model with the application that graphically illustrates how the project's goals, objectives, and activities are interrelated to address the stated problem. The Logic Model must be included as a separate attachment and must include anticipated short- and long-term outcomes. Sample logic models are available at [www.ojjdp.gov/grantees/pm/logic\\_models.html](http://www.ojjdp.gov/grantees/pm/logic_models.html).
- Applicants must describe the steps that will be taken to achieve the goals and objectives of the project, including activities outlines on page 8. They must convincingly document that the proposed project will be a jurisdiction-wide effort—that is, the goals, objectives, and deliverables are linked to improving outcomes for child and youth trafficking victims throughout the state or tribe. The strategy or project design must include the identification of a lead agency and a main point of contact within the lead agency to coordinate the effort. It must also contain a description of project phases, tasks, activities, staff responsibilities, interim deliverables, and final products.
- The Project Design and Implementation Plan must be supported by a separate Time-Task Plan that delineates organizational responsibility for the activities to be completed and a schedule for the completion of the activities and the submission of finished products. In preparing the Time-Task Plan, Gantt chart, or schedule, applicants should make certain that all project activities will occur

within the proposed project period.

- Applicants should describe how they will coordinate this project with existing anti- trafficking efforts, including anti-trafficking task forces or multidisciplinary response teams that may be operating within the jurisdiction.
- Applicant should describe how the perspective and input of human trafficking survivors have been or will be incorporated into the project design and implementation.
- Applicants should address how the state or tribe will ensure sustainability for the efforts established with this funding after the grant period ends.

**c. Capabilities and Competencies**

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

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

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

The performance measures for this program are outlined below. Each applicant must allocate a minimum of 2 percent of their total project budgets to collect data on the performance measures of this grant and conduct evaluation activities in assessing program effectiveness through the life of the award. This attachment must be double-spaced, using a standard 12-point font, and should not exceed 4 pages. This attachment must also include an outline of costs to conduct data collection and evaluation activities; these costs should be reflected in the budget detail worksheet and budget narrative.

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see ["General Information about Post-](#)

[Federal Award Reporting Requirements](#)” in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under "Goals, Objective, and Deliverables" in [Section A. Program Description](#).

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under “Data Recipient Provides,” should it receive funding.

Objective	Performance Measure(s)	Data Grantee Provides
Develop, enhance, and coordinate programs and activities geared toward improving outcomes for child and youth victims of sex and labor trafficking.	Number of programs and activities developed or enhanced.	Number of programs and activities developed or enhanced to improve outcomes for child and youth victims of sex and labor trafficking; these programs should be integrated into the jurisdiction-wide strategy.
	Number of positions funded or created to conduct strategy development, policy and program coordination, and stakeholder engagement.	Documentation of full-time position created or funded to provide program oversight and implementation.
	Number of stakeholder coordination activities conducted.	List of entities engaged in coordination activities.  Timeline of scheduled coordination meetings, list of participants, and minutes from coordination meetings.  Number of MOUs/Letters of Intent from stakeholders.
Develop and implement a jurisdiction-wide strategy to address the state or tribe’s greatest challenges in responding to child and youth trafficking.	Development of a new strategy.	New strategy developed with input of relevant stakeholders.  In addition to specific challenge areas addressed, the strategy will also include: <ul style="list-style-type: none"> <li>• a systematic method to screen for victimization across entities;</li> <li>• protocols and procedures to ensure child and youth victims receive appropriate services;</li> <li>• delivering staff training to implement and sustain the strategy jurisdiction-wide; and</li> </ul>

		<ul style="list-style-type: none"> <li>strengthening data collection across multiple systems of care.</li> </ul> <p>Development of accompanying performance measures matrix for the implementation of the jurisdiction-wide strategy.</p>
	Implementation of the new strategy.	Accomplishment of strategy objectives through collection and reporting of performance measures in the strategy's performance measures matrix.
Enhance or develop policies, procedures, or protocols to ensure that child and youth victims of human trafficking are not penalized for crimes committed as a result of being trafficked, particularly those related to prostitution.	The number of new policies, procedures, and protocols developed.	The number and types of policies, procedures, and protocols developed to reduce the penalization of children and youth for crimes committed as a result of being trafficked, particularly those related to prostitution.
	The number of new policies, procedures, and protocols implemented.	The number and types of policies, procedures, and protocols implemented to reduce the penalization of children and youth for crimes committed as a result of being trafficked, particularly those related to prostitution.
	The number of professionals and participating agencies trained to adopt and use the new policies, procedures, and protocols developed.	<p>The number of professionals and agencies trained.</p> <p>Documentation of scheduled training to agency staff jurisdiction-wide.</p>
	Percent decrease in the number of child and youth victims penalized for crimes forced to commit as a result of being trafficked.	<p>Collection of annual data on the number of child and youth victims penalized for crimes forced to commit as a result of their trafficking, working with stakeholder groups providing victim assistance.</p> <p>Comparison of data throughout the life of the project, with baseline data from 2014 and 2015, to determine whether criminalization of child and youth victims has decreased.</p>

**Note on Project Evaluations**

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or

are conducted only to meet OJP's performance measure data reporting requirements, likely do not constitute "research." Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 ("Protection of Human Subjects").

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

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the "Research and the protection of human subjects" section of the "[Requirements related to Research](#)" web page of the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements – FY 2017," available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that web page.

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

##### **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). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

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

##### **b. Budget Narrative**

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

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

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

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

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

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

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

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

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

**I. Information on Proposed Subawards**

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

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

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the

subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

## **II. Information on Proposed Procurement Contracts (With Specific Justification for Proposed Noncompetitive Contracts Over \$150,000)**

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

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

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

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

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

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

Indirect costs may be charged to an award only if:

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

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

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

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

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

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

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

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

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

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

- The federal awarding agency that currently designates the applicant high risk.

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

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

## **8. Disclosure of Lobbying Activities**

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

## **9. Additional Attachments**

### **a. Applicant Disclosure of Pending Applications**

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

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

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

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

Federal or State Funding Agency	Solicitation Name/ Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/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

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

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

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

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

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

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest – whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified – including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients – that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
    - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during

the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

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

**c. Disclosure of Process Related to Executive Compensation**

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

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

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

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

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

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

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

**d. Logic Model**

Please refer to Logic Model information on pag 16.

**e. Time-Task Plan**

An applicant must submit a project timeline that covers the 3-year period of the award. The timeline will demonstrate coordination and integration of goals and objectives across this initiative. The Time-Task Plan must show the following:

- Project goals.
- Related objectives and activities, including jurisdiction-wide strategy. development and implementation, training, evaluation, and programmatic and financial reporting timelines.
- The key staff responsible for completing each task.

**f. Plan for Delivering Training and Accessing Professional Development Opportunities**

An applicant must allocate a minimum of 2 percent of the total project budget to support the delivery of training to stakeholders within the community, and to access professional development opportunities. This attachment must be double-spaced, using a standard 12-point font, and should not exceed 4 pages. This attachment must detail the plan for developing or adapting training and public awareness materials that will be used by stakeholders to educate their communities about human trafficking. The plan should include a description of how the applicant will determine what groups, individuals, or organizations to target for training activities to improve the ability of the stakeholder and frontline responders to identify and serve child and youth victims of human trafficking. It must identify key staff who will conduct these activities, and the percentage of their time that will be dedicated to training activities. This attachment must also include a plan for grantees obtaining training and professional development opportunities to improve their ability to respond to human trafficking victims and to investigate and prosecute trafficking crimes. Applicants must identify conferences or training opportunities for which they will use grant funds to attend. This attachment should also outline the costs for each applicant to deliver training and access professional development opportunities, and each applicant must clearly identify their share of the cost within their Budget Detail Worksheet and Budget Narrative. (See page 14 for information about requirements for prior approval and reporting for formal trainings, meetings, and conferences supported with award funds.) Applicants are encouraged to adapt and leverage existing federally funded training materials and content to prevent duplication of effort.

**g. Memoranda of Understanding (MOUs) and Letters of Intent**

Please refer to “Program-Specific Information” on page 4. OVC recommends that MOUs and Letters of Intent be included in a single file.

**h. Resumes of Key Personnel**

Resumes of all key personnel identified in the application must be submitted. OJP recommends that resumes be included in a single file.

**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**, which operates 24 hours a day, 7 days a week, except on federal holidays.

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

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

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

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

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

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

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

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

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

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

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

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at [www.dnb.com](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 certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to [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 ("CFDA") number for this solicitation is 16.320, titled "Services for Trafficking Victims," and the funding opportunity number is OVC-2017-11572.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on February 13, 2017.

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

**Note: Application Versions**

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

**Experiencing Unforeseen Grants.gov Technical Issues**

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

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

The following conditions generally are insufficient to justify late submissions:

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

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

## **E. Application Review Information**

### **Review Criteria**

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

1. Statement of the Problem (20%)
2. Project Design and Implementation, including Time-Task Plan and Logic Model (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 demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>7</sup> Budgets must also reflect 25-percent cost-sharing. (10%)
6. Other: MOUs/Letters of Intent (5%)

### **Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications

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

for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

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

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

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

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

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

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

1. Applicant financial stability and fiscal integrity.
2. Quality of the management systems of the applicant, and the applicant’s ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide.

3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies.
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

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

## F. Federal Award Administration Information

### Federal Award Notices

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

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

### Administrative, National Policy, and Other Legal Requirements

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

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

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

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

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

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

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

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

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

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

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

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, and to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352.

OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

## G. Federal Awarding Agency Contact(s)

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

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

## H. Other Information

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

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

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

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

### Provide Feedback to OJP

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

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

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

## Application Checklist

### OVC FY 2017 Improving Outcomes for Child and Youth Victims of Human Trafficking: A Jurisdiction-Wide Approach

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

#### What an Applicant Should Do:

##### *Prior to Registering in Grants.gov:*

- Acquire a DUNS Number (see page 30)
- Acquire or renew registration with SAM (see page 30)

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

- Acquire AOR and Grants.gov username/password (see page 31)
- 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 12)

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

- (1) application has been received,
- (2) application has either been successfully validated or rejected with errors (see page 31)

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

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

#### Overview of Post-Award Legal Requirements:

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

#### Scope Requirement:

- The federal amount requested is within the allowable limit(s) of up to \$1.5 million.

**Eligibility Requirement:** See eligibility information set out on the title page.

#### What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 14)
- Project Abstract (see page 15)
- Program Narrative (see page 16)
- Budget Detail Worksheet (see page 20)
- Budget Narrative (see page 20)
- Indirect Cost Rate Agreement (if applicable) (see page 22)
- Tribal Authorizing Resolution (if applicable) (see page 23)
- Financial Management and System of Internal Controls Questionnaire (see page 23)
- Disclosure of Lobbying Activities (SF-LLL) (see page 24)

_____	Additional Attachments	
_____	MOUs/Letters of Intent	(see page 7)
_____	Logic Model	(see page 16)
_____	Applicant Disclosure of Pending Applications	(see page 24)
_____	Research and Evaluation Independence and Integrity	(see page 25)
_____	Disclosure of Process Related to Executive Compensation	(see page 27)
_____	Time-Task Plan	(see page 28)
_____	Plan for Delivering Training and Accessing Professional Development Opportunities	(see page 28)
_____	Resumes of Key Personnel	(see page 29)
_____	Request and Justification for Employee Compensation Waiver (if applicable)	(see page 13)