



Office for Victims of Crime

**Services for Trafficking Victims
Discretionary Grant Application Kit**

Due Date: July 29, 2002

**U.S. Department of Justice
Office of Justice Programs**
810 Seventh Street, N.W.
Washington, D.C. 20531-0001

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**Office of Justice Programs
World Wide Web Home Page**
<http://www.ojp.usdoj.gov>

**Office for Victims of Crime
World Wide Web Home Page**
<http://www.ojp.usdoj.gov>

For grant and funding information contact
U.S. Department of Justice Response Center
1-800-421-6770

OVC Resource Center
1-800-627-6872
(TTY 1-877-712-9279)
OVC Resource Center Home Page
www.ncjrs.org

SL 000571

The Office for Victims of Crime is a component of the Office of Justice Programs, which also includes the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, and the Office of Juvenile Justice and Delinquency Prevention.

U.S. Department of Justice

Office of Justice Programs

Office for Victims of Crime



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Office of Justice Programs

Office for Victims of Crime

Washington, D.C. 20531

Dear Colleague:

I am pleased to present to you the Office for Victims of Crime (OVC) Services for Trafficking Victims Discretionary Grant Application Kit. The kit contains two solicitations for funds authorized by the Trafficking Victims Protection Act of 2000 and appropriated by Congress during Fiscal Year 2002. The first solicitation provides funding to create, enhance, or strengthen services to trafficking victims, while the second supports training and technical assistance for service providers.

Trafficking is nothing short of a modern form of slavery and a fundamental violation of basic human rights. Some 50,000 victims are trafficked into the United States annually, many for the purposes of sexual exploitation; others for forced labor. Most are subjected to continuous psychological and physical coercion ranging from verbal threats and abuse to starvation, rape, and physical torture. While the United States is marshaling its resources to work with other countries to combat this growing crime, communities are rarely prepared to address the complex needs of trafficking victims, especially when large numbers are simultaneously identified.

Serving trafficking victims poses special challenges for the victim assistance field. Responding to the often severe and episodic needs of trafficking victims places great demands on the limited resources of most victim service organizations. Planning is difficult because few organizations can predict if or when they will be called on to serve trafficking victims, or what the demand on their resources will be. Service providers frequently do not have the experience to address the legal, immigration, and cultural issues that trafficking victims bring. Congress appropriated this funding to help organizations develop innovative strategies to serve victims and to leverage existing community, state, and national resources for effective interventions and services. OVC structured the victim services solicitation to afford communities and organizations flexibility and creativity in tailoring an application that reflects their resources and needs. The other solicitation addresses service providers' needs for timely training and technical assistance.

Finally, these programs are intended to support, not supplant, your efforts to meet trafficking victims' needs. I hope the opportunities presented here help you achieve that goal.

Sincerely,

John W. Gillis
Director

Office for Victims of Crime (OVC) Services for Trafficking Victims Discretionary Grant Programs

Directions for Requesting Information and Application Kits

Each of the two programs described in **Section I.** is assigned to an OVC staff person who has carefully researched and developed the solicitation. For specific questions about a particular program, please contact Michelle Avery Weston at 202-514-5084. For general administrative questions regarding application submissions, please call Yvonne Jones at 202-616-3566.

If you or your organization plan to publicize this kit or any of the programs in a publication of your own, such as a journal, periodical, newsletter, on the Internet, or in any other form, please contact the OVC staff person responsible for that program to discuss any necessary modifications to the program announcement required to meet your publication's format. In prior years, incorrect and misleading information published about the goals of OVC's discretionary programs resulted in submissions of grant applications that were unresponsive to the solicitation and could not be considered. OVC wishes to avoid this kind of miscommunication in the future.

To request additional application kits or forms, call the OVC Resource Center at 1-800-627-6872 or the OVC Reply Line at 202-616-1926 (TTY 202-514-7863). In addition, the application kit may be downloaded from OVC's World Wide Web home page at www.ojp.usdoj.gov/ovc.

Office for Victims of Crime (OVC)
Services for Trafficking Victims Discretionary Grant Program
Application Checklist

Use this checklist to ensure that your application is complete. Failure to include any of the following items may result in disqualification. All forms, assurances, and lists of contacts are provided in the pages that follow.

- G Complete and sign the Standard Form (SF 424), Application for Federal Assistance.
- G See item 10 on the (SF 424). The Catalog of Federal Domestic Assistance number is **16.320** for the Services for Trafficking Victims Discretionary Grant Program.
- G Complete the Budget Detail Worksheet (including any necessary narrative).
- G Sign the Assurances.
- G Complete and attach the Civil Rights Information sheet.
- G Complete and sign the Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements. These forms must be included.
- G Include the list of federal efforts, if applicable.
- G Include the program abstract.
- G Check to see that the program narrative addresses the items requested in **“Instructions for Program Narrative.”**
- G If you are a nonprofit organization and have not received federal funds from the Office of Justice Programs in the past, fill out OJP Form 7120, Accounting System and Financial Capability Questionnaire.
- G Print the Application on 8½ x 11-inch paper on one side of the paper.
- G Limit the program narrative section to 20 double-spaced pages in not less than 12-point type. The 20-page limit does not include the abstract, forms, and appendixes.
- G Include position descriptions, staff qualifications, and individual resumes as appendixes or attachments to the program narrative.
- G Include the signed Letter of Intent as an attachment or appendix (applicants for comprehensive services grants only).
- G Submit the completed grant application with original signatures and **two additional** copies. Please do not bind, coil bind, or staple the applications.

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- G Applications sent via the U.S. Postal Service (USPS) must be received by 5:30 p.m. eastern standard time on Monday, July 29, 2002, at the OVC Training and Technical Assistance Center (TTAC). If an application is delayed in the mail and does not reach OVC TTAC by the due date, it will not be considered for funding, regardless of the postmark date.**
- G Hand-carried applications and applications sent via commercial carriers, such as United Parcel Service (UPS) and Federal Express (FedEx), must be received at the OVC Training and Technical Assistance Center, 10530 Rosehaven Street, Suite 400, Fairfax, Virginia, 22030, no later than 5:30 p.m. eastern standard time, Monday, July 29, 2002.**

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Introduction to OVC and Trafficking in Persons

The Office for Victims of Crime (OVC) was created by the Victims of Crime Act of 1984 (VOCA) to improve our Nation's response to crime victims. OVC is one of five bureaus and five program offices within the Office of Justice Programs (OJP) and works closely with these components to support programs that benefit crime victims.

OVC performs many tasks, including administering formula grant programs that support a network of victim assistance and compensation services; managing discretionary grants for training, technical assistance, and demonstration programs to benefit crime victims; supporting a national information clearinghouse and a national training and technical assistance center; developing programs and initiatives to assist victims of terrorism, mass violence, and transnational crimes; and creating direct service programs for victims of federal crimes.

In October 2000, Congress passed the Trafficking Victims Protection Act of 2000 (P.L. 106-386) to combat trafficking in persons and to protect victims of this crime, the majority of whom are women and children. Recognizing that the needs of trafficking victims are diverse and that existing services are inadequate, Congress authorized the Attorney General to make grants to states, Indian tribes, units of local government, and nonprofit, nongovernmental victim services organizations to provide services to trafficking victims. During Fiscal Year 2002, Congress appropriated \$10 million to fund this trafficking victim services grant program. As a result of OVC's expertise in developing and administering discretionary grant projects that deal with various victimization issues, the U.S. Department of Justice (DOJ) chose OVC to lead the effort to enhance the victim service response to trafficking victims. The authorizing legislation provides for research and evaluation, training and technical assistance, and administration and management of the grant programs. The legislation also mandated that the federal share not exceed 75 percent of the total cost of the grant program budget.

In developing these solicitations, the OVC Director created an Interagency Task Force to draw on the knowledge of representatives from federal agencies with expertise in trafficking in persons and to coordinate federal trafficking funding initiatives. OVC sought information, ideas, and suggestions from these agencies on victims' needs, with an emphasis on the labor, immigration, and cultural issues trafficking victims experience. Through a series of meetings, Task Force members identified and prioritized trafficking victims' needs, providing OVC with invaluable information and ideas. This information has been incorporated into both the victim services and training and technical assistance grant programs in this application kit. OVC also received feedback from private, nonprofit organizations with experience in trafficking issues and in serving trafficking victims to ensure that these solicitations address current and emerging issues, including the training and technical assistance needs of service providers.

Services for Trafficking Victims Competitive Discretionary Grants Authorized for Fiscal Year 2002

This application kit describes the Services for Trafficking Victims competitive discretionary grant programs that will fund services and training and technical assistance for Fiscal Year 2002. Separate from these solicitations, the National Institute of Justice will develop and administer a competitive solicitation to fund an evaluation of one or more projects that are funded as a result of this solicitation. At this time, OVC has been appropriated a total of \$10 million for this grant program.

Application Process

This application kit provides the necessary information and guidance for preparing and submitting an application for an OVC Services for Trafficking Victims discretionary grant program award. **Section I.** of the application kit contains solicitations for the two competitive programs. **Section II.** presents general application requirements and includes the required application forms. To request additional application kits, please call the OVC Resource Center at 1-800-627-6872 or call the OVC Reply Line at 202-616-1926. In addition, the application kit can be downloaded from the OVC World Wide Web home page at www.ojp.usdoj.gov/ovc.

Due Date and Application Submission

Applications for competitive programs must be received (not postmarked) at the OVC Training and Technical Assistance Center located at the address below on **Monday, July 29, 2002, no later than 5:30 p.m. eastern standard time**. Please be advised that if an application sent via the U.S. Postal Service (USPS) does not reach the OVC Training and Technical Assistance Center (TTAC) by the due date, it will not be considered for funding regardless of the postmark date.

Hand-carried applications and applications sent via commercial carriers, such as United Parcel Service (UPS) and Federal Express (FedEx), must be received **no later than 5:30 p.m. eastern standard time, Monday, July 29, 2002**.

All applications should be addressed to:

**Office for Victims of Crime
c/o OVC Training and Technical Assistance Center
10530 Rosehaven Street, Suite 400
Fairfax, Virginia 22030**

Telephone: 703-385-3200 (*phone number is required for some carriers*)

NOTE: Applicants must clearly write the name of the program being applied for in the lower left corner of the envelope.

- L OVC will not grant extensions of the due date.**
- L OVC does not accept faxed submissions.**

Eligibility Requirements

By statute, grants under this program may be awarded to states, Indian tribes, units of local government, tribal governments, and nonprofit, nongovernmental organizations. For the purposes of this program, a unit of local government is any city, county, township, town, borough, parish, village, or other general-purpose political subdivision of a state, including local courts, law enforcement agencies, prosecutor's offices, and shelters. Applicants must demonstrate that they have the expertise and organizational capacity to successfully complete the project for which they are applying.

For purposes of this grant program, individuals are not eligible to apply for grants in this application kit.

Applicants who have questions about grant application requirements or who need assistance in completing the forms may contact Yvonne Jones (telephone 202-616-3566 or e-mail yvonnej@ojp.usdoj.gov). Applicants with substantive questions about an announcement's specific requirements should contact Michelle Avery Weston at 202-514-5084.

Section I. Program Announcements

Victim Services

Type of Award: Two types of cooperative agreements for victim services will be awarded under this program:

A. Comprehensive Services

These awards will support the creation and/or enhancement of collaborative networks that will provide comprehensive services for persons identified as trafficking victims¹ in federal investigations or prosecutions within the United States. Applicants must demonstrate the capacity to quickly mobilize resources to accommodate the needs of identified victims and to provide services to them. In addition to providing direct victim services, **Comprehensive Services** sites also will collaborate with a national training and technical assistance provider and evaluator to document activities, collect and share data, and produce protocols and other materials to facilitate replication, mentoring, and technical assistance provision in other localities. (For a more complete description of these awards, please see the **Program Strategy** section below.)

B. Supplemental/Specialized Services

These awards will be made to eligible entities to provide discrete (single service, such as housing, legal, or medical), episodic, and rapid-response victim services nationwide wherever and whenever trafficking victims are identified in the course of a federal investigation or prosecution. Applicants must specify the maximum number of victims that can be provided services at any given time. Applicants must demonstrate the ability to quickly mobilize resources to accommodate the needs of identified victims and to coordinate with other trafficking program grantees (**Comprehensive Services** funding recipients, national training and technical assistance provider, and evaluator) and other service providers to the extent possible. (For a more complete description of these awards, please see the **Program Strategy** section below.)

For both types of awards contemplated by this grant program, services for trafficking victims should address victims' needs during the "precertification" period. (This is the period of time between when trafficking victims are initially identified by law enforcement and officially certified by the Federal Government as such.) Once trafficking victims have received certification, they become eligible to apply

¹ As defined by statute, victims of trafficking are persons who have been subjected to: (1) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or (2) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, coercion, for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery. Sex trafficking is defined as the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. § 7102 (8); (9); (14).

for a number of benefits and services provided through federally funded programs. Prior to certification, victims' needs are acute and largely unmet. Therefore, funding under this program is intended primarily to meet victims' precertification needs. Applicants for funding should indicate how they propose to meet such needs and the maximum number of victims that the applicant can serve.

Number and Amount of Awards: No set number of awards has been established for this program. Award amounts will vary depending on the types of services to be provided and the number of victims anticipated to be served. For further information, please see the "Budget" subheading under the "Selection Criteria" section below.

Interested parties may apply for both types of awards. For example, an applicant for a **Comprehensive Services** award to provide trafficking victim services within a defined geographic area also may apply for a **Supplemental/Specialized Services** award to provide additional victim services beyond those services contemplated under the applicant's **Comprehensive Services** proposal. Applications will be reviewed carefully to assess the applicant's capability to provide both types of services and avoid duplication of efforts. Small organizations are specifically invited to apply for funding under this grant program to provide services to trafficking victims. Applicants must indicate in their applications the type of award for which they are applying: **Comprehensive Services** or **Supplemental/Specialized Services**, or both. If applications are submitted for both, the applicant must describe how funded activities will complement and not duplicate one another.

Award Period: 12-36 months, in increments of 12 months. Applicants must indicate whether they are applying for 12, 24, or 36 months of funding.

Goal: The goal of the Services for Trafficking Victims Discretionary Grant Program is to develop, expand, or strengthen victim service programs for victims of trafficking.

Purpose(s): The purpose of this grant program is to provide comprehensive services for victims of trafficking by building on existing community resources to meet the unique needs of victims, particularly during the precertification period when victims' needs are especially urgent. Specifically, this project aims to:

- Develop, expand, or strengthen victim service programs for victims of trafficking.
- Strengthen the collaboration and cooperation between existing agencies and organizations that serve or have the capacity to serve trafficking victims to build an effective, comprehensive system or network of services to respond to the needs of victims of severe forms of trafficking in the federal criminal justice system.
- Support the development of services and programs currently unavailable to assist trafficking victims as additional components of an integrated system.

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- Provide training to increase the awareness among criminal justice entities, social services providers, and the public of the rights and needs of trafficking victims.
 - Support the ability of trafficking victims to cooperate with law enforcement and prosecutors in trafficking cases.

Background/Problem Statement: Trafficking in persons includes the recruitment, transportation, or sale of persons (males and females, adults and children) 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. Many trafficking victims are forced to work in the sex trade; however, other trafficking situations exist, including domestic servitude, labor in a prison-like factory, or migrant agricultural work.

Trafficking in persons is a significant, yet still largely undetected crime. Although there are no hard data on the number of cases nationally, the Federal Government estimates that 50,000 women and children are trafficked into the United States each year. Estimates by nongovernmental organizations (NGOs) working on trafficking issues are much higher, at more than 2 million victims each year. Victims often come from economically disadvantaged circumstances, have little or no formal academic or skills training, and therefore have limited opportunity for economic independence. In some cases, victims have received a formal education but due to limited economic opportunities in their home country they have fallen prey to traffickers' false promises of legitimate, well-paying jobs in the United States. Regardless of their background, victims typically feel great shame and responsibility for their victimization.

Trafficking victims' service needs are complex and acute. While victims share some of the same needs as other types of victims, such as victims of domestic violence, trafficking victims also require additional services. For example, victims trafficked into the United States from other countries typically experience language and communication barriers and lack information about their legal rights under federal and state laws, the legal process, or availability of crime victim assistance.

According to many experts, one of the critical needs of trafficking victims is appropriate and adequate shelter. Victims also may need mental health treatment, both crisis counseling and longer-term support, as well as emergency and ongoing medical attention. Other victims' needs include social services advocacy to help victims understand and access available benefits. All services provided to victims should be provided in a culturally sensitive manner, taking into account victims' linguistic, cultural, and religious identity.

Unfortunately, trafficking victims face many barriers that prevent them from accessing necessary services. Due to the nature of the crime, in which trafficking victims often are held hostage and isolated from others, they are prevented from learning about their legal rights or the services available to them. They often have a great fear of deportation by the Immigration and Naturalization Service (INS) and/or detention by local law enforcement agencies, a fear that is manipulated and exploited by traffickers to keep victims isolated and under their control.

Given the diversity of trafficking victims' origins and the forms of their victimization, multiple service needs, barriers to accessing services, and the fact that trafficking cases with numerous victims may surface anywhere in the country, the challenges faced by service providers are clear. Existing service providers have been called on to develop and deliver expanded services on an ad hoc basis, often at a moment's notice and without receiving additional resources to support these expanded services. Many service providers throughout the United States remain unaware of the crime, the needs of victims, the existing services for trafficking victims in their area, if any, and the need to coordinate among government and nongovernment entities at all levels (local, state, regional, tribal, and federal).

In recognition of the critical circumstances faced by trafficking victims, Congress enacted the Trafficking Victims Protection Act of 2000 (Pub. L. No. 106-386), 22 U.S.C. § 7101 et. seq., to respond and combat trafficking in persons. In addition to establishing new tools and resources to prevent and prosecute trafficking in persons, this legislation also authorizes a new array of services and protections for victims. Congress appropriated \$10 million in funding to the Department of Justice to support the development or enhancement of victim services programs for trafficking victims.

Program Strategy: An ideal response to the acute and complex needs of trafficking victims should be based on a comprehensive approach that incorporates all necessary victim support services (provided in-house, via collaboration with community-based resources, or via supplemental assistance from a specialized service provider) to address the needs of persons identified as trafficking victims in federal criminal investigations and prosecutions. This initiative aims to develop, expand, or strengthen victim service programs for victims of trafficking in two distinct yet complementary ways, which are described below.

For both types of awards, applicants must identify the need they seek to address with project funding, such as the presence of identified or suspected trafficking victims and the lack of services to meet their needs. Applicants for **Comprehensive Services** also must demonstrate the capacity to perform the intensive case management and record keeping needed to adequately serve trafficking victims. Applicants for **Supplemental/Specialized Services** also must demonstrate the willingness and capacity to collaborate with the service delivery and case management efforts of other victim service providers.

A. Comprehensive Services

Awards for **Comprehensive Services** are intended to build collaborative and/or community-based networks of comprehensive, integrated, and culturally appropriate services for trafficking victims within a defined geographical area, such as a city, state, or region of the United States.² Projects funded to provide comprehensive services will have several components/phases:

² The phrase United States refers to the 50 states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the territories and possessions of the United States. 22 U.S.C. § 7102(12).

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- Coordination and collaboration with other agencies.
 - Assessment of existing services, resources, and needs.
 - Coalition building and outreach (identify key partners and roles).
 - Development and implementation of a comprehensive victim services model.
 - Development of a plan to sustain the project after OVC funding ends.
 - Collection of data for program information dissemination and program evaluation purposes.

Coordination and Collaboration With Other Agencies

An ideal trafficking victim response should provide a comprehensive approach to address the acute needs of trafficked persons by either directly providing services or coordinating access to services that provide shelter and sustenance, general health and mental health care, legal services, job skills training, and cultural support from the community and educational services. Given the unique circumstances of trafficking victims, the proposed community response should incorporate both governmental and nongovernmental (community-based) social service entities in an advisory and/or service provision capacity. Applications should describe how applicants will coordinate with law enforcement agencies in providing services to victims of trafficking.

Key partners/actors should include (but are not limited to):

Federal, state, and local law enforcement, investigative, and prosecutorial agencies
City and/or county governments
State or local government social services agencies
Community-based service providers
 Shelter providers
 Mental health care providers
 Medical care providers
 Immigrant advocacy providers
 Legal services providers
Faith-based organizations
Local civic and business community

Other collaborative partners may include (but are not limited to):

State VOCA Victim Compensation and Assistance Administrators
Professional affiliation associations
Institutions of professional education

Assessment of Existing Services, Resources, and Needs

Services needed by trafficking victims include (but are not limited to):

- Shelter/housing and sustenance (emergency and long term).

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- Medical and mental health care (emergency and long term).
 - Special services for child/juvenile victims.
 - Interpreter/translator services.
 - Criminal justice system-based victim advocacy.
 - Legal services.
 - Social services advocacy (explanation of benefit entitlements/availability).
 - Explanation of legal rights and protections.
 - Literacy education and/or job training.
 - Outreach services directed toward immigrant populations.
 - Transportation.

For application purposes, applicants should identify and provide a description of existing victim services or other community resources to serve trafficking victims. Applicants also should provide data regarding the number and types of trafficking victims already served (if any). In addition, applications for funding should describe the assessment plan or process applicants will use to further identify and assess community resources, services, and needs for trafficking victims. If applicants already have conducted such needs assessments, their applications should describe how the assessment was conducted, provide a summary of the assessment findings, and describe how applicants propose to develop or enhance victim services based on existing community resources (rather than creating a new set of narrowly tailored services). Specifically, applicants should identify existing resources and describe how they propose to adapt or expand those resources to meet the full range of victim needs throughout the various stages of recovery that victims experience.

In addition to the specific needs listed above, trafficking victims often also have important safety, security, privacy, and confidentiality concerns; therefore applicants' assessments of existing resources and needs should discuss available resources to promote victims' safety, security, privacy, and confidentiality. Applicants' assessments also should discuss the cultural competency of available resources and services, if known, or describe how such competency will be assessed, if not known. Other resources for developing cultural competency, such as available training options, also should be described.

Coalition Building and Outreach

Applications for funding should identify key community partners and their respective roles and responsibilities in providing services to trafficking victims. Additionally, applicants should indicate how they propose to perform outreach/coordination to educate government agencies and NGOs about trafficking to increase/enhance identification of victims.

Applicants should describe how they will perform community outreach through both formal and informal collaborative mechanisms among service providers and the local/state/federal criminal justice systems. Applicants should have the capacity to network and reach out to federal, state, and local justice systems. Effective working relationships with law enforcement at all levels will improve the law enforcement response, such as law enforcement's expertise in appropriately identifying and serving

trafficking victims, and also facilitate the participation of trafficked persons as witnesses in the investigation and prosecution of traffickers. Applicants should describe previous experience in providing or coordinating victim responses with federal law enforcement agencies investigating or prosecuting trafficking or similar cases, or in situations involving mass trauma or torture.

Victims who are returned home to other countries often are socially ostracized, particularly in the cases of sexual exploitation and victimization, in which victims also have particular health care needs as well. Applications for funding should indicate an applicant's willingness and/or ability to collaborate with international organizations, government agencies, and NGOs to provide appropriate and safe repatriation and reintegration for trafficked persons who are going back home. (Please note that funding under this program is available only to entities in the United States for services to victims in the United States.)

Applications for **Comprehensive Services** awards must include, as an attachment, a Letter of Intent developed and signed by the directors of all participating agencies that will collaborate to plan, develop, and implement the project. The Letter of Intent must:

- Provide a brief history of the collaborative relationship among the partners, including when and under what circumstances the relationship began and when each partner entered into the relationship. If the collaboration will begin with this project indicate such intent.
- Specify the extent of each party's participation in developing the application.
- Clearly delineate the roles and responsibilities each organization or agency would assume to ensure the success of the proposed project.
- Describe each partner's awareness of or experience in working with federally funded benefits-issuing programs and agencies.
- Identify the representatives of the planning and development team who would be responsible for planning, developing, and implementing project activities and describe how they would work together and with project staff.
- Demonstrate a commitment on the part of all partners to work together to achieve project goals.
- Indicate approval of the proposed project budget by all signing parties.
- Describe the resources each partner would contribute to the project, either through time, in-kind contributions, or grant funds (for example, office space, project staff, training).

Development and Implementation of Comprehensive Victim Services Model

The crime of trafficking requires more than just a law enforcement or victim service response, but a collaborative and integrative effort to address special needs and circumstances. Victim service programs for trafficking victims should help alleviate the practical and cultural barriers that keep victims from turning to law enforcement for help. In addition, service providers must have the capacity to perform case management and protocol development to coordinate the multiple services needed by trafficking victims.

In all applications for funding, applicants must provide a strategy for providing and/or obtaining appropriate services, such as housing, legal, mental health, and medical services for victims. Applications should describe the specific steps that applicants will take to serve trafficking victims, including procedures for initial intake and assessment of victims' needs, development of an individualized service plan, provision and coordination of services, periodic assessment of whether victims' needs are being met, documentation of referrals and services delivered, and modification of services as appropriate throughout victims' recovery. For example, providers should describe their capacity to conduct necessary and appropriate intake assessments, such as health, mental health, and safety evaluations, primarily to identify victim needs, but also to minimize health and safety risks to other victims being served. For all tasks described above, applications also should describe the staff resources (i.e., number of staff and their roles and responsibilities) to be dedicated to accomplishing the tasks.

Development of Plan To Sustain the Project After OVC Funding Ends

All applicants should provide information on the potential for generating community and individual support for the project to sustain the project once federal funding ends, and the steps they will take to explore resources and develop a plan to sustain services to trafficking victims if awarded funding. As significant lead time often is necessary to build community support and garner financial resources, funding recipients should begin soon after receiving an award to develop a detailed plan for maintaining services to trafficking victims in the absence of federal funding.

Collection of Data for Program Information Dissemination and Program Evaluation Purposes

Evaluation is necessary to ensure that **Comprehensive Services** projects meet their goals in terms of the process and impact on trafficking victims. Documentation of projects also will facilitate replication/adaptation of best practices in other locations. All **Comprehensive Services** projects must collect data on their operation and effectiveness in assisting trafficking victims.

The objectives of the evaluation are:

- To document project interventions, implementation processes, and key factors affecting successful implementation, including levels of collaboration and sustainability.

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- To document the impact of service interventions by capturing and reporting data on victims from initial intake through exit interviews.

Comprehensive Services award recipients will have two major evaluation responsibilities. First, grantees must collect process evaluation data and generate process evaluation reports following guidelines to be developed by the independent evaluator for this Trafficking Program. Second, award recipients will establish an information management system to generate, collect, store, and report outcome data designated by the independent evaluator.

To address their capability to successfully perform these tasks, **Comprehensive Services** applicants should provide detailed information in their applications regarding their proposed methodology for monitoring program activities. Applicants also must state that they have or will create an electronic infrastructure capable of fully supporting data collection for the project and that they will have sufficient qualified staff to carry out these responsibilities.

In addition to the evaluation plan required of all applicants for collecting data about the project and its progress, a small number of sites will be identified for further evaluation. An important purpose of this demonstration program is to gain a better understanding of how best to serve the needs of trafficking victims. As a result, one or two **Comprehensive Services** sites will be selected to work with an independent evaluator to study the activities funded under this solicitation. **Comprehensive Services** sites chosen to participate in the evaluation will have the unique opportunity to receive in-depth feedback on their program as well as participate in the groundbreaking work of identifying elements of an effective integrated service delivery system for trafficking victims. Criteria for selecting the **Comprehensive Services** sites to be evaluated will be developed by the evaluator in conjunction with OVC, but an appreciation by project staff of the significance of this evaluation will be an important factor. Accordingly, applicants who would be interested in being selected as one of these sites should indicate their interest and willingness to work with the national evaluator in their applications. Any additional costs associated with the independent evaluation will be borne primarily by the national evaluator, although some incidental costs may be covered by the evaluation set-aside required of all applicants for funding. (This set-aside is described in the budget section below.)

Comprehensive Services sites selected for independent evaluation will be required to assist the independent evaluator in collecting data and maintaining records including victims' demographic information, number and types of referrals to services, and documentation of services delivered. The evaluation of **Comprehensive Services** sites also may include surveys and interviews of victims, service providers, and government and community stakeholders. (To ensure victim confidentiality and victim/witness security, evaluation interviews will not be conducted in open investigations or prosecutions.) Qualitative and quantitative data will be collected. The evaluation will seek to identify the range of services required for a comprehensive collaborative approach, document the impact of these services, identify how these services can most effectively be delivered and use this information to facilitate replication of comprehensive service models in other communities.

The evaluation may consider some of the following basic questions:

- What are the obstacles faced by the community in providing services for trafficking victims?
- What needs and resources were identified through the community assessment?
- Is there a viable network of services to adequately and appropriately respond to the needs of trafficking victims?
- Has there been an increase in the number of trafficking victims being identified and served? If so, what is the increase?
- What additional or enhanced services have been provided?
- Have previously unserved victims received services?
- What approaches were successful in overcoming obstacles to establish or enhance services for trafficking victims?
- How were these approaches developed and implemented?
- How do grantees plan to sustain their victim service programs after OVC funding ends?

B. Supplemental/Specialized Services

OVC anticipates that many communities nationwide will need assistance in providing appropriate and adequate services for trafficking victims in the United States, often on a rapid-response and episodic basis. This is especially true in areas where trafficking victims are identified for the first time and where very limited services may be available, and in cases where there are multiple (i.e., large numbers of) victims with needs that exceed services available in a given community. The purpose of **Supplemental/Specialized Services** awards are to support victim services in such communities by providers that have the capacity to marshal resources on an as-needed basis anywhere throughout the United States or a large geographic region of the United States (such as the Northeast, Southeast, Midwest, Northwest, or Southwest). Examples of specialized and/or supplemental services for trafficking victims include, but are not limited to, shelter/housing, legal services, and mental health/counseling services.

Shelter/Housing

Shelter/housing for trafficking victims presents a unique set of challenges for service providers primarily because there is a shortage of safe, appropriate, and adequate temporary housing for victims. Men, women, and children who are trafficking victims have a critical need for immediate, short- and/or long-term shelter. In particular, appropriate and safe housing is needed in place of custodial detention by

federal or state criminal justice systems. Existing shelter options, such as domestic violence or homeless shelters, often have scarce resources to meet the needs of the discrete populations they are intended to serve. In addition, many existing shelters are able to house individuals only for brief periods of time, are not equipped with special resources trafficking victims need, such as multilingual staff and heightened security, or have other restrictions that might preclude trafficking victims.

Thus, supplemental/specialized services awards may be used to address trafficking victims' shelter/housing needs. Providers of appropriate and adequate shelter/housing for trafficking victims should have the capacity to accommodate emergency and longer-term residents; single or large numbers of victims; male, female, and juvenile victims, and victims' family members (parents, spouses, and children); victims from diverse cultural, linguistic, and religious backgrounds; and victims of various forms of trafficking (such as sex trafficking, forced labor, and domestic servitude). Applicants with limited capacity to accommodate only certain types of victims (e.g., women only, individuals without dependents only) should clearly indicate this in their application. OVC is especially interested in receiving proposals from applicants with the capacity to house victims for whom shelter/housing options are particularly scarce, such as minors or victims with dependents.

Due to the intensive case management needs of trafficking victims, shelter/housing providers also should offer in-house victim services and case management or have the capacity and willingness to collaborate with community-based services in the locality where they are providing shelter/housing resources. Shelter providers also should describe their capacity to conduct necessary and appropriate intake assessments, such as health, mental health, and safety evaluations, primarily to identify victim needs, but also to minimize health and safety risks to other shelter residents.

Applicants for **Supplemental/Specialized Services** awards should describe their capacity to provide housing to victims of trafficking based on existing resources. Applicants also should indicate the geographic area in which they have the capacity to provide shelter/housing services.

Legal Services

Trafficking victims have a critical need for appropriate and adequate legal services. Victims often lack knowledge/information about their legal rights, the legal process, or the services available to them. In cases where victims have been trafficked into the United States from other countries, victims' immigration status also is an issue. Applicants for **Supplemental/Specialized Services** funding should be legal service providers versed in relevant legal areas, have an understanding of federal criminal laws and procedure, and be culturally sensitive.

Funding for **Supplemental/Specialized Services** may be used to provide legal counsel to service providers in assisting trafficking victims with their various legal needs as part of a network of comprehensive, integrated victim services. Legal service providers applying for **Supplemental/Specialized Services** funding should demonstrate a willingness and capacity to establish working relationships with **Comprehensive Services** sites and other NGOs/service providers (such as shelters, mental health and medical care providers, immigrant advocacy providers,

and faith-based organizations) for collaboration and cooperation in providing adequate and appropriate services to trafficking victims. Applicant(s) should demonstrate an understanding of legal procedure in federal, state, and local justice systems and an awareness of the need to coordinate with law enforcement and other NGOs to provide appropriate and adequate legal services. Applicants should further indicate how they would perform such outreach and coordination in any given location and define the geographic area in which they have the capacity to provide legal services.

Mental Health/Counseling Services

Trafficking victims often experience extreme isolation, degradation, and abuse by their traffickers. Traffickers frequently deny mental health and medical treatment to victims to control or punish them, keep them from being discovered, and avoid incurring the expense of such care. Trafficking victims need mental health and medical assessment and treatment by providers who are versed in the dynamics of victimization, trauma issues, and appropriate interventions. Ideally, trafficking victims should receive such services from practitioners who are proficient in the victim's language and knowledgeable about the culture.

Applicants for **Supplemental/Specialized Services** to provide mental health services should describe their capacity to offer culturally competent services, including the language(s) in which services could be delivered. Applicants also should describe the geographic areas in which they have the capacity to serve victims and discuss their capacity to assess and treat victims (including the maximum number of victims that could be treated, length of time services could be offered, and number and type of treatment that could be provided) on short notice.

Additional General Information for Supplemental/Specialized Services Awards

Generally, **Supplemental/Specialized Services** funds may be used to support an entity or network that will provide appropriate and adequate housing, legal, mental health counseling, or other relevant form of assistance for victims of trafficking anywhere throughout the United States (or a large geographic region of the United States) on short notice. If more than one organization or agency proposes to form a network of providers to deliver **Supplemental/Specialized Services**, the application must identify one entity as the lead agency for purposes of grant administration and project coordination.

Regardless of the type of victim services proposed, applications should further describe applicants' capacity to provide **Supplemental/Specialized Services**:

- With very little notice and lead time.
- In any location nationwide or within a broad geographic region.
- For large numbers of victims.
- For victims with special needs or for whom resources may be even more limited, such as minors or victims with disabilities.
- For victims from diverse cultural and linguistic backgrounds.

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- For victims who have experienced distinct or multiple forms of victimization (physical and sexual assault, forced labor, denial of medical care, etc.).

Applicants for **Supplemental/Specialized Services** funds must commit to collaborating as appropriate with recipients of funding for **Comprehensive Services**, and to the extent possible, with other service providers throughout the country who are addressing the needs of trafficking victims. In addition to the particular **Supplemental/Specialized Services** they propose to provide to victims, applicants should indicate their capacity to coordinate with **Comprehensive Services** funding recipients (and other service providers, as applicable) to ensure trafficking victims have access to the full range of victim services identified in the “Comprehensive Services” section.

Project Management: For both types of awards, **Comprehensive Services** and **Supplemental/Specialized Services**, the management structure, staffing, and overall organizational capability must be adequate to conduct projects successfully. Applicants must demonstrate that the project will be appropriately staffed and that key staff have significant experience in providing services and collaborating with other community resources.

Specifically, applications should provide evidence of the degree to which applicants possess:

- Experience in providing or the ability to provide services to a diverse or immigrant population.
- Understanding of crime victimization and resulting trauma.
- Knowledge of victims’ rights and remedies.
- Experience in or the ability to make referrals to or to provide appropriate services.
- Ability to work in coordination with other (governmental and nongovernmental) agencies, such as benefits-issuing agencies.
- Cultural sensitivity.

Performance Measurement: To ensure compliance with the Government Performance and Results Act (GPRA), Public Law 103-62, this solicitation notifies applicants that funding recipients will be required to collect and report data that measure the results of the projects implemented under this program. To ensure accountability for this data, the following performance measures are provided:

- Conduct a needs assessment in each **Comprehensive Services** site to identify gaps in existing services and available resources.
- Establish or enhance services in each **Comprehensive Services** site for victims of trafficking in the community based on findings from the needs assessment.
- Develop a plan for sustainability of the **Comprehensive Services** and **Supplemental/Specialized Services** after OVC project funding ends.

Award recipients will be required to document achievement of these measures in periodic progress reports submitted to OVC. Award recipients also will be required to provide a copy of the needs assessment tool

and major findings and a copy of the preliminary plan to establish or enhance victim services in their community.

Eligibility Requirements: By statute, grants under this program may be awarded to states, Indian tribes, units of local government, and nonprofit, nongovernmental victim service organizations.

For the purposes of this program, a unit of local government is any city, county, township, town, borough, parish, village, or other general-purpose political subdivision of a state, including local courts, law enforcement agencies, prosecutor's offices, and shelters.

Selection Criteria: All applicants for **Comprehensive Services** funding and **Supplemental/Specialized Services** funding must address each of the following criteria in their applications, unless otherwise indicated. Applications will be rated by a review panel on the extent to which they meet the criteria below.

1. Problem(s) To Be Addressed

The problem statement should discuss how the characteristics of trafficking victims and existing resources demonstrate the need for trafficking victim services. Applicants must identify the community or geographic area in which the project will operate. The priority selection criteria and indicators of community need are identified earlier in this solicitation under the Program Strategy subsections for **Comprehensive Services** and **Supplemental/Specialized Services**.

2. Goals and Objectives

Applicants are encouraged to be realistic in developing their projects' goals and objectives. The overall goals of the project must be clearly defined and linked to the needs of trafficking victims set forth in the "Problems(s) To Be Addressed" section (above). Applicants must be specific in addressing identified problems. Each applicant must include a statement of purpose that describes the expected outcomes and achievements for the project period.

Project goals must be stated in clear and measurable terms so that project staff can track the project's progress. Project objectives must be clearly defined, measurable, and described. Objectives must be stated as a list of quantifiable activities that will assist applicants in achieving project goals.

3. Program Strategy/Design

The project design must be sound and contain programmatic elements directly linked to the achievement of the project's goal(s) and objectives. Specific information must be included about the types of services to be provided, the geographic community(ies) or area(s) where the services are provided, and any restrictions that might limit the provision of specific services to a victim or a certain geographic area. In addition, applications should describe the ability of the service provider(s) to perform, at a minimum, the implementation steps listed below.

For Comprehensive Services Awards:

Receipt of victim referrals
Initial intake and assessment of victims' needs
Development of individualized victim service plans
Provision and coordination of services
Periodic assessment of whether victims' needs are being met
Modification of services as appropriate throughout victims' recovery
Number and range of victims for whom appropriate services will be made available
(e.g., women, men, children, victims of one or more forms of trafficking)
Range of time that services can be provided
(e.g., days, weeks, months; business hours/24 hours)

For Supplemental/Specialized Services Awards:

Process for providing a particular victim service in response to urgent requests
Number and range of victims for whom appropriate services will be made available
(e.g., women, men, children, victims of one or more forms of trafficking)
Range of time that services can be provided
(e.g., days, weeks, months; business hours/24 hours)

All applicants should further discuss their capacity to provide services:

- To accommodate fluctuating numbers of victims, but particularly large numbers of victims, on short notice.
- To serve victims with special needs or for whom resources may be even more limited, such as juveniles or persons with disabilities.
- To victims from diverse cultural and linguistic backgrounds.
- To victims who have experienced distinct or multiple forms of victimization (physical and sexual assault, forced labor, denial of medical care, etc.).
- That address the safety and security concerns experienced by trafficking victims.

All applicants must include a workplan/timeline chart for each year of the project period. The timeline must include the tasks to be completed to meet the project objectives, the months in which the tasks will be accomplished, the staff person(s) or entities responsible for completing each task. Applicants should describe the nature of all products (such as service delivery protocols) to be developed and note anticipated completion dates for each.

4. Program Management and Organizational Capability

All applicants will be evaluated on their capability to conduct the project successfully. The applicant organization's or agency's history of working collaboratively with other community agencies and their experience in serving diverse crime victims will be assessed. Applicants must demonstrate that proposed

projects will be staffed appropriately with qualified persons to perform each of the project tasks. For each staff position, applicants must provide a resume (if specific staff have been identified) or job description (if staff have not yet been identified) in an appendix.

All applicants must describe their existing or proposed information management system and how it will support their capability to perform case management and collect data related to trafficking victims and the services provided to them. Specifically, applicants should describe the data they currently collect (if any) regarding their operations, including their capacity to track victims, the services provided to them, and the outcomes for victims (i.e., impact of services).

Applicants for **Comprehensive Services** awards will be required to enter into a collaborative working relationship with complementary government and NGOs to create a comprehensive, systemic response to trafficking victims. To demonstrate their capacity and willingness to do this, these applicants also must provide a copy of the signed Letter of Intent described above in “Comprehensive Services: Coalition Building and Outreach.”

Applicants for **Supplemental/Specialized Services** awards also will be required to work collaboratively with other agencies and organizations to support a comprehensive, systemic response to trafficking victims. These applicants must state their willingness and capacity to do this in their applications for funding.

5. Program Evaluation

All applications must contain a plan for evaluating the accomplishment of project objectives. Applicants must describe what evaluation data will be gathered and analyzed and the resources that are being committed for this purpose. In determining the quality of the evaluation plan, the following factors will be considered:

- Extent to which the evaluation plan will provide the kind of information that contributes to the effectiveness of management and administration of the project, documents that objectives have been met, and determines the overall effectiveness of the project.
- Extent to which the proposed methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
- Adequacy of the identified performance measures to demonstrate whether and to what extent the proposed strategy is meeting its short-term, intermediate, and long-term objectives.

6. Budget

All applicants (**Comprehensive Services and Supplemental/Specialized Services**) must provide a proposed budget and budget narrative for the proposed project. The budget must be complete, detailed, reasonable, allowable, and cost effective in relation to the activities proposed. OVC prefers that applicants use the Budget Detail Worksheet/Budget Narrative form (OJP Form 7150/1) provided in **Section II.** of

this application kit.

All applicants (**Comprehensive Services and Supplemental/Specialized Services**) must indicate in their budgets the amount of project funds for applicable standard program costs such as personnel, fringe benefits, equipment, supplies, travel, consultants/contracts, and indirect costs. In addition, under the category of “Other Costs,” budgets must indicate the total average projected cost of providing direct services to victims, based on a calculation of the number of victims anticipated to be served, the average anticipated number and type of services to be provided, and the average anticipated number of days services would be provided. Please see the sample budget detail sheet in Forms Appendix for an example.)

All applicants (**Comprehensive Services and Supplemental/Specialized Services**) should anticipate either a post-award meeting with the OVC program monitor or an OVC meeting for discretionary grantees each year of the project. For these meeting costs, applicants outside the Washington, D.C., metropolitan area should budget \$1,000 for travel, lodging, and per diem costs for one key project staff person to attend the meeting.

All applicants (**Comprehensive Services and Supplemental/Specialized Services**) also must set funds aside in their proposed budgets to support collaboration with the national training and technical assistance provider and evaluator for the Trafficking Program.

Specifically, all applicants must budget for the travel, lodging, and per diem expenses of project staff to attend one 2-day training event and meeting for all award recipients for each year of the project. (For **Comprehensive Services** sites, this should include the project director and one other key staff person; for **Supplemental/Specialized Services**, this should include one key staff person.) The location of this 2-day meeting will be determined at a later date. For budgeting purposes, applicants from the West Coast and Midwest should budget for these meetings to be held in Washington, D.C. Applicants from the East Coast should budget for these meetings to be held on the West Coast. The purpose of this meeting will be to provide training and technical assistance and review program implementation, evaluation, and other related programmatic matters.

Applicants also must budget costs to attend one Financial Management Training Seminar sponsored by the Office of Justice Programs, Office of the Comptroller. Specific information (such as dates and locations of upcoming training events) to assist grantees in estimating such costs can be found at www.ojp.usdoj.gov/oc/fmts.htm and www.ncja.org/financial_management.html.

In addition to these amounts, all applicants should set aside 5 percent of budgeted project funds to support a range of ongoing training and technical assistance for program staff and 5 percent of budgeted project funds to support project evaluation. These set-asides should be indicated as line-item budget costs to provide flexibility and resources so that award recipients may benefit from training, technical assistance, and evaluation activities to develop, expand, or strengthen trafficking victim services.

By statute, federal funds for this project may not exceed 75 percent of total project costs; therefore, federal funds may be used to pay up to 75 percent of the total costs of a victim services project. The matching requirement is 25 percent of total project costs. Applicants should apply the match requirement over and above the total amount requested. (For example, if the grant award is \$75,000, the total project cost would be \$100,000. The match would therefore be \$25,000 or 25 percent of total project costs.) The matching requirement may be met through cash or in-kind contributions, or a combination of both.

Additional Selection Considerations

In addition to the selection criteria listed above, the Office for Victims of Crime also may consider the community setting of applicants (urban, suburban, rural), regional balance, and the extent to which the priority selection criteria are met and documented when making awards. Applicants from small organizations are specifically invited. Applicants must not discriminate based on the type of labor or services that victims were forced to perform.

Application: Applicants must follow the guidance provided in **Section II.** of this Application Kit.

Application Due Date: July 29, 2002

Contact Person: Michelle Avery Weston (telephone 202-514-5084 or e-mail averym@ojp.usdoj.gov).

Training and Technical Assistance

Type and Amount of Award: One cooperative agreement will be awarded in the amount of \$200,000.

Award Period: Up to 36 months.

Goal: The goal of OVC's Training and Technical Assistance for Victim Assistance to Trafficking Victims is to support the development, expansion, or strengthening of victim service programs for victims of trafficking in persons funded under the Services for Trafficking Victims Discretionary Grant Program (Trafficking Program).

Purpose(s): The purpose of the Trafficking Training and Technical Assistance Program is to provide comprehensive, skills-building training and technical assistance to states, Indian tribes, units of local government, and nonprofit, nongovernmental victim service organizations that have received funding under the Trafficking Program. This training and technical assistance will include:

- Assisting Trafficking Program funding recipients in assessing technical assistance needs and maintaining flexibility to address a variety of organizational and/or service needs.
- Promoting awareness among Trafficking Program funding recipients of resources and mentoring to meet the comprehensive needs of trafficking victims.
- Identifying and replicating/adapting promising practices in trafficking victim service delivery.

(Although the primary intended recipients of training and technical assistance provided through this project are grantees under the Trafficking Program, the training and technical assistance provider awarded funding under this program solicitation also may assist service providers who are not grant recipients, and federal, state/regional, and local government agencies engaged in anti-trafficking activities. Such assistance should be provided only when the needs of Program grantees have been sufficiently addressed, and to the extent feasible within existing budget limitations. For example, training and technical assistance materials developed for Program grantees ideally also should be appropriate/adaptable for wider dissemination and use beyond Trafficking Program grantees.)

Problem Statement: There is a critical need for training and technical assistance among service providers and criminal justice professionals who are serving trafficking victims. Given the diversity of trafficking victims' origins and forms of their victimization, their need for comprehensive services and intensive case management, their barriers to accessing services, and the fact that trafficking cases with varying numbers of victims may surface anywhere in the country, the challenges faced by service providers are clear. Existing service providers have been called on to develop and deliver expanded services on an ad hoc basis, often at a moment's notice and without receiving additional resources to support these expanded services. Many service providers throughout the United States remain unaware of the crime, the needs of victims, the existing services for trafficking victims in their area, if any, and the need to coordinate among government and nongovernment entities at all levels (local, state, regional, and federal).

The crime of trafficking requires more than just a law enforcement or victim service response, but a collaborative and integrative effort to address special needs and circumstances of trafficking victims. Criminal justice system-based professionals and community-based service providers need assistance in developing collaborative mechanisms to improve community responses to trafficking victims. Recipients of funding for victim services under the Services for Trafficking Victims Program who would be eligible for training and technical assistance under this project include representatives from a wide range of service professions, including but not limited to social services, legal services, mental health services, health care providers, faith-based organizations, refugee and migrant workers organizations, and the women's, children's, and crime victims' advocacy community.

Background: Under the provisions of the Trafficking Victims Protection Act of 2000 (Pub. L. No. 106-386), 22 U.S.C. § 7101 et. seq., Congress authorized an array of new services and protections for victims of trafficking. Congress appropriated funding to the Department of Justice to support the development or enhancement of victim service programs for trafficking victims, and indicated that a percentage of funds should be dedicated to training and technical assistance related to victim services.

Program Strategy: OVC will competitively select an organization to implement training and technical assistance for Trafficking Program grantees in the form of a cooperative agreement. This responsibility will be carried out with the full collaboration of OVC Trafficking Program monitors who will provide input and guidance to the selected training and technical assistance provider regarding the needs assessment plan, selection of training topics, training curricula, and other deliverables. In addition, OVC and the selected training and technical assistance provider will work closely to exchange information and assess Trafficking Program grantee performance, based on information collected via formal (e.g., categorical progress reports submitted by grantees, site visit observations, and reports) and informal (e.g., periodic telephone and e-mail communication with grantees) methods.

Proposals in response to this solicitation should describe how this training and technical assistance program will be implemented, how the objectives will be achieved, and how the program will address the diverse needs of trafficking victim service providers. Specifically, proposals should:

- Identify the types of training and technical assistance requests anticipated and the strategies proposed to address them.
- Include a detailed discussion of the criteria for prioritizing training and technical assistance requests and the elements of a screening protocol for selecting sites requesting training and technical assistance.
- Address how the training and technical assistance provider will market materials developed for trafficking program grantees to other victim service providers assisting trafficking victims.
- Provide an implementation plan that includes a time-task plan outlining activities and deliverables. This implementation plan should demonstrate innovation in the design and delivery of training and technical

assistance, and identify how resources will be used to maximize the impact of training and technical assistance in a cost-effective manner.

Objectives:

- Assess the training and technical assistance needs of Trafficking Program grantees.
- Develop and facilitate the use of research-driven training and technical assistance materials.
- Provide technical assistance to Trafficking Program grantees to build their capacity to assess needs, initiate program planning, implement appropriate services for victims, and evaluate and sustain programs.
- Establish a network of experienced trafficking victim service providers who can contribute substantive input to the development of training and technical assistance.
- Establish a mentor program of experienced trafficking victim service providers who will provide training and technical assistance on request.
- Enhance the skills of Trafficking Program grantees by providing training and technical assistance which might include but is not limited to the following subjects:
 - Trafficking Program elements and requirements.
 - Financial sustainability of programs.
 - Coordination with federal, regional, state, and local public agencies.
 - Confidentiality and victim safety/security.
 - Jurisdiction issues.
 - Evaluation of the quality and utility of the training and technical assistance services provided.
 - Identification and access of resources for trafficking victims.
- Assist OVC in monitoring performance of Trafficking Program grantees by assessing progress toward program goals.

Deliverables: In addition to the strategy and content of the training and technical assistance design, the following are specific deliverables to be completed during the project period:

- Establish, in collaboration with OVC, a network of experienced trafficking victim service providers to inform topic selection and content guidelines for training and technical assistance materials, assist in the review and analysis of performance measure data, and assess the progress of Trafficking Program grantees.
- Identify and establish a network of experienced trafficking victim service providers to serve as mentors to Trafficking Program grantees.

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- Develop a Trafficking Program grantees training and technical assistance needs assessment plan (to be delivered within 30 days after the grant award).
 - Develop a protocol and plan for delivery of training and technical assistance that includes criteria for prioritizing requests and addresses different levels of technical assistance including immediate and long-range responses, comprehensive system response, and specialized response (to be delivered within 60 days after the grant award).
 - Develop a training curriculum or curricula and generally increase the number of technical assistance and training tools that support delivery of appropriate and adequate services to trafficking victims (to be delivered within 180 days after the grant award).
 - Provide additional ongoing training and technical assistance to Trafficking Program grantees that will enable them to improve direct services to trafficking victims.
 - Assist Trafficking Program grantees in the development of protocols for effective case management and service delivery to trafficking victims, and collect/disseminate such protocols among other Trafficking Program grantees and victim service providers serving trafficking victims. Such protocols should address supporting victims in their participation in the criminal justice process and provide guidance on victim privacy and confidentiality.

The training and technical assistance delivery plan is subject to OVC review and approval. Training materials shall not include information about ongoing investigations or prosecutions, or disclose identities or locations of victims or other sensitive information. As requests for training and technical assistance may exceed the availability of resources, grantees must develop a plan that fosters technological innovation (such as Web-based dissemination) to maximize available resources at minimum cost.

Performance Measurement: To ensure compliance with the Government Performance and Results Act (GPRA), Public Law 103-62, this solicitation notifies applicants that funding recipients will be required to collect and report data that measure the results of the projects implemented under this program. To ensure accountability for this data, the following performance measures are provided:

- The number of training and technical assistance requests fulfilled.
- The development of a trafficking victims staff training curriculum.
- The development of model protocols for victim case management and victim service delivery.

Award recipients will be required to document achievement of these measures in periodic progress reports submitted to OVC. Progress reports must include information regarding the composition and participation of the networks; the number, nature, and scope of training and technical assistance requests fulfilled; the development, pilot-testing, and revision of a trafficking victims staff training curriculum; and the number and scope of model protocols developed for victim case management and victim service delivery.

Evaluation: The performance measures identified in the preceding section represent minimal standards that the training and technical assistance grantee will be expected to meet. Applicants must provide an evaluation plan to self-assess performance and the impact of training and technical assistance efforts. This evaluation plan must:

- Describe the evaluation strategy (to collect data on the performance measures identified above and identify other measures to reflect the impact of training and technical assistance rendered).
- Provide a timetable for performance of the evaluation.
- Indicate the resources required to perform the evaluation.

Eligibility Requirements: As defined by statute, applicants may be states, Indian tribes, units of local government, and nonprofit, nongovernmental victims' service organizations.

Selection Criteria: Specific criteria include:

1. Problem(s) To Be Addressed

Applicants must demonstrate an indepth knowledge and understanding of the provision of direct services for victims of trafficking. Specifically, applicants must demonstrate the following:

- Knowledge of current issues/problems related to the delivery of appropriate and effective services to victims of trafficking, and the ability to adapt suitable victim-related materials and resources to meet the needs of trafficking victim service providers.
- Knowledge/understanding of the provision of direct services and case management appropriate for victims of trafficking in persons.
- Knowledge/understanding of service provision in situations involving large numbers of victims of trafficking, torture, or mass trauma.
- Knowledge of (and ideally, experience in) the federal criminal justice system as it relates to trafficking victims and victims of crime in general.
- Understanding of legal issues as they relate to victims of crime, generally, and to victims of trafficking, including advising victims about legal protections provided in the Trafficking Victims Protection Act of 2000.
- Understanding of the jurisdictional and coordination issues involved in the provision of services to victims of trafficking.

2. Goals and Objectives

Applicants are encouraged to be realistic in developing their project's goals and objectives. The overall goals of the project must be clearly defined and linked to the needs of service providers set forth in the "Problems(s) To Be Addressed" section (above). Applicants must be specific in addressing identified problems. Each applicant must include a statement of purpose that describes the expected outcomes and achievements for the project period.

Project goals must be stated in clear and measurable terms so that project staff can track the project's progress. Project objectives must be clearly defined, measurable, and described. Objectives must be stated as a list of quantifiable activities that will assist applicants in achieving project goals.

3. Project Strategy/Design

The project design must support the purpose and goals of the Trafficking Program. The project strategy must include sufficient detail so that the reader can understand what will be accomplished, how it will be accomplished, and who will accomplish it. Applicants must provide a time-task plan that clearly identifies major activities and deliverables for the duration of the project. All proposed tasks should be presented in a way that allows a reviewer to see the logical progression of tasks and be able to relate the tasks directly to the accomplishment of project goal(s). Proposed activities should be realistic and reflect the project's allocated time, staff, and funding. A clear picture of the contents or components of products or training materials is important, as is a detailed plan for packaging and disseminating products to the target audience(s). In the past, reviewers have given higher scores to applications that describe how they will introduce products to the field; therefore, applicants are encouraged to provide such information. Detailed procedures for pilot-testing and refining training and technical assistance products also have resulted in more competitive applications.

4. Program Management and Organizational Capability

Applicants must allocate adequate staff resources to overall management of this project, and must demonstrate how their resources, capabilities, and experience will enable them to achieve the goals and accomplish the tasks of the project for which they are applying. Specifically, they must demonstrate experience in organizing and implementing high-quality training events and a proven ability to provide technical assistance, particularly for victim service providers and related criminal justice system or community-based personnel. Points will be awarded based on applicants' demonstrated capability to implement a national-scope, federally funded project, including evidence that applicants possess the requisite staff and expertise. Organizational capability will be assessed on the basis of (1) applicants' described management structure, previous experience with similar or related efforts, and financial capability; and (2) applicants' project management plan and documentation of the professional staff members' unique qualifications to perform their assigned tasks. Applicants must clearly establish that their experience and resources enable them to achieve the goals and objectives of this program. Additional desirable experience includes:

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- Ability to understand cultural issues inherent in service provision to trafficking victims.
 - Understanding of trafficking.
 - Understanding of victims' unique needs (housing, medical services, and mental health services, etc.) and the comprehensive case management required to provide optimal services to victims.
 - Understanding of/familiarity with federal criminal justice process and mechanisms for collaboration among criminal justice system-based professionals and community-based resources.
 - Experience in or ability to develop coordinated community interventions and/or collaborations with local, state, tribal, or national entities to assist victims of trafficking.
 - Familiarity with resources for victim assistance.

5. Program Evaluation

This criterion addresses an applicant's plan for measuring project progress and success. All applications must contain a plan for evaluating the accomplishment of project objectives. Applicants must describe what evaluation data will be gathered and analyzed and the resources that are being committed for this purpose. In determining the quality of the evaluation plan, the following factors will be considered:

- Extent to which the evaluation plan will provide the kind of information that contributes to the effectiveness of management and administration of the project, documents that objectives have been met, and determines the overall effectiveness and impact of the project.
- Extent to which the proposed methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
- Adequacy of the identified performance measures to demonstrate whether and to what extent the proposed strategy is meeting its short-term, intermediate, and long-term objectives.

6. Budget

All applicants must provide a proposed budget and budget narrative for the proposed project. The budget must be complete, detailed, reasonable, allowable, and cost effective in relation to the activities proposed. OVC prefers that applicants use the Budget Detail Worksheet/Budget Narrative form (OJP Form 7150/1) provided in **Section II.** of this application kit.

All applicants must indicate in their budgets the amount of project funds for applicable standard program costs such as personnel, fringe benefits, equipment, supplies, travel, consultants/contracts, and indirect costs. Please see the sample budget detail sheet in Forms Appendix for an example.

All applicants should anticipate either a post-award meeting with the OVC program monitor or an OVC meeting for discretionary grantees each year of the project. For these meeting costs, applicants outside the Washington, D.C., metropolitan area should budget \$1,000 for travel, lodging, and per diem costs for one key project staff person to attend the meeting.

Applicants also must budget costs to attend one Financial Management Training Seminar sponsored by the Office of Justice Programs, Office of the Comptroller. Specific information (such as dates and locations of upcoming training events) to assist grantees in estimating such costs can be found at www.ojp.usdoj.gov/oc/fmts.htm and www.ncja.org/financial_management.html.

By statute, federal funds for this project may not exceed 75 percent of total project costs; therefore, federal funds may be used to pay up to 75 percent of the total costs of a victim services project. The matching requirement is 25 percent of total project costs. Applicants should apply the match requirement over and above the total amount requested. (For example, if the grant award is \$200,000, the total project cost would be \$266,666. The match would therefore be \$66,666 or 25 percent of total project costs.) The matching requirement may be met through cash or in-kind contributions, or a combination of both.

Additional Selection Considerations

Applicants must identify the author(s) of grant applications submitted in response to this solicitation.

Application Due Date: July 29, 2002

Contact Person: Michelle Avery Weston (telephone 202-514-5084 or e-mail averym@ojp.usdoj.gov).

Section II: Application Kit - Instructions for Program Narrative

Program Abstract

Each application must include a program abstract that highlights the problem addressed, purposes, goals, methods, proposed activities and anticipated benefits and outcomes of the project. The abstract should not exceed one side of one double-spaced, 8½ x 11-inch page.

Program Narrative

Submission Requirements. To justify and describe the proposed program, each applicant must submit a program narrative that **may not exceed 20 pages and must be submitted on one side only of 8½ x 11-inch paper using double spacing, a minimum of 1-inch margins on all four sides, and a type no smaller than standard 12-point.** Single-spaced and 1½-spaced narratives will not be accepted. Applications that do not conform with these requirements will not be forwarded for competitive review. The 20-page narrative limit does not include forms, the abstract, and appendices.

Position descriptions, qualifications, and individual resumes may be submitted as appendices to the application. OVC strongly discourages numerous and lengthy appendices and attachments not directly related to the project. OVC is unable to copy videotapes and publications that are sent as examples of the grant applicant's work. Consequently, reviewers will not receive these attachments as part of the review process. Do not bind or staple applications. **One complete grant application package with original signatures and two additional copies should be submitted.**

Required Elements. The program narrative should be numbered "Narrative page 1" and so forth. Applicants are strongly encouraged to address the selection criteria outlined in each of the solicitations as they develop the application narrative. The narrative *must* include the following items in the sequence listed below

- # ***Problem(s) To Be Addressed.*** For projects applying for funding under the *services* solicitation, the problem statement must discuss how the characteristics of trafficking victims and existing resources demonstrate the need for trafficking victim services. Applicants must identify the community or geographic area in which the project will operate and address indicators of community need that are described in the Program Strategy section of the solicitation.

For projects applying for funding under the *training and technical assistance* solicitation, the applicant must clearly outline the issues and problems related to providing services to trafficking victims and how these relate to the need for training and technical assistance for service providers.

Goals and Objectives. For projects applying for funding under the *services* solicitation, the applicant must provide a clear statement of how the proposed program will be of value in addressing the needs of trafficking victims by meeting stated goals and objectives. The overall goals of the project must be clearly defined and linked to the needs of trafficking victims as set forth in the Problem(s) To Be Addressed section. This section should include a statement of purpose that describes the expected outcomes and achievements for the project.

For projects applying for funding under the *training and technical assistance* solicitation, the applicant must provide a clear statement of how the proposed program will enhance the ability of service providers to assist trafficking victims by meeting stated goals and objectives. The overall goals of the project must be clearly defined and linked to the need for training and technical assistance for trafficking victim service providers as set forth in the Problem(s) To Be Addressed section. This section should include a statement of purpose that describes the expected outcomes and achievements for the project.

Project goals must be stated in clear and measurable terms so that project staff can track the project's progress. Project objectives must be clearly defined, measurable, and described. Objectives must be stated as a list of quantifiable activities that will assist project staff in understanding and therefore achieving the goals of the project.

Project Strategy/Design. For both solicitations, the project design must be sound and contain programmatic elements directly linked to the achievement of the project's goal(s) and objectives. The applicant's strategy or design must include a description of project phases, tasks, activities, and clear descriptions of interim deliverables and final outcomes. It must include a time-task plan for the duration of the project that clearly identifies objectives, major activities, and products; the months in which the tasks will be accomplished; and the staff person(s) or entities responsible for completing each task. The time-task plan should be presented in chart form and will not be considered part of the 20-page narrative limitation. In preparing the time-task plan, the Gant chart, or schedule, applicants should make certain that all project activities will occur within the proposed project period. *The plan also must provide for the submission of written progress reports. All recipients are required to submit semiannual progress reports.*

For projects applying for funding under the *services* solicitation, specific information must be included about the types of services to be provided, the geographic community(ies) or area(s) to be served, and any restrictions that might limit the provision of specific services to a victim or a certain geographic area. This section of the narrative should describe the service provider's ability to perform, at a minimum, the implementation steps outlined in the selection criteria section of the services solicitation.

For projects applying for funding under the *training and technical assistance* solicitation, specific information must be provided on the project's intended services and deliverables or products, such as training and technical assistance, training curricula, promising practices compendia, symposia, and videotapes, as well as a detailed plan for packaging and

disseminating products to the target audience(s). Applicants should keep in mind OVC's requirement that final drafts of all publications are to be submitted 120 days prior to the end of the grant period. In most instances, the draft publication will undergo an external review by subject matter experts retained by OVC to provide written comments on the publication's accuracy, relevance, and readability and to provide suggestions to enhance the publication. In all instances, the publication will be reviewed internally by OVC and other agencies within DOJ. Refer to the *OVC Publishing Guidelines Handbook* (March 2002), available online at www.ojp.usdoj.gov/ovc/publications/welcome.html, for further guidance on the publication process. Applicants are advised to review the selection criteria section of the training and technical assistance solicitation to ensure that key criteria are addressed in the narrative.

Program Management and Organizational Capability. Applications must include a clear description of the applicant's management structure. Applicants must include a description of the proposed professional staff members' unique qualifications that will enable them to fulfill their grant responsibilities. For each staff position, applicants must provide a resume (if specific staff have been identified) or job description (if staff have not yet been identified) in appendices to the narrative. The proposed project director must have both the substantive expertise and experience to perform crucial leadership functions and sufficient time to devote to the project to provide the needed guidance and supervision. In addition to these items, the applicant may add, as attachments or appendices, other information that qualify the staff to work on the project.

For projects applying for funding under the *services* solicitation, applicants must describe their existing or proposed information management system and how it will support their capability to perform case management and collect data related to trafficking victims and the services provided to them. Applicants should describe the proposed data that will be collected regarding their operations, including capacity to track victims, services provided to victims, and the impact of services on victims.

(1) Applicants for *Comprehensive Services* awards should describe the projected collaboration with government and nongovernmental organizations that will create a comprehensive, systemic response to trafficking victims and include a copy of the signed Letter of Intent as outlined in the "Comprehensive Services: Coalition Building and Outreach" section of the services solicitation.

(2) Applicants for *Supplemental/Specialized Services* awards also will be required to work collaboratively with other agencies and organizations to support a comprehensive, systemic response to trafficking victims. These applicants must state their willingness and capacity to do this in their applications for funding.

For projects applying for funding under the *training and technical assistance* solicitation, applicants must demonstrate how their resources, capabilities, and experience will enable them to achieve their proposed goals and accomplish project tasks. Applicants should describe their experience and expertise in organizing and implementing high-quality training events and in providing technical assistance, particularly for victim service providers and related criminal

justice system or community-based personnel. Applicants are advised to address additional areas of legal, cultural, case management, and coordination expertise outlined in the selection criteria section of the training and technical assistance solicitation.

- # **Program Evaluation.** Evaluation is critical to ensuring that each OVC project is operating as designed and meeting its goals in terms of both the project's activities and impact. Accordingly, each application must provide a plan for assessing the project's effectiveness and evaluating the accomplishment of project objectives. Applicants should identify challenging, but achievable, outcomes in their proposals and describe how they plan to assess performance in attaining the identified outcomes. In order to develop such a plan, goals and objectives must be clearly stated, linkages established between program activities and objectives, and performance measures identified. Performance measures will include a mix of immediate and intermediate outcomes and, as appropriate and feasible, information on long-term impact.

Accordingly, applicants must describe the criteria and units of measurement that will be used to evaluate the project's effectiveness. Examples of effectiveness measures include (1) units of service provided such as number of individuals and/or agencies trained, number of victims receiving services, the number and type of agencies that received technical assistance, the number and type of products disseminated; and (2) cost-effectiveness of the program, service, or product such as cost per unit or savings achieved. The applicant must also include performance measures that do more than describe the delivered activity, service, or product but measure the impact of the project. Examples of these kinds of measures include: (1) new capacities or improved responses to victims; (2) knowledge gained; (3) user satisfaction data; (4) changes in program development and implementation; (5) new policies and protocols; (6) impact on the victims' well-being; and (7) other measures of the program's benefit to the victims field. For all programs, applicants should develop a mechanism for gathering feedback from both the users and providers of the products and services.

The plan should identify all resources that will be devoted to conducting the assessment including identification of staff members and staff time, use of outside consultants to assist with the assessment, and any other support costs associated with conducting an evaluation. Assessment information will be submitted as part of the semiannual progress report and as part of the final report that is due within 120 days of project completion.

OVC is required to report its programmatic results annually, in accordance with the Government Performance and Results Act (GPRA). OVC summarizes the individual results and outcomes of all discretionary grant programs, indicating whether the programs are successfully meeting their objectives. OVC depends on its grantees to provide accurate, timely, and relevant information on grant progress and impact. Increasingly, these findings will provide justification for continuing OVC's discretionary grant program.

- # **Program Budget.** All applicants must provide a detailed budget and budget narrative for the proposed project. Applicants will enter budgeted items and their costs on a budget detail worksheet with a thorough justification for all costs, including the basis for computing the costs.

The budget must be complete, reasonable, and directly related to the activities proposed in the application. The Budget Detail Worksheet and a Sample Budget Detail Worksheet are included in the Forms Appendix of the application kit. Applicants must justify the costs of individual items, such as personnel and travel, showing how the costs were computed. **A Budget Narrative that justifies all costs must also be included.** In addition, applications containing contracts must include detailed budgets for each organization's expenses. Applicants should plan to attend an OVC discretionary grantee meeting or post-award meeting with the OVC program monitor and, with the exception of local grantees, budget this at an annual cost of \$1,000. Applicants also must budget costs to attend one Financial Management Training Seminar sponsored by the Office of Justice Programs, Office of the Comptroller. Specific information (such as dates and locations of upcoming training events) to assist grantees in estimating such costs can be found at www.ojp.usdoj.gov/oc/fmts.htm and www.ncja.org/financial_management.html.

The applicant must explain how budget items are computed and why they are vital to the project, clearly relating the items to identified tasks described in the narrative. Applicants must show cost effective and efficient use of grant resources, demonstrating that all grant-related expenses are necessary for project completion. Tasks and activities described in the narrative should parallel the budget. All identified costs should accurately reflect the tasks, staff time, supplies, and (if applicable) travel necessary to accomplish the grant-related work.

For projects applying for funding under the *services* solicitation, applicants must include the total average projected cost of providing direct services to victims based on a calculation of the number of victims anticipated to be served, the average anticipated number and type of services to be provided, and the average anticipated number of days services would be provided. Please see the sample budget detail worksheet in the Forms Appendix for an example. Applicants for the *services* solicitation funding must also budget for the travel, lodging, and per diem expenses of project staff to attend one 2-day training event and meeting for all award recipients for each proposed year of the project. For **Comprehensive Services** sites, this should include the Project Director and one other key staff person; for **Supplemental/Specialized Services**, this should include one key staff person. For budgeting purposes, applicants from the West Coast and Midwest should budget for these meetings to be held in Washington, D.C. Applicants from the East Coast should budget for these meetings to be held on the West Coast.

In addition to these amounts, all applicants under the *services* solicitation should set aside 5 percent of budgeted project funds to support a range of ongoing training and technical assistance for program staff and 5 percent of budgeted project funds to support project evaluation. These set asides should be indicated as line-item budget costs to provide flexibility and resources so that award recipients may benefit from training, technical assistance, and evaluation activities to develop, expand, or strengthen trafficking victim services.

By statute, federal funds may be used to pay up to 75 percent of the total cost of a trafficking victim services or training and technical assistance project. The matching requirement is 25 percent of the total project cost. Applicants should apply the match requirement over and above the total amount requested. For example, if the grant award is \$75,000, the total project cost

would be \$100,000 or \$75,000 divided by 75 percent. The match would therefore be \$25,000 or 25 percent of the total project cost. The match requirement can be in cash or in-kind contributions, or a combination of both. In addition, applicants may not budget any amount of these federal funds to support construction costs.

Selection Procedure

OVC staff will review applications for completeness and basic responsiveness to the individual solicitation. Responsive applications will be forwarded to review panels of individuals with expertise in trafficking in persons, program development, or assessment of training and technical assistance related to victimization issues. The review panelists will rate each application using the selection criteria outlined in the two solicitations. The review panel will then, as a group, make recommendations for awards to the Director of OVC. Final selection will incorporate considerations such as the community setting of applicants (urban, suburban, rural), regional balance, and previous performance on federal grants. The OVC Director will make final award selections and OVC will negotiate the specific terms of all awards. The Assistant Attorney General for the Office of Justice Programs has the ultimate authority to approve awards.

Selection Criteria

Selection criteria for each program is included in the individual program solicitation in **Section I**.

Quality of Previous Performance

Prior to making final selections for funding specific applicants, the Director of OVC and the Assistant Attorney General for the Office of Justice Programs will consider information about the performance of the applicants on previous grants awarded by OVC, OJP, or other federal agencies. Emphasis will be placed on the delivery of complete, responsive products that produced tangible benefits. Applicants who failed to meet grant deadlines, did not comply with OJP financial requirements, or did not adjust to difficulties by setting revised time/task lines will not be favorably considered for funding.

Administrative Requirements

Single Points of Contact Review

Executive Order No. 12372 requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the state single point of contact (POC), if one exists, and if this program has been selected for review by the state. **The Services for Trafficking Victims Discretionary Grant Program is excluded from coverage under Executive Order No. 12372.**

Assurances

This package includes a list of assurances that the applicant must comply with to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

Prohibition of Supplanting

Federal funds must be used to supplement existing funds for program activities and may not replace (supplant) nonfederal funds that have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and auditing. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

List of Federal Efforts

All applicants are requested to provide the following information in their applications:

- # Active federal grant awards from OJP bureaus or program offices, the Office of Community Oriented Policing Services, or other federal agencies supporting efforts related to serving trafficking victims. For each active award, the program/project title; the federal grantor agency; the federal award amount; and a very brief description of its purpose must be included.

- # Information on any pending application(s) for federal money supporting efforts related to serving trafficking victims and how these would be coordinated with the funding sought for this application.

The list of federal efforts should be included in attachments or appendixes to the grant application and is not counted as part of the 20-page narrative limit.

Purchase of American-Made Equipment and Products

Congress conveyed through the FY 1997 Appropriation Act that, to the greatest extent practicable, all equipment and products purchased with grant funds should be American made.

Human Subject Research and Confidentiality Compliance

Generally, OVC does not fund projects that conduct research. DOJ is a signatory to the federal policy on protection of human subjects of research, the “Common Rule.” DOJ’s incorporation of the Common Rule is set forth in 28 Code of Federal Regulations (CFR) Part 46, Protection of Human Subjects, which requires that research involving human subjects be submitted to an independent review board for approval and that informed consent procedures be followed. The policies set forth in 28 CFR Part 46 apply to all research involving human subjects conducted, supported, or otherwise subject to regulation by any federal department or agency that has adopted the Common Rule. Federal funds may not be expended for research involving human subjects unless the requirements of this policy have been satisfied, if the research is not covered by an exemption set forth in 28 CFR section 46.101(b)(1).

The applicant must indicate in its application whether the project or activity includes research that may involve human subjects, as defined in 28 CFR Part 46.

National Environmental Policy Act (NEPA) Compliance

All federal grant funds recipients are required to assist the sponsoring federal agency to comply with the National Environmental Policy Act (NEPA) and with other related federal environmental impact analysis requirements. Services for Trafficking Victims funds may not be used for construction costs; however, grantees may be planning building construction or renovations with its funds or monies from third parties that relate to the use of the requested funds from OVC. In submitting an application for funding, applicants understand and agree that the assistance they may have to provide includes submitting specific information about any site proposed for construction or renovation and any activities subject to an environmental impact review. OVC and OJP will work with an applicant to meet all assessment requirements. To accomplish this, the applicant is required to inform OVC if the applicant must perform for any of its proposed activities an environmental impact analysis under a state or local requirement, or if a federal agency is conducting an environment impact analysis. Additionally, if the applicant is anticipating any related new construction, renovation, or remodeling of a property that (1) is listed on or eligible for listing on the National Register of Historic Places; (2) is located within a 100-year flood plain; or (3) would undergo a change in its basic prior use or a significant change in size, then the applicant should contact Diane Wells, OVC’s NEPA Coordinator at 202-616-1860 or e-mail diane@ojp.usdoj.gov to determine what additional information OVC requires.

Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

The applicant must agree to the Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements forms. The applicant must agree to comply with the following requirements:

- # **Lobbying.** The applicant and its subgrantees, contractors, and subcontractors will not use federal funds for lobbying and will disclose any lobbying activities.

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- # **Debarment**. The applicant and its principals have not been debarred or suspended from federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification, destruction of records, making false statements, or receiving stolen property; and, have not had a public transaction terminated for cause or default.

 - # **Drug-Free Workplace**. The applicant will or will continue to provide a drug-free workplace. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR Part 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact on which the U.S. Department of Justice will rely in making award.

Civil Rights Compliance

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. If a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs. To understand applicable legal and administrative requirements, all applicants should consult the Assurances contained in the appendix.

Program Access

OVC is committed to ensuring the **equal** access of diverse and underserved populations to the criminal justice system and to victim services. Underserved victims may be defined not just by the types of crimes experienced, but by their age, gender, level of English proficiency, disability status, sexual orientation, national origin or ethnicity, race, or residence in an inner city, rural, or remote area. OVC requires applicants for discretionary funding to consider victims' individual needs, and design project proposals that ensure that resulting products and services are appropriate, accessible, and respectful of victims' autonomy and dignity.

Publications

OVC has developed an *OVC Publishing Guidelines Handbook* (March 2002) to guide grantees in developing products for publication through OVC's discretionary grant program. The guide is available on OVC's Web site at www.ojp.usdoj.gov/ovc/publications/welcome.html or call Yvonne Jones at 202-616-3566.

Applicants for the training and technical assistance solicitation should note that final drafts of publications developed under grant funding must be submitted to OVC 120 days prior to the end of their grant period. This allows OVC time to submit the publication to an internal review, an external review, and a review by other Department of Justice components. If the grantee fails to provide final drafts

within this time period, the OVC Director will consider requests for no-cost extensions to the grant period on a case-by-case basis, but no additional funds will be made available to the grantee if OVC requires the grantee to make substantive changes to the publication.

In most instances final publications will be printed by OVC and disseminated through the OVC Resource Center. **Only a small printing budget will be approved for grantees who develop materials that must be “pilot tested” prior to the completion of the grant.** Applicants should build the 120 days publication review period deadline into their grant time/task lines.

In cases where grantees disseminate their findings through a variety of media, such as books, professional journals, and conferences, the grantee should send copies of such publications to the OVC grant monitor as they become available, even if they appear well after a project expires. OVC imposes no restriction on these types of publications and their dissemination other than the following mandatory acknowledgment and disclaimer on the product:

This project publication was supported by grant number _____ from the Office for Victims of Crime. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Grants Versus Cooperative Agreements

For these Services for Trafficking Victims solicitations, OVC will award cooperative agreements instead of grants. Cooperative agreements are used when substantial collaboration is anticipated between OVC and the award recipient during performance of the proposed activities. For example, OVC’s involvement might include participating as advisory group members, identifying and recommending resources to support project goals and objectives, and editing draft materials.

Grantee Responsibilities

Award recipients and project directors assume certain responsibilities as part of their participation in Government-sponsored grant programs. Designed to help grantees meet these responsibilities, OVC’s monitoring activities are based on good communication and open dialogue conducted amicably with mutual respect. Some elements of this dialogue follows:

- # Frequent, open communication with OVC in the early stages of the grant as the project design develops and becomes operational.
- # Timely communication with OVC regarding developments that might affect the project’s compliance with schedules, activities, and products set forth in the proposal.
- # Communication with other OVC grantees who are conducting related training, technical assistance, and demonstration projects. The applicant should anticipate either a postaward meeting with the OVC program monitor or an OVC meeting for discretionary grantee. For these meeting costs, applicants outside the Washington, DC, metropolitan area should budget \$1,000

for each year of the grant.

- # Compliance with OVC requests for brief descriptions of the project and its activities whenever OVC needs such information to report to Congress. OVC will provide as much advance notification of these requests as possible, but will expect a timely response from grantees. OVC will accept such requested information through electronic media.
- # Provision of project information to OVC at conferences, meetings, and elsewhere.
- # Provide OVC prepublication copies of articles; provide OVC notice of interviews based on the project that will appear in print or other media, either during or after the life of the grant.
- # Meet OVC staff and present up-to-date reports on project activities. If this is anticipated, include relevant travel costs in the budget.

Grantees are expected to complete project activities and deliverables within the time frames agreed upon by OVC and the grantee. OVC recognizes legitimate reasons for project extensions. However, OVC does **not** consider legitimate time delays that occur because the grantee assumed additional projects that impinge upon previously committed time. Any grantee who anticipates a delay must contact the assigned OVC grant monitor to negotiate a new due date. The grantee must submit a revised time/task line for the extended project. Projects with unreasonable delays may be terminated administratively, which may result in withdrawal of any remaining funds from the grantee. Thereafter, application for funds from the project director or the recipient institution will be subject to strict scrutiny and may be denied based on partial failure to meet minimum standards.

Reporting Requirements

Reports

- # The **Financial Status Report** (SF 269-A) is due quarterly, no later than the 45th day following the end of each calendar quarter. A report must be submitted every quarter in which the award is active, even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. Future awards and fund drawdowns will be withheld if the financial status reports are delinquent.
- # The **Single Audit Report** is an organizationwide financial and compliance audit report that must be filed by recipients who expend \$300,000 or more of federal funds during their fiscal year. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards.
- # The **Semiannual Progress Report** must be submitted by recipients of funding. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, the significant results, and any products developed under the award, is due 120 days after the end date of the award. Report format will be provided to the recipient by the Office of Justice Programs. Future awards and fund drawdowns may be withheld if the progress reports are delinquent.

Suspension or Termination of Funding

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- # Failure to comply substantially with the requirements or statutory objectives of the Trafficking Victims Protection Act of 2000, or other provisions of federal law.
- # Failure to make satisfactory progress toward the goals and strategies set forth in the application.
- # Failure to adhere to the cooperative agreement's requirements, standard conditions, and special conditions.
- # Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- # Filing a false certification in this application or other report or document.
- # Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problems. Hearing and appeal procedures will follow those in Department of Justice regulations described in 29 CFR Part 18.

Forms Appendix

- # Application for Federal Assistance (SF 424)
- # Instructions for Completion of the Application for Federal Assistance (SF 424)
- # Sample Application for Federal Assistance (SF 424)
- # Budget Detail Worksheet (OJP Form 7150/1)
- # Sample Budget Detail Worksheet (OJP Form 7150/1)
- # Assurances (OJP Form 4000/3)
- # Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (OJP Form 4061/6)
- # Disclosure of Lobbying Activities (SF Form LLL)
- # Single Audit Act Information
- # Civil Rights Information
- # Accounting System and Financial Capability Questionnaire (OJP Form 7120) **Complete this form only if you are a new nonprofit organization and have not received Office of Justice Programs grant funds in the past.**

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED 3. DATE RECEIVED BY STATE 4. DATE RECEIVED BY FEDERAL AGENCY	Applicant Identifier State Application Identifier Federal Identifier
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5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> - <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div>	7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____
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8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____	9. NAME OF FEDERAL AGENCY: _____
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10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div>	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: _____
TITLE:	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): _____	

13. PROPOSED PROJECT: Start Date: _____ Ending Date: _____	14. CONGRESSIONAL DISTRICTS OF: a. Applicant: _____ b. Project: _____
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15. ESTIMATED FUNDING: <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">a. Federal</td> <td style="width:15%;">\$</td> <td style="width:15%; text-align: right;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> </table>	a. Federal	\$.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$.00																				
b. Applicant	\$.00																				
c. State	\$.00																				
d. Local	\$.00																				
e. Other	\$.00																				
f. Program Income	\$.00																				
g. TOTAL	\$.00																				
	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																					

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	

Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies. This form contains 18 different items, which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	Type of Submission: If this proposal is not for construction or building purposes, check “Non-Construction”.
2	Date Submitted: Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any. If your jurisdiction does not assign an identifier number, leave this space blank.
3	Date Received by State: Leave blank. This block is completed by the State single point of contact, if applicable.
4	Date Received by Federal Agency: This item will be completed by OJP.
5	Applicant Information: The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact, and include their telephone number.
6	Employer Identification Number: Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	Type of Applicant: Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	Type of Application: Check either “new” or “continuation”. Check new if this will be your first award for this purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, that was begun under a prior award.
9	Name of Federal Agency: Type in the name of the awarding agency, such as “Bureau of Justice Assistance”.
10	Catalog of Federal Domestic Assistance Number: This would be contained in the program announcement. An example would be 16.____.
11	Descriptive Title of Applicants Project: Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U. S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex: 10/1/95 - 9/30/96.
12	Areas Affected by Project: Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	Proposed Project Dates: Fill in the proposed begin and end dates of the project.
14	Congressional Districts: Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
15	Estimated Funding: In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will available to the project and the source of those funds on lines “b-f,” as appropriate.
16	State Executive Order 12372: Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application.
17	Delinquent Federal Debt: This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	Authorized Representative: Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as “original” to help identify the original.

**APPLICATION FOR
FEDERAL ASSISTANCE**

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Preapplication Construction <input checked="" type="checkbox"/> Non-Construction <input type="checkbox"/> Preapplication Non-Construction		2. DATE SUBMITTED 06/01/02	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name: JUSTICE COALITION FOR ALL		Organizational Unit: RURAL SERVICES DEPARTMENT	
Address (give city, county, State, and zip code): 1235 VICTIM ASSISTANCE ROAD, SUITE 200 JUSTICE CITY, NEW YORK 12356-7840		Name and telephone number of person to be contacted on matters involving this application (give area code) MR. JAMES Q. PUBLIC, DIRECTOR (212) 456-9876	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 1 2 — 3 4 5 6 7 8 9		7. TYPE OF APPLICANT: (enter appropriate letter in box) <div style="text-align: right; border: 1px solid black; width: 20px; height: 20px; display: inline-block; text-align: center; line-height: 20px;">N</div>	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____		A. State H. Independent School Dist. B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Intermunicipal M. Profit Organization G. Special District N. Other (Specify)NON-PROFIT ORG	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: Crime Victim Assistance/ TITLE: Discretionary Grant Program		9. NAME OF FEDERAL AGENCY: OFFICE FOR VICTIMS OF CRIME	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): NATIONAL		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: RURAL LAW ENFORCEMENT PROJECT <i>Name of Audit designated Cognizant Federal Agency</i> Examples: DOJ, HHS, DOL, HUD, DOT, DOI, OR DOA	
13. PROPOSED PROJECT Start Date: 10/01/02 Ending Date: 09/30/03		14. CONGRESSIONAL DISTRICTS OF: a. Applicant: NATIONAL b. Project: NATIONAL	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		200,000 ^{.00}	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. No. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
b. Applicant	\$ 2,500 ^{.00}		
c. State	\$ 1,000 ^{.00}		
d. Local	\$.00 ^{.00}		
e. Other	\$.00 ^{.00}		
f. Program Income	\$.00 ^{.00}		
g. TOTAL	\$ 203,500 ^{.00}		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
a. Type Name of Authorized Representative SUSAN B. FUNDS		b. Title EXECUTIVE DIRECTOR	c. Telephone Number (202) 456-2345
d. Signature of Authorized Representative 		e. Date Signed 07-01-02	

OMB Approval No. 1121-0188
Expires 5-98 (Rev. 12/97)

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
----------------------	--------------------	-------------

TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
----------------------	--------------------	-------------

TOTAL _____

Total Personnel & Fringe Benefits _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
---------------------------------	------------------------	--------------------	---------------------------	--------------------

TOTAL _____

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years. (Note: Organization's own capitalization policy and threshold amount for classification of equipment may be used). Expendable items should be included either in the "Supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
-------------	--------------------	-------------

TOTAL _____

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders and show the basis for computation. (Note: Organization's own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
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TOTAL _____

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
---------	---------------------	------

TOTAL _____

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
--------------------	------------------	-------------	------

Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
-------------	-----------------	--------------------	-------------

Subtotal _____

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
-------------	-------------

Subtotal _____
TOTAL _____

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
-------------	-------------	------

TOTAL _____

I. Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
-------------	-------------	------

TOTAL _____

Budget Summary - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Note: Please break down each of the categories (A-I) into Federal and local share.

<i>Budget Category:</i>	Total:	Federal:	Local:
A. Personnel			
B. Fringe Benefits			
C. Travel			
D. Equipment			
E. Supplies			
F. Construction			
G. Consultants/Contracts			
H. Other Costs			
Total direct costs:			
I. Indirect Costs			

TOTAL PROJECT COSTS

Federal Request:
Non-Federal Amount:

The "Total" amount column should detail total project costs for the trafficking program. The "Federal" amount column should detail the applicant's federal request which can be no more than 75 percent of the total project costs. The "Local" amount column should detail the applicant's match which must be at least 25 percent of the total project's costs.

*Sample Budget Detail
Worksheet*

SAMPLE ONLY

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
<i>Project Director</i>	$\$ 60,000 \times 50\% \times 3 \text{ years}$	$\$ 90,000$
<i>Case Management Coordinator</i>	$\$ 40,000 \times 50\% \times 3 \text{ years}$	$\$ 60,000$
<i>Office Manager</i>	$\$ 30,000 \times 50\% \times 3 \text{ years}$	$\$ 45,000$
<i>Cost of Living Increase</i>	$\$ 65,000 \times 2.5\% \times \text{year } 2$ $\$ 66,625 \times 2.5\% \times \text{year } 3$	$\$ 1,625$ $\$ 1,666$

The Project Director and Case Management Coordinator will devote 50% of their time to developing and implementing the project, including the ongoing development of a comprehensive community network of services for trafficking victims as well as the provision of direct services to trafficking victims on an as needed basis. A 2.5% cost of living adjustment is scheduled for all personnel at the end of the first and second years of the project. The office manager will provide administrative support to this project, including the aggregation of program, service delivery, and evaluation data into the necessary reports. The organization will contribute .2064 percent of total salaries as part of the matching requirement.

TOTAL $\$ 198,291$

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
<i>Employer's FICA</i>	$.0765 \times \$ 198,291$	$\$ 15,169$
<i>Retirement & Health Insurance</i>	$.12 \times \$ 198,291$	$\$ 23,795$
<i>Workman's Compensation & Unemployment Compensation</i>	$.0135 \times \$ 198,291$	$\$ 2,677$

The organization will contribute .2064 percent of total fringe benefits as part of the matching requirements.

TOTAL \$ 41,641 _____

Total Personnel & Fringe Benefits \$ 239,932 _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
<i>Annual Training</i>	<i>Wash. DC</i>	<i>Airfare</i>	<i>2 staff x 500 x 3 years</i>	<i>\$ 3,000</i>
		<i>Hotel</i>	<i>2 staff x \$150/night x 3 nights x 3 years</i>	<i>\$ 2,700</i>
		<i>Per Diem</i>	<i>2 staff x \$46/daily x 3 days x 3 years</i>	<i>\$ 828</i>
		<i>Local Transportation</i>	<i>2 staff x 4 trips x \$20 per training x 3 years (to and from home/local airport and DC airport/hotel)</i>	<i>\$ 480</i>
<i>OVC Grantee Meeting</i>	<i>Wash. DC</i>	<i>Airfare, Hotel, Per Diem</i>	<i>Amount Designated by OVC (\$1,000 annually x 3 years)</i>	<i>\$ 3,000</i>
<i>OJP OC Financial Management Training</i>	<i>San Diego</i>	<i>Airfare</i>	<i>1 staff x \$200 x 1 year</i>	<i>\$ 200</i>
		<i>Hotel</i>	<i>1 staff x \$99/daily x 2 nights</i>	<i>\$ 198</i>
		<i>Per Diem</i>	<i>1 staff x \$46/daily x 3 days</i>	<i>\$ 138</i>
		<i>Local Transportation</i>	<i>1 staff x 4 trips x \$20 trip (to & from home/local airport & SD airport/hotel)</i>	<i>\$ 80</i>

The above three items are costs required by OVC to be included in this budget. For the annual and the OJP OC Financial Management training, lodging and per diem are based on the current Federal per diem rate. Air fare costs are based on actual airfare costs. 2 staff (project director and other key staff member) are required to attend an annual training under the comprehensive services solicitation. One staff person will attend the OJP OC Financial Management Training and expenses were calculated for attendance at the San Diego site, as that is the closest location to San Francisco. Amount of funding to attend an annual OVC Grantee Meeting was determined by OVC as a required set-aside amount.

TOTAL \$ 10,624

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years. (Note: Organization's own capitalization policy and threshold amount for classification of equipment may be used). Expendable items should be included either in the "Supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category.

Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
<i>Computer, printer & software</i>	<i>100% of equipment use will be dedicated to the trafficking services program</i>	<i>\$ 2,500</i>

Computer, printer, and software will support the case management, data collection, and evaluation activities of the trafficking services program. Agency's procurement and capitalization policy will be used for the computer equipment.

TOTAL \$ 2,500

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders and show the basis for computation. (Note: Organization's own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
<i>Office Supplies</i>	<i>\$50/month x 36 months</i>	<i>\$ 1,800</i>
<i>Postage</i>	<i>\$20/month x 36 months</i>	<i>\$ 720</i>

Office supplies and postage are needed for the general operation of the program.

TOTAL \$ 5,020

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
----------------	----------------------------	-------------

THERE ARE NO CONSTRUCTION COSTS FOR THIS PROJECT

TOTAL \$ -0-

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
<i>Jane Doe</i>	<i>Training on community coalition building</i>	<i>3 days @ \$450 daily</i>	<i>\$ 1,350</i>

Applicant agency's formal, written procurement policy is used for consultant reimbursement but does not exceed the \$450 daily consultant rate limit established by the Office of Justice Programs. 3 days of consulting costs are allowed; one day for preparation time including obtaining information about the community before the training and two days for delivery of the on-site training.

Subtotal **\$ 1,350**

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
<i>Airfare</i>	<i>San Francisco</i>	<i>1 Trainer (Jane Doe)</i>	<i>\$500</i>
<i>Hotel</i>	<i>San Francisco</i>	<i>1 Trainer (Jane Doe) x 2 nights x \$519/night</i>	<i>\$318</i>
<i>Per diem</i>	<i>San Francisco</i>	<i>1 Trainer (Jane Doe) x 3 days x \$46/day</i>	<i>\$138</i>
<i>Local Transportation</i>	<i>(to/from NYC & San Francisco airports)</i>	<i>4 trips x 20 each trip each</i>	<i>\$ 80</i>

Trainer consultant Jane Doe is based in New York City and will travel to San Francisco to deliver training. Airfare costs are based on actual costs and hotel and per diem are based on Federal per diem rates.

Subtotal **\$ 1,036**

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
<i>Interpreter services, including "on-call foreign language and sign language services for the organization and other providers in the community service network.</i>	<i>\$ 25,000</i>

The agency's formal, written procurement policy will be utilized to obtain services in the most cost-effective manner.

Subtotal **\$ 25,000**

TOTAL **\$ 27,386**

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
<i>Office rent</i>	<i>400 sq. ft. x \$1.25 sq. ft. \$500 x 36 months</i>	<i>\$ 18,000</i>
<i>Phone</i>	<i>\$50/month x 36 months</i>	<i>\$ 1,800</i>
<i>Victim Services</i>	<i>See below</i>	<i>\$150,000</i>
<p>Victim Services computation: 50 victims annually x 10 days of service for each victim x 3 years = 1500 days of service at \$100 daily. The \$100 daily rate represents an anticipated average of two units of service daily from such services as medical care, mental health counseling, housing, job skills training, and legal services that will be provided by the community organizations identified in the letter of intent and not by this applicant organization. For each unit of service (such as medical clinic visit, overnight stay in a shelter, or day of skills training), the providing community organization will charge \$50 but will contribute \$25 in services and receive financial reimbursement of \$25. It is anticipated that \$100 daily will cover expenses, as not every service will be needed, or needed daily, by every victim). The value of services provided by community providers will make up part of the matching requirement of this grant program.</p>		
<i>Evaluation Costs</i>	<i>5% of identified costs (\$452,762 x 5%)</i>	<i>\$ 22,638</i>
<i>Training Costs</i>	<i>5% of identified costs (\$452,762 x 5%)</i>	<i>\$ 22,638</i>

The 5 percent set-aside for training and evaluation costs are requirement of the OVC solicitation for services and the calculation of 5 percent for each is added to the line items of the budget.

TOTAL \$ 215, 076

I. Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
--------------------	--------------------	-------------

THERE ARE NO INDIRECT COST RATES FOR THIS PROJECT

TOTAL \$ -0-

Budget Summary - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Note: Please break down each of the categories (A-I) into Federal and local share.

Budget Category	Total:	Federal:	Local:
A. Personnel	\$198,291	\$157,384	\$ 40,907
B. Fringe	\$ 41,641	\$ 33,039	\$ 8,602
C. Travel	\$ 10,624	\$ 10,624	-0-
D. Equipment	\$ 2,500	\$ 2,500	-0-
E. Supplies	\$ 2,520	\$ 2,520	-0-
F. Construction	\$ -0-	-0-	-0-
G. Consultants	\$ 27,386	\$ 27,386	-0-
H. Other	\$215,076	\$140,076	\$ 75,000
Total Direct Costs:	\$498,038	\$373,529	\$124,509
I. Indirect Costs	-0-	-0-	-0-
TOTAL PROJECT COSTS:	\$498,038	\$373,529	\$124,509
Federal Request:	\$373,529		
Non-Federal Amount:	\$124,509		

The “Total” amount column should detail total project costs for the trafficking project. The “Federal” amount column should detail the applicant’s federal request which can be no more than 75 percent of the total project costs. The “Local” amount column should detail the applicant’s match which must be at least 25 percent of the total project’s costs.



ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-87, A-110, A-122, A-133; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally - assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569 a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature _____

Date _____



U.S. Department of Justice
Office of Justice Programs
Office of the Comptroller

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510--

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connec-

tion with a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620--

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about--

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant,

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 810 7th Street, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted--

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ___ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ___ if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620--

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
---	---	--

4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime: Congressional District, if known: _____
---	---

6. Federal Department/Agency: Congressional District, if known: _____	7. Federal Program Name/Description: CFDA Number, if applicable: _____
---	--

8. Federal Action Number, if known: _____	9. Award Amount, if known: \$ _____
--	---

10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): _____	b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI): _____
--	--

11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
---	--

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

(Detach and submit with application)

Single Audit Act Information

Application must provide the following information as required by OMB Circular No. A-133
“Audit of States, Local Governments, and Non-Profit Organization”.

Period of Fiscal Year _____
(Example: 07/01/95-06/30/96 or 10/30/95-09/30/96)

Name and Address of designated Cognizant Federal Agency
(Example: HHS, DOL, HUD, DOJ, DOI, DOJ, Agriculture)

Name

Title

Address

City, State, and ZIP Code

(Detach and submit with application)

Civil Rights Information

List below the name, title, address, and telephone number of the civil rights contact person who has lead responsibility for ensuring that all applicable civil rights requirements are met and who acts as liaison in civil rights matters with the Office of Civil Rights for the Office of Justice Programs.

Name

Title

Address

City, State, and ZIP Code



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS

ACCOUNTING SYSTEM AND FINANCIAL CAPABILITY QUESTIONNAIRE

SECTION A: PURPOSE

The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria as outlined in the OJP guideline manual entitled, "Financial and Administrative Guide for Grants."

- (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant, for each action program covered by a State's grants and for each subgrant awarded by the State.
- (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
- (3) The accounting system should provide accurate and current financial reporting information.
- (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

SECTION B: GENERAL

1. If your firm publishes a general information pamphlet setting forth the history, purpose and organizational structure of your business, please provide this office with a copy; otherwise, complete the following items:

a. When was the organization founded/ incorporated? (<i>month, day, year</i>)	b. Principal Officers	Titles
c. Employer Identification Number:	_____	_____
d. Number of Employees Full Time: Part Time:	_____	_____

2. Is the firm affiliated with any other firm? <input type="checkbox"/> Yes <input type="checkbox"/> No If "yes", provide details:	3. Total Sales/Revenues in most recent accounting period. (<i>12 months</i>) \$
---	--

SECTION C: ACCOUNTING SYSTEM

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? YES NO

a. If yes, provide name and address of Agency performing review:	b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.
Note: If review occurred within the past three years, omit questions 2-9 of this Section and Section D.	

2. Which of the following best describes the accounting system? Manual Automated Combination

3. Does the organization use a double-entry system in accounting for program funds? Yes No Not Sure

4. Does the accounting system identify the receipt and expenditures of program funds separately for each contract/grant? Yes No Not Sure

5. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget? Yes No Not Sure

6. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective? Yes No Not Sure

7. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses? Yes No Not Sure

8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

a. Total funds available for a grant?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc.)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure

9. Is the firm generally familiar with the existing regulations and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with Federal contracts/grants? Yes No Not Sure

SECTION D: FUND CONTROL

1. Is a separate bank account maintained for grant/contract funds? Yes No Not Sure
2. If Federal grant/contract funds are commingled with organization funds, can the Federal grant funds and related costs and expenses be readily identified? Yes No Not Sure
3. Are the officials of the firm bonded? Yes No Not Sure

SECTION E: FINANCIAL STATEMENTS

1. Did an independent certified public accountant (CPA) ever examine the financial statements? Yes No
2. If an independent CPA review was performed please provide this office with a copy of their latest report and any management letters issued. Enclosed N/A
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:

4. If an independent CPA has never examined your financial statements, please develop and provide this office with a copy of the following financial statements:
- a. A detailed "Balance Sheet" for the most current and previous year; and
 - b. A detailed "Income Statement" for the most current and previous year.

SECTION F: ADDITIONAL INFORMATION

1. Use this space for any additional information (*indicate section and item numbers if a continuation*)

SECTION G: APPLICANT CERTIFICATION

I certify that the above information is complete and correct to the best of my knowledge.

- | | |
|--------------|---|
| 1. Signature | b. Firm Name, Address, and Telephone Number |
| a. Title | c. Application Identifier Number |

SECTION H: CPA CERTIFICATION

The purpose of the CPA certification is to assure the Federal agency that the recipient can establish fiscal controls and accounting procedures which assure that Federal and State/local funds available for the conduct of the grant programs and projects are disbursed and accounted for properly.

- | | |
|--------------|---|
| 1. Signature | b. Firm Name, Address, and Telephone Number |
| a. Title | |

PUBLIC REPORTING BURDEN FOR THIS COLLECTION OF INFORMATION IS ESTIMATED TO AVERAGE 4 HOURS PER RESPONSE, INCLUDING THE TIME FOR REVIEWING INSTRUCTIONS, SEARCHING EXISTING DATA SOURCES, GATHERING AND MAINTAINING THE DATA NEEDED, AND COMPLETING AND REVIEWING THE COLLECTION OF INFORMATION. SEND COMMENTS REGARDING THIS BURDEN ESTIMATE OR ANY OTHER ASPECTS OF THIS COLLECTION OF INFORMATION, INCLUDING SUGGESTIONS FOR REDUCING THIS BURDEN, TO THE OFFICE OF THE COMPTROLLER, OFFICE OF JUSTICE PROGRAMS, U.S. DEPARTMENT OF JUSTICE, WASHINGTON, D.C. 20531; AND TO THE PUBLIC USE REPORTS PROJECT, 1121-0021, OFFICE OF INFORMATION AND REGULATORY AFFAIRS, OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, D.C. 20503.

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

**Office for Victims of Crime
Services for Trafficking Victims
Discretionary Grant Application Kit**

For copies of this publication and/or additional information, please contact:

Office for Victims of Crime Resource Center (OVCRC)

P.O. Box 6000
Rockville, Maryland 20849-6000
Telephone: 1-800-627-6872 or 301-519-5500
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Refer to publication number — **SL 000571**

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

Washington, DC 20531

Official Business
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