



April 9, 2015

To: COMMUNITY-BASED ORGANIZATIONS

Subject: MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM FISCAL YEAR 2015/16 REQUEST FOR PROPOSAL

The California Governor's Office of Emergency Services (Cal OES), Criminal Justice/Emergency Management & Victim Services Branch, is soliciting proposals for the Minor Victims of Human Trafficking (MT) Program for the 2015/16 fiscal year (FY).

The purpose of the MT Program is to provide comprehensive treatment services to minors who have been victims of human trafficking. Comprehensive treatment services must meet the standards described in California Penal Code (PC) Section 13837. This Program is limited to community-based organizations that serve minor victims of human trafficking.

Funds for the MT Program are supported by the Child Victims of Human Trafficking Fund. The Child Victims of Human Trafficking Fund is authorized by Assembly Bill (AB) 764, (Swanson 2011) which allowed for individual taxpayer contributions to be transferred to the Child Victims of Human Trafficking Fund. Two proposals will be selected for funding and receive an annual allocation of up to \$125,000 for each year of the three-year funding cycle, beginning July 1, 2015, and ending June 30, 2018. Each grant period will be for twelve months. The first grant period begins July 1, 2015, and ends June 30, 2016. A non-competitive reapplication for continuation funding must be submitted for the second and third year of funding cycle.

Proposals will be rated and ranked competitively. Applicants should read this Request for Proposal (RFP) carefully to ensure proposals contain required elements. Please refer to the RFP for the proposal due date and submission options.

For questions pertaining to submitting an application, please contact Claire Wimbley-Brown, Program Specialist, via e-mail at claire.wimbley-brown@caloes.ca.gov.

PLEASE NOTE: Due to the changes in the new Super Circular 2 CFR. 200, the 2015 Recipient Handbook (RH) will not be released until the Spring of 2015. Until that time, you may continue to use the 2014 RH. However, some changes that will eventually be included in the 2015 RH were made to this document; therefore this document supersedes the 2014 RH.

Sincerely,

A handwritten signature in black ink, appearing to read "Mark S. Ghilarducci". The signature is fluid and cursive, with a long horizontal flourish extending to the right.

MARK S. GHILARDUCCI
Director

MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

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MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

PART I – OVERVIEW

- A. INTRODUCTION
 - B. CONTACT INFORMATION
 - C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS
 - D. ELIGIBILITY
 - E. FUNDS
 - F. PROGRAM INFORMATION
-

A. INTRODUCTION

This Request for Proposal (RFP) provides the information and forms necessary to prepare a proposal for California Governor’s Office of Emergency Services (Cal OES) grant funds. The terms and conditions described in this RFP supersede previous RFPs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and is accessible on our website at www.caloes.ca.gov. Scroll over the “Grants and Funding” tab, select “Public Safety & Victim Services,” then select “Handbooks, Reports & Publications.”

B. CONTACT INFORMATION

Questions concerning this RFP, the proposal process, or programmatic issues should be submitted in writing by e-mail to:

Claire Wimbley-Brown, Program Specialist
Children’s Unit
Claire.Wimbley-brown@caloes.ca.gov

Cal OES staff cannot assist the Applicant with the actual preparation of their proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, Cal OES can only respond to technical questions about the RFP.

C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS

One original and three copies of the proposal must be delivered to Cal OES’ Criminal Justice/Emergency Management & Victim Services Branch by the date and time indicated below. **A late proposal will be deemed ineligible for funding.** Submission options are:

Regular or overnight mail, postmarked by **Tuesday, May 26, 2015, OR** hand-delivered by 5:00 p.m. on **Tuesday, May 26, 2015**, to:

California Governor’s Office of Emergency Services
Criminal Justice/Emergency Management & Victim Services Branch
3650 Schriever Avenue
Mather, CA 95655
Attn: MINOR VICTIMS OF HUMAN TRAFFICKING – Children’s Unit

D. ELIGIBILITY

To be eligible for funding for the MT Program, Applicants must meet the following requirements:

1. Be a community-based organization (CBO) that can demonstrate a history of providing, at a minimum, at least two years of quality comprehensive treatment services to minor victims of human trafficking that meets the standards described in California PC Section 13837 and that provide direct services to minor victims of human trafficking. For the purpose of this Program, a minor is defined as a child between the ages of 2-17 years of age;

California PC Section 13837 states Cal OES shall provide grants to proposed and existing child sexual exploitation and child sexual abuse victim counseling center and prevention programs, including programs for minor victims of human trafficking. Applicants shall provide appropriate in-person counseling and referral services during normal business hours and maintain other standards or services set forth by the State Advisory Committee (SAC) on Sexual Assault Victim Services;

2. Dedicate or hire, at a minimum, a half-time clinician or increase the time of an existing clinician by half-time, to provide quality comprehensive treatment services to minor victims of human trafficking;
3. Demonstrate an ability to receive and make use of any funds available from governmental, voluntary, philanthropic, or other sources which may be used to augment these funds;
4. Receive at least a minimum score of 270 points;
5. Be in good standing with all state and federal agencies with which they have an existing grant. Where appropriate, all Applicants must hold current state licenses and certifications; and
6. Submit with the proposal a Data Universal Numbering System (DUNS) and Center Contractor Registration (CCR) number to be considered for funding. The Federal Funding Accountability and Transparency Act (FFATA) of 2006 requires the use of the DUNS number and CCR as unique identifiers for each entity receiving a federal award or subaward. Applicants without a DUNS number(s) and CCR registration will be incomplete.

E. FUNDS

1. Funding Source

The MT Program is supported by the Child Victims of Human Trafficking Fund. The Child Victims of Human Trafficking Fund is authorized by AB 764 (Swanson 2011), which allows for individual taxpayer contributions to be transferred to the Child Victims of Human Trafficking Fund. Funding for the MT Program is contingent upon the passage of the State Budget Act

2. Grant Award Period

Applicants selected will be funded for a three year period. The first grant period will begin July 1, 2015 and end June 30, 2016. The second year grant period will begin July 1, 2016 and end June 30, 2017. The third and final year of funding will begin July 1, 2017 and end June 30, 2018.

3. Funding Amount and Match Requirement

There is approximately \$700,000 available over the three year funding cycle in which it is the intention of Cal OES to fund two applicants at approximately \$125,000 each for three years. If the funds received fall short of \$750,000, the two applicants will receive a lessor amount in year three.

AB 764 sunsets in FY 2015, and any residual deposits received in FY 2016 will be awarded to the two successful projects equitably.

There is no match requirement for this Program.

4. Restrictions/Guidelines

The Child Victims of Human Trafficking funds are state funds and guided by the standards set forth in California PC Sections 13836 & 13837. Applicants must use the funds to provide services to minor victims of human trafficking.

Applicants must not charge minor victims of human trafficking for services provided under the Program.

Selection Criteria

The MT Program is guided by the standards set forth by the State Advisory Committee (SAC) on Sexual Assault Victim Services, the SAC will make funding recommendations based on the review team. Final funding decisions will be made by the Director of Cal OES.

F. PROGRAM INFORMATION

1. Background Information

Human trafficking is a modern form of slavery. It involves exploiting a person through force, fraud, or coercion for the purpose of forced labor, commercial sex, or both.

The International Labour Organization estimated, in 2012, that children represented 26 percent (or 5.5 million) of the 20.9 million victims worldwide. Both U.S. citizens and foreign national children are trafficked for sex or labor in the United States. In fact, many child victims of human trafficking are students in the American school system. School administrators and staff need to be aware that cases of child trafficking are being reported in communities throughout the nation. No community – urban, rural, or suburban – school, socioeconomic group, or student demographic is immune.

Few crimes are more abhorrent than child trafficking, and few crimes are more challenging for communities to recognize and address. For many people, the reality of trafficking in their community is difficult to comprehend, let alone confront.

To address the problem of human trafficking in California, the California Legislature enacted, in September of 2005, its first anti-trafficking law (Assembly Bill 22, Lieber) to make human trafficking a felony in this State.

Under this Program, a victim of trafficking is defined as a person under the age of 18 who has been subjected to a "severe form of trafficking in persons," which as defined in 22 U.S.C. 7102(9), means:

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

To further aid in addressing the problem of human trafficking in California, AB 764 (Swanson 2011) was passed and authorization was given to Cal OES to receive the "Child Victims of Human Trafficking Fund". AB 764 allows for an individual taxpayer to contribute a portion of their tax return to the Child Victims of Human Trafficking Fund.

It is Cal OES' intent to further aid in addressing the problem of human trafficking in California by providing funding to CBOs to assist them in protecting the lives of minor victims of human trafficking by providing comprehensive treatment services.

2. Program Purpose

The purpose of the MT Program is to provide funding to applicants to provide appropriate in-person counseling and referral services to minor victims of human trafficking. Funds awarded by this Program are intended to be used to support the cost of direct services that aid in the safety and stability of minor victims of human trafficking. Service providers will be expected to serve minor victims of all forms of human trafficking within their specified county and/or service area(s). The following mandatory services, as set forth by the SAC, must be provided during normal business hours, which are defined as Monday-Friday, 8:00 a.m. to 5:00 p.m:

- Crisis intervention, 24-hours per day, seven days per week;
- Follow-up counseling services;
- In-person counseling, including group counseling;
- Accompaniment services;
- Advocacy services;
- Information and referral services to victims and the general public; and
- Community information/education presentations.

3. Mandatory Objectives

The Applicant must provide the following services to minor victims of human trafficking:

a. Crisis Intervention

Crisis intervention services must be provided 24-hours per day, seven days per week.

Intervention is any in-person or telephone contact with a client who, at any time, has been negatively affected or is in emotional crisis as a result of a crime or potential crime. After victimization, when the client is in need of crisis counseling the center shall provide the necessary intervention services and arrange for the provision of needed services by local service agencies, as frequently as needed.

b. Follow-up Counseling Services

In-person contacts, telephone contacts, and written communications with minor victims of human trafficking to offer emotional support, provide empathetic listening, check on a victim's progress, etc.

c. In-person Counseling Services, Including Group Counseling

In-person crisis intervention, emotional support, guidance and counseling provided by advocates, counselors, mental health professionals, or peers. Such counseling may occur at the scene of the crime, immediately after a crime, or be provided on an ongoing basis.

d. Accompaniment

Supporting minor victims of human trafficking by being physically present during meetings or appointments.

e. Advocacy

Assisting minor victims of human trafficking in securing rights, remedies, and services from other agencies; locating emergency financial assistance; intervening with employers, creditors, and others on behalf of the victim; assisting in filing for losses covered by public and private insurance programs including Workman's Compensation, unemployment benefits, welfare, and accompanying the victim to the hospital, etc.

f. Information and Referral to Minor Victims of Human Trafficking

In-person contacts with minor victims of human trafficking during which time services and available support are identified.

g. Community Education Presentations

- 1) Applicants must provide planned community education programs (e.g. seminars, workshops, presentations, speaking engagements, educational instruction) on human trafficking of minors topics such as: recognizing human trafficking and reporting human trafficking, providing resources to assist minor victims, etc.;
- 2) Community education presentations must be conducted by counselors with knowledge and expertise of human trafficking of minors and, if not, procedures must be established to handle human trafficking disclosures which may occur at these presentations;
- 3) Applicants should provide culturally and ethically relevant community education materials; and
- 4) Applicants should provide linguistically appropriate community education presentations.

Due to the needs of minor victims of human trafficking being complex, often they require a multidisciplinary approach to address severe trauma and medical needs, immigration and other legal issues, safety concerns, shelter, other basic needs, and financial hardship. In addition to providing the mandatory services, the Applicant must either provide the following services to minor victims of human trafficking or have a current Operational Agreement (OA)/Memorandum of Understanding (MOU) with other service providers within the county and/or services area(s) to provide these services:

a. Shelter/Safe House

Offering short and long-term housing and related support services to minor victims of human trafficking and their non-offending family members following victimizations.

b. Criminal Justice Support/Advocacy

Support, assistance, and advocacy provided to minor victims of human trafficking at any stage of the criminal justice process, to include post-sentencing services and support.

c. Emergency Financial Assistance

Providing minor victims of human trafficking with cash layouts for transportation, food, clothing, emergency housing, etc.

d. Assistance in Filing Compensation Claims

Informing minor victims of human trafficking of the availability of crime victim compensation, assisting minor victims in completing the required forms, gathering needed documentation, etc. It also may include follow-up contact with the victim compensation agency on behalf of the victim.

e. Social Services

Providing minor victims of human trafficking with case management, interpretation services, job training and education, employment assistance, transportation, and healthcare services.

f. Legal Services

Assisting minor victims of human trafficking with immigration status, civil and/or criminal case services, witness protection services, family court services, and legal representation, etc.

MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

PART II – RFP INSTRUCTIONS

- A. PREPARING A PROPOSAL
 - B. CERTIFICATION OF ASSURANCE OF COMPLIANCE
 - C. PROJECT NARRATIVE
 - D. PROJECT BUDGET
 - E. PROPOSAL APPENDIX
-

A. PREPARING A PROPOSAL

The instructions in this section correspond to each of the proposal components and to the forms required to complete the proposal.

The Applicant must use the forms provided in Part IV of this RFP or on our website at www.caloes.ca.gov. The forms must be printed on plain white 8½" x 11" paper for the proposal. The Project and Budget Narrative templates provided on the website are formatted to Cal OES standards. If you create your own Project and/or Budget Narrative forms, the format must duplicate the Cal OES templates and not allow for more space than provided by Cal OES. If a space limitation is specified for a component, strict adherence to the space limitation is required.

NOTE: Failure to comply with the spacing/formatting requirements is one of the factors that may negatively impact the Applicant's comprehensive assessment score.

The following eight components are required for a complete proposal:

- Proposal Cover Sheet (included in Part IV)
- Grant Award Face Sheet (Cal OES 2-101)
- Project Contact Information (Cal OES 2-102)
- Signature Authorization and Instructions (Cal OES 2-103)
- Certification of Assurance of Compliance (Cal OES 2-104)
- Project Narrative (Cal OES 2-108)
- Project Budget (Including the Budget Narrative (Cal OES 2-107) and the Budget Forms (Cal OES 2-106 a-b))
- Proposal Appendix (refer to Part II, D)

Click the link below to access Cal OES forms or go to www.caloes.ca.gov, scroll over the "Grants & Funding" tab, select "Public Safety & Victim Services," and then look on the right-hand side for "Forms." Or, paste the following link into your browser:

<http://www.caloes.ca.gov/PublicSafetyandVictimServices/Pages/Forms.aspx>

NOTE: The Applicant must ensure that all information requested by the RFP is included in the appropriate section of the proposal in order to receive credit. Failure to include the required components may result in a reduced score or disqualification. Cal OES will *not* advise the Applicant if the proposal is incorrect and/or incomplete prior to rating or disqualification.

Copies of the proposal must be assembled separately and individually fastened in the upper left corner. **Do not bind the proposal.**

B. CERTIFICATION OF ASSURANCE OF COMPLIANCE (CAL OES FORM 2-104 a-m)

Cal OES is required by law to obtain written certifications of compliance. The Certification of Assurance of Compliance form is a binding affirmation that the Recipient will comply with the following regulations and restrictions:

- State and federal civil rights laws;
- Drug Free Workplace;
- California Environmental Quality Act;
- Federal grant fund requirements;
- Lobbying restrictions;
- Debarment and Suspension requirements; and
- Proof of Authority documentation from the city council/governing board.

C. PROJECT NARRATIVE

The Project Narrative is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the Applicant to implement the proposed plan.

The Project Narrative should be double-spaced using standard 12-point font (Times New Roman); have margins that are 1-inch or wider; and not exceed 15 pages. Pages should be numbered 1 of 15, 2 of 15, etc. If the Applicant fails to comply with this format, point deductions may be taken from the overall comprehensive assessment of the proposal.

1. Problem Statement (Maximum of 5 pages)

- Describe in detail the Applicant's mission, background and experience as it relates to providing services to minor victims of human trafficking.
- Describe, using current statistical data, the county and/or service area(s) (including size, population, demographics, and social factors). **Applicant must identify the source of this data.**
- Describe, in detail, the problem of human trafficking of minors in your county and/or service area(s).
- Using the most current statistical data, describe attempts to address the problem(s) involved in providing services to minor victims of human trafficking, including how many minor victims of human trafficking were provided services within your county and/or service area(s) during calendar years 2013 and 2014.
- Describe the current services provided to minor victims of human trafficking in your county and/or service area(s).
- Describe your agency's needs to carry out the project based on demonstrated experience in providing comprehensive services to minor victims of human trafficking. **Applicant must identify the source of this data.**
- Describe outstanding problems, gaps in services, and unmet needs regarding providing services needed for minor victims of human trafficking in your county and/or service area(s).
- Describe how this funding will assist your Program in addressing these problems.

2. Plan (Maximum of 5 pages)

- Describe the services to be provided to address the needs of minor victims of human trafficking.
- Describe the roles and responsibilities of program staff and how they are qualified to manage and implement the project.
- Provide current resumes along with job descriptions that describe the title, responsibilities, education, and experience for each budgeted position for whom the grant funds.
- Identify local community service providers and describe the plan to coordinate services for minor victims of human trafficking.
- Describe collaborative efforts with law enforcement agencies to assist minor victims of human trafficking.

Applicants funded under this Program must ensure that comprehensive treatment services will be made available to minors who have been a victim of human trafficking.

3. Goals and Objectives (Maximum of 5 pages)

OBJECTIVES	ACTIVITIES	TITLE OF STAFF
1. Provide crisis intervention services to ___ minor victims of human trafficking, 24-hours per day, seven days per week	1.1 1.2 1.3	
2. Provide follow-up counseling services to ___ minor victims of human trafficking	2.1 2.2 2.3	
3. Provide advocacy services to ___ minor victims of human trafficking	3.1 3.2 3.3	
4. Provide information and referral services to ___ minor victims of human trafficking	4.1 4.2 4.3	
5. Provide ___ minor victims of human trafficking in-person counseling, including group counseling	5.1 5.2 5.3	
6. Provide ___ community education presentations	6.1 6.2 6.3	

4. Additional Services

OBJECTIVES	ACTIVITIES	TITLE OF STAFF
1. Provide shelter/safe house to ___ minor victims of human trafficking, 24-hours per day, seven days per week	1.1 1.2 1.3	
2. Provide criminal justice support/advocacy services to ___ minor victims of human trafficking	2.1 2.2 2.3	
3. Provide emergency financial assistance to ___ minor victims of human trafficking	3.1 3.2 3.3	
4. Provide ___ minor victims of human trafficking assistance in filing compensation claims	4.1 4.2 4.3	
5. Provide information and referral services to ___ minor victims of human trafficking	5.1 5.2 5.3	
6. Provide ___ minor victims of human trafficking social services (e.g. case management, interpretation services, etc.)	6.1 6.2 6.3	
7. Provide legal services to ___ minor victims of human trafficking	7.1 7.2 7.3	

D. PROJECT BUDGET

The purpose of the Project Budget is to demonstrate how the Applicant will implement the proposed plan with the funds available through this Program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds, when applicable. Projects may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, Applicants should not include in the Project Budget matching funds (if applicable) in excess of the required match. Budgets are subject to Cal OES modifications and approval.

Cal OES requires the Applicant to develop a **line-item** budget which will enable the project to meet the intent and requirements of the Program and ensure the successful and cost-effective implementation of the project. The Applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract from the accomplishment of the objectives and activities of the project.

Note: The following information is provided to assist in the preparation of the budget:

- Strict adherence to required and prohibited items is expected.

- Where the Applicant does not budget for a required item, the Applicant assumes responsibility.
- Failure of the Applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project.

The Applicant should refer to the *Recipient Handbook* for additional information concerning Cal OES budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at www.caloes.ca.gov. Scroll over the “Grants and Funding” tab, select “Public Safety & Victim Services,” then select “Handbooks, Reports & Publications.” Should you have additional budget questions, contact the person listed in Part I, section B.

There is no match required for this Program.

1. Budget Narrative

The Applicant is required to submit a narrative with the Project Budget. The narrative must be typed and placed in the proposal preceding the budget pages, describing:

- How the project’s proposed budget supports the Program’s objectives and activities;
- How funds are allocated to minimize administrative costs and support direct services;
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment (this does not take the place of the brief justification required in the line-item budget);
- How project-funded staff duties and time commitments support the proposed objectives and activities;
- Proposed staff commitment/percentage of time to other efforts, in addition to time allocated to this project;
- The necessity for subcontracts and unusual expenditures; and
- The mid-year salary range adjustments.

2. Specific Budget Categories

a. Personal Services – Salaries/Employee Benefits

1) Salaries

Personal services include services performed by project staff directly employed by the Applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be budgeted as a part of salaries. If the Applicant’s personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the Applicant must be shown as

participating staff (see *Recipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, C.2.b. - Operating Expenses - paragraph two).

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The Applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the Applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses

Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (i.e., to further the Program objectives as defined in the Grant Award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the Applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with a cost of less than \$5,000 (excluding tax,) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the Applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook*, Sections 3710 and 4500), under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the Recipient and made available for review during a Cal OES site visit, a monitoring visit, or an audit. In the case of grants being passed through a Recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

Budget for anticipated training related to the project. The Applicant must include sufficient per diem and travel allocations for person(s) to attend required Cal OES training conferences or workshops.

c. Equipment

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and a cost of \$5,000 or more per unit (excluding tax).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

NOTE: The left column of each budget category on the spreadsheet requires line-item detail including the calculation and justification for the expense. Enter the **whole dollar amount only** (no cents) on each line item and the match amount (if applicable) in the correct column of the Budget Category form. You may add extra rows if necessary. The spreadsheets automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment page. The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 12G) on the Grant Award Face Sheet.

E. PROPOSAL APPENDIX

The Proposal Appendix provides Cal OES with additional information from the Applicant to support components of the proposal. The following must be included:

- Operational Agreement (OA) [Section 4300]:
These documents must demonstrate a formal system of networking and coordination with other agencies and the Applicant. Please refer to the Recipient Handbook, Section 4300 for the list of required elements.

To ensure minor victims of human trafficking are made to feel safe and supported, the Applicant must have a goal of ensuring quality of services, congruency of services, consistency of care and reduction of duplication of services. To achieve this goal, the Applicant must demonstrate the ability to proactively collaborate with other service providers serving minor victims of human trafficking in their county and/or service area(s) by securing Operational Agreements (OAs) with agencies in the following disciplines:

- Law enforcement human trafficking task force [if applicable];
- District Attorney Office;
- Victim/witness assistance center;
- Local law enforcement agencies;
- Local schools and/or school districts;
- Local county hospital or medical treatment facility;
- Homeless Youth and Exploitation Agencies;
- California Coalition for Youth;

- County social services department (Child Protective Services); and
- Department of Mental Health

- Project Summary (Cal OES 2-150)
- Noncompetitive Bid Request (Cal OES 2-156) [if applicable]
- Emergency Fund Procedures (Cal OES 2-153) [if applicable]
- Project Service Area Information (Cal OES 2-154) [if applicable]
- Computer and Automated Systems Purchase Justification Guidelines (Cal OES 2-157) [if applicable]
- Resumes and Job Duty Statements

Click the link below to access Cal OES forms or go to www.caloes.ca.gov, scroll over the “Grants & Funding” tab, select “Public Safety & Victim Services,” then look on the right-hand side for “Forms.” Or, paste the following link into your browser:

<http://www.caloes.ca.gov/PublicSafetyandVictimServices/Pages/Forms.aspx>

MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

PART III – POLICIES AND PROCEDURES

NOTE: The Applicant is strongly encouraged to review the following sections before preparing the proposal:

- A. SELECTION OF PROPOSAL FOR FUNDING
 - B. FINALIZING THE GRANT AWARD
 - C. ADMINISTRATIVE REQUIREMENTS
 - D. BUDGET POLICY
-

A. SELECTION OF PROPOSAL FOR FUNDING

1. Proposal Rating

Eligible proposals received by the deadline are generally rated by a three member team. The rater scores are averaged and then ranked numerically. The Rating Form used for this process is included in Part IV of this RFP and is for informational purposes only.

2. Funding Recommendation

Final funding decisions are made by the Director of Cal OES. Funding recommendations are based on the following:

- The ranked score of the proposal;
- Consideration of funding priorities or geographical distribution specific to this RFP; and
- Prior negative administrative and programmatic performance, if applicable.

Projects previously funded by Cal OES will be reviewed for poor past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions:

- a. The project may not be selected for funding;
- b. The amount of funding may be reduced; or
- c. Grant award conditions may be placed in the Grant Award.

See RFP Appendix for additional information.

3. Notification Process

Applicants will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a denial letter containing their average score and information on the appeal process.

B. FINALIZING THE GRANT AWARD

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget.

Cal OES does not have the authority to disburse funds until the budget is passed and the Grant Award is fully executed. Expenditures incurred prior to authorization are made at the Recipient's own risk and may be disallowed. Cal OES employees are not able to authorize an Applicant to incur expenses or financial obligations prior to the execution of a Grant Award. However, once the Grant Award is finalized the Recipient may claim reimbursement for expenses incurred on, or subsequent to, the start of the grant award period.

If, during the term of the Grant Award, the state and/or federal funds appropriated for the purposes of the Grant Award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, Cal OES may immediately terminate or reduce the Grant Award by written notice to the Recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the Recipient to the extent state or federal funds are available for payment of such costs.

Cal OES Grant Awards are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to the execution of the Grant Award.

2. Processing Grant Awards

a. Grant Award Conditions

Cal OES may add grant award conditions to the Grant Award prior to or after funding. If conditions are added, these will be discussed with the Applicant/Recipient and a copy of the conditions will be sent to the Recipient when the conditions are made part of the Grant Award. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by Cal OES.

b. Grant Award Amounts

When the amount of funds available is limited, Cal OES may reduce the amount of the Grant Award from the amount requested by the Applicant. In addition, Cal OES reserves the right to negotiate budgetary changes with the Applicant prior to executing the Grant Award. If either of these actions is required, Cal OES will notify the Applicant prior to executing the Grant Award.

c. Grant Award

A copy of the executed Grant Award and pertinent attachments will be sent to the Project Director. The Applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award is received. When the executed grant is received a Report of Expenditures and Request for Funds (Cal OES 2-201) may be submitted for reimbursement.

C. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the Recipient's planning purposes.

1. The *Recipient Handbook (RH)*

The *Recipient Handbook* is accessible on our website at www.caloes.ca.gov. Scroll over the "Grants and Funding" tab, select "Public Safety & Victim Services," then select "Handbooks, Reports & Publications." The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Award.

2. Communications (*RH 11500*)

Projects must maintain a current telephone number and internet access with an e-mail address (see Section 2340.1), as well as a current postal address and physical location within the State of California.

3. Progress Reports and Data Collection (*RH 10100*)

Funded projects are required to participate in data collection and to submit Progress Reports required by the Program. Projects are required to keep accurate records to document the information reported in the Progress Reports. The records must be kept by the project for a period of seven years. During site/monitoring visits, Cal OES will review these records for accuracy and compare them with the reported data submitted on the Progress Reports.

4. Monthly/Quarterly Report of Expenditures and Request for Funds (*RH 6310*)

Community-based organizations (CBOs) shall submit a monthly Report of Expenditures and Request for Funds (Cal OES 2-201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form Cal OES 2-201 will result in the withholding of funds and may result in the recommendation to Cal OES Director for termination of the Grant Award.

5. Technical Assistance and Site Visits (RH 10200-10300)

Funded projects are assigned a Cal OES Program Specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award. Program Specialists are available to assist the Recipient in the successful implementation of the project and in meeting the administrative requirements of the Grant Award. New projects should expect a site visit from the assigned Program Specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (RH 10400)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the Program, the Grant Award, the program guidelines (if applicable, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (RH 8100)

To safeguard Cal OES assets and to ensure that all funds are accounted for, Cal OES requires that organizations receiving a Cal OES Grant Award(s) be audited in accordance with the *Recipient Handbook*.

8. Source Documentation (RH 10111)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award. Recipients are to retain source documentation for Progress Reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program-specific source documentation are delineated in the RFP instructions. Recipients will be required to have written job descriptions on file for positions funded by Cal OES detailing specific grant-related activities to achieve project objectives.

9. Fidelity Bond (RH 2160)

Private CBOs and American Indian organizations are required to obtain and send to Cal OES a copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of Cal OES-funded projects within 60 days of the signed Grant Award. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award. The beneficiary named on the bond or an endorsement must include the "State of California, California Governor's Office of Emergency Services" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a Recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the Program or Grant Award Conditions.

10. Copyrights, Rights in Data, and Patents (*RH 5300-5400*)

Cal OES owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award. These ownership rights are detailed in the *Recipient Handbook*.

D. BUDGET POLICY

This document summarizes information on Cal OES Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.caloes.ca.gov. Scroll over the “Grants and Funding” tab, select “Public Safety & Victim Services,” then select “Handbooks, Reports & Publications.”

1. Supplanting Prohibited (*RH 1330*)

Grant funds must be used to supplement existing funds for Program activities and *not replace* funds appropriated for the same purpose. If selected for funding, a written certification must be provided to Cal OES indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit.

2. Project Income (*RH 6610*)

Project income, such as client fees and fees for services provided by the Recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Methods of Contracting and/or Procurement (*RH 3400*)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by Cal OES program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$650 per day. Local units of government may use their approved procurement policy except for contracts over \$50,000 which requires prior Cal OES approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the Project Budget, a narrative describing the competitive bid process or a sole-source procurement (noncompetitive bid) request will be required. Cal OES will provide assistance in submitting a noncompetitive bid request if the proposal is

selected for funding and if Cal OES determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. Match Requirements (*RH 6500*)

The RFP Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses, or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the *Recipient Handbook*.

There is no match requirement for this Program.

5. Travel Policies

The following is Cal OES' current travel policy:

a. Travel and Per Diem (*RH 2236*)

The Applicant may prepare the budget using their own travel policy or the State travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government (*RH 2236.1*)

Units of government may use their own written travel policy or the State policy.

2) Community-Based Organizations (CBOs) (*RH 2236.22*)

A community-based organization may use the State travel policy or the Applicant's written policy up to the maximum rates allowed by the State travel policy.

3) Out-of-State Travel (*RH 2236.11*)

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for Cal OES approval.

b. State Travel and Per Diem Policy (*RH 2236.2*)

Use the following State travel policy for budgeting travel expenses:

1) Meals and Incidentals

a) Breakfast \$7.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$11.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$23.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$5.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is \$46.00 for a 24-hour period.

2) Lodging

The maximum allowed lodging expense is \$90.00 per night, plus applicable taxes, (except as noted below). All lodging rates are per night and receipts are required for reimbursement.

3) Special Lodging Rates

- Statewide (excluding counties identified below): \$90.00 plus tax
- Napa, Riverside, and Sacramento Counties: \$95.00, plus tax
- Los Angeles, excluding the City of Santa Monica, Orange, Ventura Counties and Edwards AFB,: \$120.00 plus tax
- Alameda, Monterey, San Diego, San Mateo, and Santa Clara counties: \$125.00 plus tax
- City & County of San Francisco and the City of Santa Monica: \$150.00, plus tax

4) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 57.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

5) Other

Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff (*RH 4500*)

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the Recipient on the implementation of a project. The agreement between the Recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the Operating Expenses category of the grant budget.

7. Independent Contractor or Consultant Services (*RH 3710*)

Services are provided on a contractual basis by individuals or organizations not directly employed by the Applicant. Independent contractors or consultants must not be used in lieu of employees and are defined as individuals or organizations meeting some or all of the following criteria:

- Produce a specific product or service;
- Work independently without direct supervision from the Applicant;
- Work on specific projects;
- Provide services for a limited number of hours or period of time; and/or
- Have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. Rates (*RH 3710.1*)

The maximum rate for independent contractors or consultants is \$650.00 (excluding travel and per diem costs) for an eight-hour day. An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. A request for compensation for over \$650 a day must have **prior approval** from Cal OES and additional justification.

1) Independent Contractors or Consultants Employed by State and Local Government (*RH 3710.1.1*)

Compensation for independent contractors or consultants will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (*RH 3710.2*)

Projects, which routinely utilize “expert witnesses” as independent contractors or consultants to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be

charged for costs above what the jurisdiction is required to cover. Unless otherwise prohibited, the maximum allowable rate for such witness fees is \$250 per hour, and is not to exceed \$2,000 per day. The total amount budgeted for expert witness fees must not exceed 10% percent of the project's total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s), including a statement regarding recognition by the court of the individual as an expert;
- Specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT); Medical Doctor (MD)];
- Rate of pay per hour including documentation of a survey of the availability of similar consultants, the current "going rate," and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation); and
- Justification why this cost cannot be paid with other funds (attach the justification to Cal OES 2-106 a-b).

8. Facility Rental (*RH 2232*)

Up to \$24.00 per square foot annually (\$2.00 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit. Exceptions to the above rates and/or square footage must be approved by Cal OES and requires appropriate justification.

- Rental Space for Training, Shelter, Counseling rooms, and other required space (*RH 2232.1*)

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (*RH 2233*)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by Cal OES prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (*RH 2180*)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and

administrative salaries are examples of indirect costs. Flat rates not to exceed 10% percent of direct salaries and wages, either including or excluding benefits; or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by Applicant for indirect costs if allowable by the funding source.

11. Audit Costs (*RH 8150*)

Recipients expending less than \$750,000 in federal funds annually cannot use federal funds to reimburse for costs associated with audits. Recipients expending \$750,000 or more in federal grant funds annually are required to secure an audit pursuant to OMB Circular A-133 and are allowed to utilize federal grant funds to budget for the audit costs.

Specifically, the allowable audit costs are as follows:

- If the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- If the total project cost is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total project cost for financial audit costs.

12. Equipment (*RH 2300*)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and a cost of \$5,000 or more per unit (excluding tax).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the Recipient for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by Cal OES is required.

b. Computers and Automated Equipment (*RH 2340*)

1) Community-Based Organizations (*RH 2342.1*)

CBOs may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal OES will evaluate the proposed purchase on the basis of grant-related need. Prior approval by Cal OES is required.

2) Units of Government (*RH 2342.2*)

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal OES will evaluate the proposed purchase on the basis of grant-related need. Cal OES must give approval prior to purchase.

3) Computer Purchase Justification (*RH 2341*)

Approval for purchases of computers and automated equipment is contingent on the Applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the Applicant will be sent instructions for preparing the justification.

c. Automobiles (*RH 2331*)

If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must:

- 1) Describe the need for a vehicle, including the size of the service area and the need to provide direct service away from the office;
- 2) Describe the lack of available agency vehicles;
- 3) Describe the lack of available personal vehicles for which mileage can be charged or a reason why the agency will not allow personal vehicle usage during working hours; and
- 4) Include a cost analysis for the vehicle purchase as compared to other options, including lease and personal vehicle use with mileage.

13. Prohibited Expense Items (*RH 2240*)

a. Bonuses or Commissions (*RH 2241*)

Projects are prohibited from paying any bonuses or commissions to any individual, organization, or firm unless specifically authorized by the terms of the Program.

b. Lobbying (*RH 2242*)

Refer to *RH 2242.1* for an extensive list of prohibited activities.

c. Fundraising (*RH 2243*)

Cal OES grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (*RH 2244*)

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

e. Interest (*RH 2245*)

The cost of interest payments is only allowable if the cost is a result of a lease/purchase agreement.

f. Charges, Fees, and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

g. Food and Beverages (*RH 2246*)

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

h. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

i. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

j. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

k. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFP instructions.

l. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

PART IV – ATTACHMENTS

PROPOSAL FORMS

Click the link below to access Cal OES forms or go to www.caloes.ca.gov, scroll over the “Grants & Funding” tab, select “Public Safety & Victim Services,” then look on the right-hand side for “Forms.” Or, paste the following link into your browser:

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MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

RATING FORM

Control #: _____

Rater #: _____

Applicant: _____

Funds Requested: _____

<u>CATEGORY</u>	<u>TOTAL POINTS POSSIBLE</u>
1. PROBLEM STATEMENT	<u>180</u>
2. PLAN, GOAL AND OBJECTIVES	<u>240</u>
3. BUDGET	<u>60</u>
4. COMPREHENSIVE ASSESSMENT	<u>80</u>
TOTAL	<u>560</u>

Each of the above categories contain questions assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV, and V**. The Applicant's response to each question is evaluated on the following criteria:

- I. ABSENT:** The response does not address the specific question or a response was not provided.
- II. UNSATISFACTORY:** The response does not completely address the question. The information presented does not provide a good understanding of Applicant's intent, does not give the detailed information requested by the RFP, and/or does not adequately support the proposal or the intent of the Program.
- III. SATISFACTORY:** The response addresses the question and provides a good understanding of the Applicant's intent. The response adequately supports the proposal and the intent of the Program.
- IV. ABOVE AVERAGE:** The response is above average and provides a clear and detailed understanding of the Applicant's intent. The response presents a persuasive argument that supports the proposal and the intent of the Program.
- V. EXCELLENT:** The response is outstanding, with clear, detailed and relevant information. The response presents a compelling argument that supports the proposal and the intent of the Program.

	I	II	III	IV	V
1. PROBLEM STATEMENT (Maximum 180 points)	0	5	10	15	20
a. How well does the Applicant describe their mission, background and experience as it relates to minor victims of human trafficking?					
b. How well does the Applicant describe, using current statistical data, the county and/or service area(s) demographics? (e.g., size, population, and social factors) Applicant must identify the source of this data.					
c. How well does the Applicant describe, in detail, the problem of human trafficking of minors in their county and/or service area(s)?					
d. How well does the applicant describe their attempts to address the problem(s) involved in providing services to minor victims of human trafficking, including how many minors of human trafficking victims were provided services within their county and/or service area(s) during 2013 and 2014?					
e. How well does the Applicant describe the current services provided to minor victims of human trafficking in their county and/or service area(s)?					
f. How well does the Applicant describe their agency's needs to carry out the project, based on demonstrated experience, in providing comprehensive services to minor victims/survivors of human trafficking? Applicant must identify the source of this data.					
g. How well does the Applicant describe outstanding problems, gaps in services, and unmet needs in providing services needed for minor victims/survivors of human trafficking in their county and/or service area(s)?					
h. How well does the Applicant describe how the funding will assist their Program in addressing the problems of providing comprehensive services to minor victims of human trafficking?					
i. How well does the Applicant describe the collaborative efforts with law enforcement agencies to assist minor victims of human trafficking?					
2. PLAN, GOALS AND OBJECTIVES (Maximum 220 points)	0	5	10	15	20
a. How well does the Applicant describe the services to be provided to address the needs of minor victims/survivors of human trafficking?					
b. How well does the Applicant describe the roles and responsibilities of funded program staff to assist in carrying out the goals/objectives?					
c. Does the Applicant describe how the designated personnel are qualified to manage and implement the project?					

	I	II	III	IV	V
d. Does the Applicant provide current resumes, job descriptions that describe the title, responsibilities, education, and experience for each budgeted position for who the grant funds?					
e. How well does the Applicant identify local community service providers and describe the plan to coordinate services for minor victims/survivors of human trafficking?					
f. How well does the Applicant describe providing crisis intervention, follow-up, advocacy and information and referral services?					
g. How well does the Applicant describe providing in-person counseling, including group counseling services?					
h. How well does the Applicant describe how community education presentations will be conducted?					
i. How well does the Applicant describe how they will either provide shelter/safe house services, or collaborate via OA/MOUs with other service providers in the county and/or service area(s) to minor victims of human trafficking?					
j. How well does the Applicant describe how they will either provide emergency financial assistance, or collaborate via OA/MOUs with other service providers in the county and/or service area(s) to minor victims of human trafficking?					
k. How well does the Applicant describe how they will either provide criminal justice support and assistance in filing compensation services, or collaborate via OA/MOUs with other service providers in the county and/or service area(s) to minor victims of human trafficking?					
l. How well does the Applicant describe how they will either provide social services and legal services, or collaborate via OA/MOUs with other service providers in the county and/or service area(s) to minor victims of human trafficking?					
4. BUDGET, including Budget Narrative (Maximum 60 points)	0	5	10	15	20
a. How well does the Budget Narrative support the proposal objectives and activities, and the intent and requirements of the Program?					
b. How well are the funds allocated in the Budget Category Forms? How well do the line items support the proposal plan, objectives, and activities of the Program?					
c. How well does the Applicant describe the staff's commitment/percentage of time to other efforts in addition to time allocated to this project?					

	I	II	III	IV	V
4. COMPREHENSIVE ASSESSMENT (Maximum 80 points)	10	40	50	60	80
How well does this proposal support the overall intent, goals, and purpose of the Program?					

MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

SUMMARY OF THE PAST PERFORMANCE POLICY

The following is a summary of the Cal OES Past Performance Policy. A complete copy may be obtained by sending a written request to the Assistant Director, Grants Management, at:

California Governor's Office of Emergency Services
Criminal Justice/Emergency Management & Victim Services Branch
3650 Schriever Avenue
Mather, CA 95655
Attn: Minor Victims of Human Trafficking Program – Children's Unit

1. General Policy

This policy is intended to penalize existing Recipients having serious performance problems and will be utilized only in connection with the RFP process on the awarding of grants for new funding cycles. It was developed in consultation with Cal OES advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process.

Level B: 10% point reduction of total possible points from an Applicant's score.

3. Standard for Invoking a Penalty

The standard for invoking either penalty is dependent upon the Recipient's compliance with grant terms and conditions (excluding minor incident(s) of noncompliance).

a. Serious Performance Problems Eligible For Consideration

Performance problems which would qualify under this policy include, but are not limited to:

- 1) Significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation.
- 2) Violation(s) of material statutory requirements related to the grant;
- 3) A willful or grossly negligent violation of a Cal OES policy, or Terms of the Program, but **only after** the Recipient had been provided:
 - a) Technical assistance by Cal OES, including a site visit if necessary, to remedy the violation;
 - b) At least one written notice (per violation); and
 - c) A reasonable opportunity to remedy the violation.

Written notice of serious performance problems will be provided to the Recipient's Executive Officer. Failure to remedy the violation may negatively impact the Recipient's eligibility for future funding.

It is not necessary for a criminal conviction to have occurred for Cal OES to consider actions appearing to constitute fraud, embezzlement, mishandling of funds or other types of statutory violations. Cal OES must only have reliable evidence this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) The seriousness of the problem;
- 2) Whether the problem identified was intentional;
- 3) Whether the problem revealed dishonest behavior by the Applicant;
- 4) Whether the interests of the State or the public were harmed by the problem;
- 5) Whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) Whether the problem was documented objectively; and
- 7) Whether Cal OES attempted to assist the Recipient in remedying the problem.

c. Specific Examples

Performance problems are considered on a case-by-case basis and take the totality of the circumstances into consideration. The following examples are not intended to be binding or restrictive of Cal OES authority to determine the appropriate penalty in a particular case:

- 1) Cal OES conducts a visit of a project and makes the following findings:
 - a) The shelter failed to pay overtime on two occasions;
 - b) Three timesheets did not contain a supervisor's approval; and
 - c) The project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

A corrective action plan is developed and the Recipient takes steps to address the findings. Communication with the Recipient four months later shows the findings have been corrected.

Penalty: None

- 2) One year ago, an audit discovered that a project employee embezzled \$300 of Cal OES funds. The audit concludes this occurred in part due to inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorney's office for prosecution. The Recipient has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the Recipient are known.

Penalty: Level B

- 3) A project has agreed to provide victim advocacy services in County X. The Recipient spends \$40,000 on non grant-related expenses and does not provide the services. This is documented in the Site Visit Report. The project's Progress Reports to Cal OES report that the services are being provided. Cal OES refers the matter to the District Attorney for prosecution, but no additional steps have yet to be taken.

Penalty: Level A

4. Notification to the Applicant and Appeal of Decision

A letter will be sent by certified mail to the Applicants that are denied funding due to past performance problem(s). The Applicant shall be provided with a summary of why the performance problem penalty was invoked. The Applicant is entitled to appeal the denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.

MINOR VICTIMS OF HUMAN TRAFFICKING PROGRAM

GLOSSARY OF TERMS

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet that receives grant funds and is responsible to accomplish the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau). The Recipient was formerly referred to as the “Grantee.”
Application	Once selected for funding, the original proposal plus any additional forms as required by Cal OES becomes the application.
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency’s workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc), and in the delivery of services and benefits.
Equal Employment Opportunity (EEO) Checklists	An EEO Checklist is a document used by program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal OES in verifying that Recipients are in compliance with state and federal Civil Rights Laws.
Grant Award	The signed final agreement between Cal OES and the local government agency or organization authorized to accept grant funding.
Grant Funding Cycle	The number of years a program may be funded without competition.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the Project Narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Cal OES 2-101).

Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Monitoring Report Response Form	Form sent to the Recipient with the Monitoring Report. The form is completed by the Recipient and returned to the Cal OES Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (contracts sometimes include goods as well as services, and this definition will also apply to those circumstances).
Nonprofit Organization (aka Community-Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c)(3) for Recipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <p>(1) Proof that the Internal Revenue Service recognizes the Applicant has the status of a 501(c)(3).</p> <p>(2) A statement from a state taxing body or the state Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the state; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual.</p> <p>(3) A certified copy of the Applicant’s Certificate of Incorporation or similar document that clearly establishes the nonprofit status of the Applicant.</p> <p>(4) Any item described in (1) through (3) if that item applies to a state or national parent organization, together with a statement by the state or parent organization that the Applicant is a local nonprofit affiliate.</p>
Objectives	A set of quantifiable projections to be carried out in order to accomplish the Program goals.
On Site	Refers to the location of operation of the Grant Award Recipient. If multiple sites exist, the site that provides the project Recipients with Program direction qualifies as the “on-site location.”

Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Participating Staff	A salaried employee of a Participating Agency.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.
Project	The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to Cal OES that specified the priorities, strategies, and objectives of the Applicant.
Recipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Recipient Handbook</i> is accessible at www.caloes.ca.gov . Scroll over the "Grants and Funding" tab, select "Public Safety & Victim Services," then select "Handbooks, Reports & Publications." The <i>Recipient Handbook</i> was previously called the <i>Grantee Handbook</i> .
Recipient or Administrating Agency	The agency or organization designated on the Grant Award Face sheet that receives the grant funds and will be responsible for accomplishing the planned objectives and Program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Request for Application (RFA)	The RFA is a noncompetitive process issued by Cal OES to obtain applications from Applicants previously selected for funding.
Request for Proposal (RFP)	The RFP is issued by Cal OES to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term "noncompetitive bid."

Sole Source	This term has been replaced by the term "noncompetitive bid."
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award.
Supplanting	To reduce federal, state, or local funds because of the existence of Cal OES funds. Supplanting occurs when a Recipient deliberately replaces its non-Cal OES funds with Cal OES funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], Grant Award, Cal OES policy statements, and applicable statutes. In the event the terms of the Program are inconsistent with the provisions of the <i>Recipient Handbook</i> , the terms of the Program shall be interpreted and construed as superseding the provisions of the <i>Recipient Handbook</i> .
USC	United States Code