



REQUEST FOR APPLICATION

The California Governor's Office of Emergency Services (Cal OES), Victim Services (VS) Branch, is soliciting applications for the following program:

HUMAN TRAFFICKING ADVOCACY (HA) PROGRAM

Release Date: July 15, 2022

This Request for Application (RFA) provides detailed information and forms necessary to prepare a proposal for Cal OES grant funds. The terms and conditions of this RFA supersede previous RFAs and conflicting provisions stated in the [Subrecipient Handbook \(SRH\)](#).

PROGRAM SYNOPSIS

Description:

The purpose of the HA Program is to provide funding to Victim Witness Assistance Centers, as defined in the [California Penal Code Section 13835.2, et seq.](#), to provide dedicated, specialized staff and support services to identify and provide comprehensive services to victims of human trafficking, including sex and labor trafficking.

Eligibility:

The only eligible Applicants are the HA Program Subrecipients funded in the prior fiscal year. Please note, this will be the last non-competitive year of funding.

Grant Subaward Performance Period:

January 1, 2023 through December 31, 2023

Submission Deadline:

September 9, 2022

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PART I – OVERVIEW

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A. PUBLIC RECORDS ACT NOTICE

Proposals are subject to the California Public Records Act, Government Code Section 6250, *et seq.* Do not put any personally identifiable information or private information on this proposal. If you believe that any of the information you are putting on this proposal is exempt from the Public Records Act, please indicate what portions of the proposal and the basis for the exemption. Your statement that the information is not subject to the Public Records Act will not guarantee that the information will not be disclosed.

B. CONTACT INFORMATION

Contact your Human Trafficking and Legal Assistance Unit Program Specialist concerning this RFA, the application process, or programmatic issues.

C. SUBMISSION DEADLINE AND REQUIREMENTS

Applications must be emailed to VSapplications@caloes.ca.gov by **11:59 pm on Friday, September 9, 2022.**

Eligible Applicants are the HA Program Subrecipients funded in the prior fiscal year.

Before the Grant Subaward performance period begins, Applicants:

- Must have a Unique Entity Identifier (Unique Entity ID) registered in the federal System for Award Management (SAM). Applicants who do not currently have a Unique Entity ID will need to register at SAM.gov to obtain one.
- Must **not** have an exclusion record in SAM. An exclusion record in the SAM indicates that a contractor (agency) is listed in the (federal) government-wide system for debarment and suspension. An agency that is debarred or suspended is excluded from activities involving

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federal financial and nonfinancial assistance and benefits. [Check SAM status.](#)

- Must be registered with the California Department of Justice's Registry of Charitable Trusts with a "current," "exempt," or "pending" status (**applies to non-governmental organizations only.** [Check nonprofit status.](#)

D. GRANT SUBAWARD PERFORMANCE PERIOD

The Grant Subaward performance period is January 1, 2023 through December 31, 2023.

E. FUNDING INFORMATION

There is \$1,619,464 available for the Program for the Grant Subaward performance period. Funding is contingent upon availability of funds.

1. Funding Amount

Applicants may apply for up to the amount listed below, for the 12-month Grant Subaward performance period.

Please note that this will be the final Grant Subaward performance period for the Program. Within the next few months, the VS Branch will release a Request for Proposal (RFP) for the Program for FY 2023-24. Subrecipients will be competitively selected for this new grant cycle which will consist of five, 12-month Grant Subaward performance periods, with the first beginning January 1, 2024.

Please see the chart for the breakdown of the fund sources (by four-character code) and match.

Subrecipient	2019 VOCA	2019 VOCA MATCH	2021 VOCA	2021 VOCA MATCH	TOTAL PROJECT COST
Alameda County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Contra Costa County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Fresno County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Los Angeles County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Orange County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Riverside County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Sacramento County	\$ 88,766	\$22,192	\$45,134	\$11,284	\$167,376

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Subrecipient	2019 VOCA	2019 VOCA MATCH	2021 VOCA	2021 VOCA MATCH	TOTAL PROJECT COST
San Francisco, City & County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Santa Barbara County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Santa Clara County	\$103,052	\$25,763	\$51,448	\$12,862	\$193,125
Tulare County	\$ 63,408	\$15,852	\$31,656	\$ 7,914	\$118,830
TOTALS	\$1,079,642	\$269,911	\$539,822	\$134,956	\$2,024,331

2. Funding Source(s)

Detailed information on all VS Branch federal fund sources can be found in the [VS Branch Federal Fund Information Guide](#). Applicants are **strongly encouraged** to review this document to familiarize themselves with the requirements for all fund sources that support this Program.

The Program is supported through the Victims of Crime Act (VOCA) Victim Assistance Formula Grant Program (Formula Grant Program)

- Supports eligible crime victim assistance programs.
- Requires a cash and/or in-kind match equal to 20 percent of the total project cost. Applicants may request a partial or full match waiver (match waiver requests are not considered during the Proposal Rating process).
 - To request a match waiver, Applicants must submit the VOCA Match Waiver Request Form (Cal OES Form 2-159) with their proposal. Up to two VOCA fund sources can be entered on one form. An additional VOCA Match Waiver Request Form may be necessary when there are more than two VOCA fund sources. All sections of the form must be completed and answers to questions 6 and 7 must be specific and unique to the Applicant and Program.
- Cal OES's four-character code for this federal fund is VOCA. This code will be in the drop-down on the Grant Subaward Face Sheet (Cal OES Form 2-101).

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F. PROGRAMMATIC INFORMATION

1. Background Information/Program Description

The California Alliance to Combat Trafficking and Slavery Task Force released a comprehensive report, "Human Trafficking in California," in October of 2007. The report indicated that increased funding was needed for organizations to provide services to victims of human trafficking, in part to help increase the chances of victims escaping the circumstances of their trafficking. Subsequently, Cal OES, with input from its VOCA Steering Committee, established and continues to administer the HA Program to Support Victim/Witness Assistance Centers that assist human trafficking victims.

The purpose of the HA Program is to provide funding to Victim Witness Assistance Centers, as defined in the California Penal Code Section 13835.2, *et seq.*, to provide dedicated, specialized staff and support services to identify and provide comprehensive services to victims of human trafficking, including sex and labor trafficking.

Since 2015, collaboration and coordination between local human trafficking task forces (HTTF), Victim Witness Assistance Centers, child welfare Commercial Sexual Exploitation of Children (CSEC) Steering Committees/CSEC multi-disciplinary teams, and other local anti-trafficking partnerships has emerged as a promising practice for identifying and serving the needs of human trafficking victims statewide.

On August 30, 2019, Assembly Bill (AB) 1735 was signed by Governor Newsom. The bill expands the statutory definition of human trafficking caseworker for the purpose of providing the protection of privileged communication between caseworker and victim, by expanding the list of topics about which human trafficking caseworkers shall be trained. In addition to an updated definition of a human trafficking caseworker, and minimum training requirements for such, AB 1735 includes specific language to clarify that a human trafficking caseworker may be subject to Mandated Child Abuse and Neglect Reporting requirements (PC 11165 *et seq.*) and that the human trafficking caseworker must convey to the human trafficking victim either orally or in writing any applicable limitations on confidentiality of communications between the victim and the caseworker. **The requirements of AB 1735 do not apply to human trafficking advocates employed by a county district attorney's office**, as advocates working

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in the District Attorney's Office are considered part of the criminal justice system and cannot offer the protection of privilege between a human trafficking caseworker and the human trafficking victim.

2. Programmatic Components

a. Required Activities

In accordance with the purpose of the HA Program, Subrecipients must continue to utilize funds to:

- Employ, at a minimum, one half-time Victim/Witness Advocate or increase the time of an existing Victim/Witness Advocate by half-time, to assist the Victim/Witness Coordinator in providing direct services to human trafficking victims.
- Identify and assist victims of human trafficking and offer comprehensive services to meet each victim's individualized needs (see Required Services, below).
- Collaborate, as appropriate, with local, state, and federal law enforcement, local public agencies, victim service providers, and other non-profit organization to enhance or expand service delivery to victims of human trafficking.
- Be an active member of an anti-human trafficking working group (see examples described in Part I, G, 1, Background Information/Program Description).
- Utilize volunteers to assist with delivering services to victims of human trafficking. Note: Subrecipients that are unable to use volunteers must submit a Volunteer Waiver Request (Cal OES Form 2-155) for approval to waive this requirement.

b. Required Services

The following comprehensive services are required for the HA Program. For this RFA, the term "client" is synonymous with "victim," "witness," or "survivor."

- Crisis Intervention

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Crisis intervention is any in-person or telephone/digital contact (including phone, text, email, social media or messaging apps, etc.) with a client who, at any time, has been negatively affected or is in emotional crisis because of a crime or potential crime. After victimization, when the client needs crisis counseling, the Subrecipient will provide the necessary intervention services and arrange for the provision of other needed services by local service agencies, as frequently as needed.

- **Emergency Assistance**

Emergency assistance is any immediate financial intervention in response to a client's basic material needs within the first 24 hours after in-person or telephone/digital contact is made with the client. At that initial or any subsequent contact and assessment of a client's material needs, Subrecipients must provide and/or arrange emergency assistance and appropriate local agency services if needed. Assistance provided by the Subrecipient is subject to the availability of resources.

- **Resource and Referral Assistance**

Resource and referral assistance is any non-emergency referral, based on the client's request or advocate's assessment, to individuals or agencies that may provide goods, supports, or services needed by the client but which the Subrecipient does not have the resources or capacity to provide. Subrecipients are strongly encouraged to coordinate referrals to resources within their local anti-human trafficking working group to streamline service provision and avoid overwhelming clients with multiple concurrent referrals, appointments, and transportation requirements.

- **Direct Counseling/Therapy**

Direct counseling/therapy refers to any in-person or telephone/telehealth contact with a client who is in emotional crisis resulting from a crime for the purpose of providing guidance or emotional support.

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- Property Return

Upon request of the client, Subrecipients must actively assist with obtaining the return of the client's property held as evidence by the criminal justice system. In some cases where the property cannot be returned, Subrecipients must provide an explanation to the client or family member.

- Orientation to the Criminal Justice System

Subrecipients will provide clients, through in-person or telephone/digital communications, information about the location, procedures, and function of the local criminal justice system, including any current security and public health protocols for participation in activities such as interviews, hearings, etc. Subrecipients should have printed information available in languages appropriate to the needs of the community in their service area.

- Court Escort

Upon request from the client or as deemed necessary by Subrecipient staff allocated to the HA Program for the safety and support of the client, Subrecipients will provide information about the case and/or support during the client's court appearances and/or interviews with law enforcement and prosecutors. *The client must have physical accompaniment for the court escort service to be counted.* Clients who are assisted by Subrecipient staff in preparing for court appearances or interviews, but not physically accompanied to these appointments, should be counted under Orientation to the Criminal Justice System (see above).

- Outreach to Criminal Justice Agencies

Staff and volunteers allocated to the HA Program will provide outreach to criminal justice agencies regarding services and resources available through the Victim Witness Assistance Center in general and the HA Program in particular, as well as explain the rights and holistic needs of victims of human trafficking. Subrecipients are strongly encouraged to include outreach and anti-human trafficking education/training activities to other local public safety agencies such as code

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enforcement, labor inspection/enforcement, and fire/EMS to assist in identification and referral of potential victims of human trafficking for support and services.

- **Community Outreach and Awareness**

Subrecipients must promote their services using public media (including, but not limited to, newspapers, radio, television, and social media platforms) and in-person or virtual presentations to victim-serving organizations as well as community groups, service clubs, hospitals/healthcare providers, and schools. Subrecipients are strongly encouraged to participate in media/public awareness-related events promoting victim services, including the annual Human Trafficking Awareness Month and Victims' Rights Week.

- **Case Status/Disposition**

Upon request from the client, Subrecipients will advise the client about the progress and disposition of their case as it moves through the criminal justice system.

- **Notification of Family/Friends**

Upon request from the client, Subrecipients will notify a client's relatives and/or friends of the occurrence of the crime and the client's condition as a result of the crime.

- **Employer Notification/Intervention**

Upon request from the client, Subrecipients will inform an employer(s) that their employee is a victim/witness to a crime and/or notify the employer(s) to minimize any loss of pay or other benefits, where the occurrence of the crime has caused, or will cause, an employee to lose time from work as a result of participation in the criminal justice system.

- **Restitution**

Upon request from the client, Subrecipients will assist with obtaining restitution, ascertaining the client's economic loss, and providing the district attorney's office, court, and probation department with information relevant to the

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client's losses prior to the imposition of a sentence. After the sentence is imposed, Subrecipients should refer the client to the appropriate agency having jurisdiction over the offender.

- Linkage to Other Services Offered by Public and Private Agencies

Subrecipients must have a referral system established with other public and private agencies providing services appropriate to the needs of victims of human trafficking. At a minimum, this referral system must include coordination with law enforcement agencies, social service and/or human assistance agencies, schools, behavioral health, and healthcare providers. Additional resources may include, but are not limited to, post-secondary education, employment services, creditor intervention, childcare assistance, witness notification, and funeral arrangements (to assist family members of deceased victims). Subrecipients should also provide transportation and follow-up services to assist the victim to access the services and supports that they need.

c. Assistance with California Victim Compensation Board Claims

Subrecipients are strongly encouraged to assist victims/survivors with applying for compensation benefits through the California Victim Compensation Board. Activities may include:

- Advising of the availability of such benefits.
- Assisting with application forms and understanding procedures.
- Obtaining necessary documentation to support the claim.
- Monitoring claim status.

Subrecipients are also strongly encouraged to allocate funds for tablets or mobile communication devices and cellular service to swiftly facilitate the on-line application process in the office or in the field.

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d. Victims of Crime Resource Center

Subrecipients are strongly encouraged to utilize the California Victims Legal Resource Center (VLRC) when assisting victims/survivor.

At the VLRC, Pacific McGeorge School of Law students and attorneys provide victims/survivors, their families, and service providers with information about victims' legal rights in the criminal and civil justice systems and provide tailored resource referrals. Upon request, the VLRC provides publications on victims' rights, legal research on victims' rights to service providers, and educational presentations.

Services are free and can be accessed through the VLRC's confidential, toll-free hotline: 1-800-VICTIMS (842-8467), or through the www.1800victims.org website.

e. Operational Agreements/Second-Tier Subawards

Subrecipients are required to enter into either Operational Agreements (OAs) or Second-Tier Subawards with the following agencies:

- Local law enforcement
- Domestic violence service providers
- Sexual assault service providers
- Community-based organizations that work with human trafficking victims and their children
- Existing or new Cal OES-funded projects that serve human trafficking victims.

An OA is a formal agreement, without the exchange of money, between an implementing agency and one or more participating agencies (*SRH Section 7.005*). A Second-Tier Subaward is a formal agreement that includes the exchange of money between an implementing agency and a participating agency to further the goals of the Grant Subaward (*SRH Section 7.010*).

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3. Reporting Requirements

Progress Reports serve as a record for the implementation of the Grant Subaward. Statistics for Progress Reports must be collected on a quarterly basis, even when reporting occurs less frequently. The following reports are required:

a. Cal OES Progress Reports

There are two Progress Reports required for the Program. See the chart below for report periods and due dates.

Report	Report Period	Due Date
1 st Report	January 1, 2023 – June 30, 2023	July 31, 2023
2 nd /Final Report	July 1, 2023 – December 31, 2023	January 30, 2024

b. Office for Victims of Crime (OVC) Reports

There are two, on-line OVC reports Subrecipients will also need to complete:

1). Subgrant Award Report (SAR)

This on-line report must be completed by both the Subrecipient and Cal OES within 90 days of the beginning of the Grant Subaward performance period. Cal OES will initiate access and the Subrecipient will have 60 days to complete the remainder of the report in the OVC Performance Measurement Tool. Then, Cal OES will have 30 days to either approve the SAR, or work with the Subrecipient on corrections, and then approve the SAR.

2). Subgrantee Report

Subrecipients receiving Victims of Crime Act funds must complete this report no later than two weeks following the end of each federal fiscal year quarter. Subrecipients will report data directly into the OVC PMT database no later than the due dates listed, unless otherwise instructed by your Program Specialist.

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Report Period	Due Date (on or about)
January 1, 2023 – March 31, 2023	April 14, 2023
April 1, 2023 – June 30, 2023	July 14, 2023
July 1, 2023 – September 30, 2023	October 13, 2023
October 1, 2023 – December 31, 2023	January 12, 2024

*Exact dates will be provided by your Program Specialist at the end of each quarter.

For technical assistance, issues or questions regarding the OVC PMT database, please contact the OVC PMT Help Desk at ovcpmt@csrincorporated.com or call toll-free (844) 884-2503.

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PART II – RFA INSTRUCTIONS

- A. SUBRECIPIENT HANDBOOK
 - B. APPLICATION FORMS
 - C. ADDITIONAL DOCUMENTS
 - D. BUDGET POLICIES
 - E. ADMINISTRATIVE REQUIREMENTS
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A. SUBRECIPIENT HANDBOOK

Applicants are strongly encouraged to review the [SRH](#). The *SRH* outlines the terms and conditions that apply to Cal OES VS Branch Grant Subawards and provides helpful information for developing a proposal, including a Glossary of Terms.

B. APPLICATION FORMS

Applicants must use the forms provided on our website. The forms must be printed on plain white 8½" x 11" paper and single sided. **Applicants may not alter the formatting of any forms, including the Grant Subaward Programmatic Narrative ([Cal OES Form 2-108](#)) – with a revision date of 4/2021 or later – and the Grant Subaward Budget Narrative ([Cal OES Form 2-107](#)) – with a revision date of 4/2021 or later.**

Applicants must complete and submit all required forms. **Required forms for this Program are identified on the Checklist in Part III.** All forms have written instructions. If a form requires a Grant Subaward number, leave this information blank. General information regarding each form is below.

1. Grant Subaward Face Sheet (Cal OES Form 2-101)

This form is the title page of the Grant Subaward that is signed by the Official Designee (*SRH Section 3.030*) and the Cal OES Director (or designee). **This form is always required.**

2. Grant Subaward Contact Information (Cal OES Form 2-102)

This form provides Cal OES with contact information for all relevant Subrecipient personnel. Information for each individual should be direct contact information. **This form is always required.**

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3. Grant Subaward Signature Authorization (Cal OES Form 2-103)

This form provides Cal OES with signatures of authorized signers and who they authorize to sign on their behalf for all Grant Subaward-related matters. **This form is always required.**

4. Grant Subaward Certification of Assurance of Compliance (Cal OES Form 2-104)

This form is a binding affirmation that the Subrecipient 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
- Proof of Authority documentation from the city council/governing board

This form is always required.

5. Federal Fund Grant Subaward Assurances (Cal OES Forms 2-109a-g)

These forms list all the assurances and are a binding affirmation that Subrecipients will comply with the assurances to receive a federal fund source. Subrecipients may be asked to sign and submit one or more Federal Fund Grant Subaward Assurances (Cal OES Form 2-109a-g).

Every year, Cal OES updates the Federal Fund Grant Subaward Assurances (Cal OES Form 2-104a-g) to ensure that any new assurances placed upon the federal award are passed down to Subrecipients. Subrecipients will be notified if this change is needed.

This form is required for the applicable federal fund source(s) included in the Grant Subaward.

6. Grant Subaward Budget Pages (Cal OES Form 2-106a-b)

These forms demonstrate how the Applicant will implement the proposed plan with the funds available through this Program. This is the basis for management, fiscal review, and audit. **Grant Subaward**

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Budget Pages (Cal OES Form 2-106a-b) are subject to Cal OES modifications and approval. Failure of the Applicant to include required items does not eliminate responsibility to comply with those requirements during the implementation of the Grant Subaward. **One of these forms is always required.**

The Grant Subaward Budget Pages (Cal OES Form 2-106a-b) 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 Costs page. Applicants may add additional columns to the Grant Subaward Budget Pages (Cal OES Form 2-106a-b) when necessary.

Cal OES requires the Applicant to develop a line-item budget that includes a **calculation and justification in the left column for all costs.**

The Grant Subaward Budget Pages (Cal OES Form 2-106a-b) must:

- Cover the entire Grant Subaward performance period.
- Include costs related to the objectives and activities of the Grant Subaward.
- Strict adherence to required and prohibited expenses.
- Include costs in the correct category (i.e., Personnel Costs, Operating Costs, and Equipment Costs – see below).

Include **only** those items covered by Grant Subaward funds, including match funds, when applicable. Applicants may supplement Grant Subaward funds with funds from other sources. However, since approved line items are subject to audit, Applicants should not include matching funds (if applicable) in excess of the required match on the Grant Subaward Budget Pages (Cal OES Form 2-106a-b).

a. Personnel Costs – Salaries/Employee Benefits

1). Salaries

Personnel includes Grant Subaward services performed by Grant Subaward staff **directly employed by the Applicant** (not a contract or Participating Agency) and must be identified by position, cost and time spent on allowable

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activities for the Grant Subaward (e.g., Clerical Staff @ \$20/hour x 980 hours; or Victim Advocate @ \$1,500/month x 12 months x .50 FTE). Personnel may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be allocated as a part of salaries. If the Applicant's personnel have accrued sick leave or vacation time prior to the approval of the Grant Subaward, they may not take time off using Grant Subaward funds.

2). Benefits

Employee benefits must be identified by type and include a calculation. The Applicant may use fixed percentages of salaries to calculate benefits. Allocated 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. Benefits, such as uniforms or California Bar Association dues, are allowable 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 FTE clerical positions).

Additional information on Personnel Expenses can be found in *SRH Part 3*.

3). Operating Costs

Operating costs are defined as necessary expenditures other than personnel salaries, benefits, and equipment. The costs must be Grant Subaward-related (i.e., to further the Program objectives as defined in the Grant Subaward) and be encumbered during the Grant Subaward performance period.

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Examples of common operating costs include, but are not limited to:

- Audit costs (SRH Section 14.035)
- Computers with an acquisition cost of \$4,999 or less
- Computer equipment rentals
- Consultant services (SRH Section 6.050)
- Equipment service and maintenance agreements
- Financial Assistance for clients (SRH Section 4.040)
- Furniture and office equipment (\$4,999 or less)
- Indirect costs (SRH Section 4.045)
- Insurance (e.g., vehicle, fire, bonding, theft, and liability)
- Internet access
- Office supplies
- Office rental space (SRH Section 4.055)
- Postage
- Printing
- Second-Tier Subawards (SRH Section 7.010)
- Software
- Training materials
- Travel and per diem (SRH Section 4.065)
- Utilities
- Vehicle maintenance

Additional information on Operating Expenses can be found in *SRH Part 4*.

4). Equipment Costs

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 copy machines must be one line item, not three).

Additional information on Equipment Costs can be found in *SRH Part 5*.

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7. Grant Subaward Budget Narrative (Cal OES Form 2-107)

This form should describe the following:

- How the line items on the Grant Subaward Budget Pages (Cal OES Form 2-106a-b) support the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- How shared costs are allocated.
- How Grant Subaward-funded staff duties and time commitments support the proposed objectives and activities.
- The necessity for subcontracts and unusual costs.
Need for mid-year salary range adjustments.

This form may be required. If not required, Applicants must provide a detailed description of each line item within the Grant Subaward Budget Pages (Cal OES Form 2-106a-b).

8. Grant Subaward Programmatic Narrative (Cal OES Form 2-108)

This form 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. **This form is always required, however a Problem Statement may not be.**

a. Problem Statement

Subrecipients must provide an update to their original problem statement, including the impact of the problem, target service area, target population, and relevant statistics that validate the problem.

In narrative form, address the following:

- 1). What is the current prevalence and impact of human trafficking in your service area?

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- 2). What special populations, if any, are you targeting in your service area (e.g., houseless persons, youth, LGBTQ+, undocumented persons, etc.)?
- 3). What barriers do you encounter in identifying and serving victims of labor as well as sex trafficking in your service area?

b. Plan

Subrecipients must describe how they will implement the plan, provide outreach to victims/survivors, measure success, collaborate with others to implement the plan, and provide their goals, objectives, activities, or timelines.

In narrative form, address the following:

- 1). Describe the roles and responsibilities of staff allocated to the HA Program, including how volunteers will be used to assist in meeting HA Program goals and objectives.
- 2). Describe how staff allocated to the HA Program will identify and respond to the holistic needs of human trafficking victims, including both labor and sex trafficking victims. Include any changes or updated protocols needed to continue providing the required activities and comprehensive services when public health or other health and safety orders are in effect.
- 3). **For Subrecipients or Implementing Agencies that are county district attorney's offices:** Describe how staff allocated to the HA Program are qualified to manage and implement the program activities and services. Include relevant training, whether in-person or online, and the source/dates of training, as well as qualifications of staff allocated to the Program that are specific to identifying, supporting, and serving victims of human trafficking. Indicate the number of hours and percentage of time each budgeted position is allocated to the HA Program.
- 4). **For Subrecipients or Implementing Agencies that are NOT county district attorney's offices,** per California Evidence Code §1038.2, a human trafficking caseworker allocated to the HA Program **must** hold an advanced degree or license

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(e.g., MSW or other master's degree in counseling/related field) **and** at least one year experience working directly with human trafficking victims, **OR** have at least 40 hours of human trafficking training (12 topics related to human trafficking are specified in California Evidence Code §1038.2) and is supervised by a person described above. Both the human trafficking caseworker who qualifies by having an advanced degree and those who qualify through the minimum training requirements must be supervised by a person who meets the minimum requirements for a human trafficking caseworker. **Subrecipients/Implementing Agencies that are not county district attorney's offices must** describe how staff/volunteers allocated to the HA Program meet the minimum requirements for human trafficking caseworkers and those who supervise them.

The requirements of California Evidence Code §§1038-1038.2 do not apply to HA Program Subrecipients whose Implementing Agency is the county district attorney's office, as staff working in district attorney's offices are considered part of the criminal justice system and cannot offer the protection of privilege between a human trafficking caseworker and human trafficking victim.

- 5). Describe how the Subrecipient will continue to actively participate in their local HTTF, CSEC Steering Committee or multi-disciplinary team, or other anti-human trafficking working group (see description in Part I, F, 1, Background Information/Program Description) as required by the HA Program. Both formal (such as through the OAs/Second-Tier Subawards required by the HA Program) and informal partnerships may be addressed in this response.

9. Subrecipient Grants Management Assessment

Per title 2 CFR § 200.331, Cal OES is required to evaluate the risk of noncompliance with federal statutes, regulations, and terms and conditions posed by each Subrecipient of pass-through funding. The assessment is made in order to determine and provide an appropriate level of technical assistance, training, and oversight to Subrecipients. **This form is always required.**

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10. Grant Subaward Service Area Information (Cal OES Form 2-154)

This form identifies the counties, cities, and congressional districts served by the Grant Subaward. **This form is always required.**

11. Match Waiver Request (Cal OES 2-159)

This form is required to waive a portion, or all, of the required match. See Part I, F., 1 for additional information. Match waiver requests are not considered during the Proposal Rating process. **This form is required only if the Program is supported with VOCA funds AND the Applicant wants to request to waive match.**

12. Operational Agreement Summary Form (Cal OES Form 2-160)

This form lists the OAs a Subrecipient has with participating agencies/organizations. **This form is required only when the Program requires OAs, outlined in Part I, Subpart F.**

13. Petty Cash Victim Fund Certification (Cal OES Form 2-153)

A Petty Cash Victim Fund is a small amount of discretionary funds, in the form of cash, used for disbursements for unforeseen financial intervention paid directly to the victim. Subrecipients providing direct victim services may budget up to two percent of the total Grant Subaward cost for petty cash.

This form identifies the procedures to maintain safeguards and accountability of these funds. **This form is required only if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a-b) that meets the definition of Petty Cash in SRH Section 4.040.**

14. Volunteer Waiver Request (Cal OES Form 2-155)

This form provides information to support a request to waive a volunteer requirement per Part I of this RFA. **This form is required only if the Program requires volunteers, and the Applicant wants to request a waiver.**

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15. Non-Competitive Procurement Request (Cal OES Form 2-156)

A Non-competitive procurement transaction is a purchase of property/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. See *SRH Section 6.045* for additional information.

This form provides information to support a request for approval of a non-competitive procurement. **This form is required only if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) that meets the definition of a non-competitive procurement in *SRH Section 6.045*.**

16. Independent Contractor/Consultant Rate Exemption Request (Cal OES Form 2-164)

The maximum rate for an independent contractor/consultant is \$650 per eight-hour day or \$81.25 per hour per *SRH Section 6.050*.

This form provides information to support a request for approval of an exemption to the maximum rate. **This form is required only if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) for an independent contractor above the maximum rate.**

17. Out-of-State Travel Request (Cal OES Form 2-158)

This form provides information to support a request for out-of-state travel. **This form is required only if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) for out-of-state travel.**

18. Lodging Rate Exemption Request (Cal OES Form 2-165)

This form provides information to support a request for approval of an exemption to the maximum lodging rate per *SRH Section 4.070*. **This form is required only if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) with lodging above the maximum rate.**

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19. Payee Data Record (STD 204)

This form provides information for income tax reporting and to ensure tax compliance with federal and state laws. **This form is required only if the Applicant has not previously received a Grant Subaward from Cal OES.**

C. ADDITIONAL DOCUMENTS

Applicants may be required to submit additional documents. **Required documents for this Program are identified on the Checklist in Part III.**

General information regarding each document is below:

1. Indirect Cost Rate Agreement

The Indirect Cost Rate Agreement documents the agreed upon indirect cost rate negotiated between the federal government and an organization. **This document is required only if the Applicant has a federally approved indirect cost rate and is including indirect costs on the budget.**

2. Organizational Chart

The Organizational Chart should clearly depict the structure of the Applicant's organization and the specific unit within the organization responsible for the implementation of the Grant Subaward. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those on the Grant Subaward Budget Pages (Cal OES Form 2-106a or b) and Grant Subaward Budget Narrative (Cal OES 2-107). **This document may or may not be required.**

3. Operational Agreements

An OA is a formal agreement, without the exchange of money, between an implementing agency and one or more participating agencies (*SRH Section 7.005*). **These documents may or may not be required.**

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D. BUDGET POLICIES

The following sections of the [SRH](#) may be helpful in developing the Grant Subaward Budget Pages (Cal OES 2-106a) and Grant Subaward Budget Narrative (Cal OES 2-107):

- Additional Rental Space (*SRH Section 4.055*)
- Audit Costs (*SRH Section 14.055*)
- Automobiles (*SRH Section 5.020*)
- Contracting and Procurements Requirements (*SRH Part 6*)
- Equipment and Equipment Costs Requirements (*SRH Part 5*)
- Expert Witness Fees (*SRH Section 6.050*)
- Independent Contractor/Consultant (*SRH Section 6.050*)
- Indirect Cost or Facilities and Administration (*SRH Section 4.045*)
- Match Requirements (*SRH Section 9.060*)
- Facility Rental (*SRH Section 4.055*)
- Prohibited Operating Costs (*SRH Section 4.070*)
- Grant Subaward and Other Income (*SRH Section 9.075*)
- Supplanting Prohibited (*SRH Section 1.065*)
- Travel (*SRH Section 4.065*)

E. ADMINISTRATIVE REQUIREMENTS

Subrecipients must administer their Grant Subawards in accordance with all [SRH](#) requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Subaward. The following section may be helpful for developing a proposal and for planning purposes:

- Audit Requirements (*SRH Part 14*)
- Communication and Internet Access (*SRH Section 1.070*)
- Intellectual Property, Copyright, and Patent Requirements (*SRH Part 8*)
- Fidelity Bond/Certificate of Insurance (*SRH Section 2.015*)
- Monitoring (*SRH Part 13*)
- Report of Expenditures and Request for Funds (*SRH Section 9.025*)
- Records Requirements (*SRH Part 12*)

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PART III – CHECKLIST

This checklist is provided to ensure that a complete application is submitted to Cal OES. This also provides the order documents/forms should be organized.

The following forms are required for all Applicants.

- GRANT SUBAWARD FACE SHEET ([CAL OES Form 2-101](#)) – Signed by the Official Designee authorized to enter into the Grant Subaward.
- GRANT SUBAWARD CONTACT INFORMATION ([CAL OES FORM 2-102](#))
- GRANT SUBAWARD SIGNATURE AUTHORIZATION ([CAL OES FORM 2-103](#))
- GRANT SUBAWARD CERTIFICATION OF ASSURANCE OF COMPLIANCE ([CAL OES FORM 2-104](#)) – Signed by the Official Designee who signed the Grant Subaward Face Sheet and by the official delegating that authority
- VOCA FEDERAL FUND GRANT SUBAWARD ASSURANCES (Cal OES FORM 2-109a) – Signed by the Official Designee who signed the Grant Subaward Face Sheet
- GRANT SUBAWARD BUDGET PAGES (EXCEL SPREADSHEET FORMAT – MULTIPLE FUND SOURCE) – [CAL OES FORM 2-106a](#) Include a detailed description of each line item
- UNALTERED** GRANT SUBAWARD PROGRAMMATIC NARRATIVE ([CAL OES FORM 2-108](#))
 - PROBLEM STATEMENT
 - PLAN
- [SUBRECIPIENT GRANTS MANAGEMENT ASSESSMENT](#)
- GRANT SUBAWARD SERVICE AREA INFORMATION ([CAL OES FORM 2-154](#))

The following forms/documents may be required depending on the Applicant's application.

- MATCH WAIVER REQUEST ([CAL OES FORM 2-159](#))
- PETTY CASH VICTIM FUND CERTIFICATION ([CAL OES FORM 2-153](#))
- VOLUNTEER WAIVER REQUEST ([CAL OES FORM 2-155](#))
- NON-COMPETITIVE PROCUREMENT REQUEST ([CAL OES FORM 2-156](#))
- INDEPENDENT CONTRACTOR/CONSULTANT RATE EXEMPTION REQUEST ([CAL OES FORM 2-164](#))
- OUT-OF-STATE TRAVEL REQUEST ([CAL OES Form 2-158](#))

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- LODGING RATE EXEMPTION REQUEST ([CAL OES FORM 2-165](#))
- ADDITIONAL DOCUMENTS
 - INDIRECT COST RATE AGREEMENT
 - ORGANIZATIONAL CHART
 - OPERATIONAL AGREEMENT SUMMARY FORM ([CAL OES FORM 2-160](#))