Office to Monitor and Combat Trafficking in Persons

Guidelines for Submitting CPC Prevalence Study Proposals

April 2022

Contents

Purpose of Guidelines

These guidelines are intended to support organizations in preparing proposed project documents. Applicants are responsible for reviewing the funding opportunity, required application templates, and the following guidelines when preparing applications.

Online Forms: Standard Forms 424, 424A, and 424B
There are three mandatory application forms that must be completed through SAMS Domestic (https://mygrants.service-now.com/grants):

- SF-424 (*Application for Federal Assistance)*
- SF-424A *(Budget Information for Non-Construction programs)*
- SF-424B *(Assurances for Non-Construction programs)*

When completing these forms, please use the below guidance to fill in all fields except where noted as "Leave Blank."

SF-424 (Application for Federal Assistance)

1. **Type of Submission:** Application
2. **Type of Application:** New
3. **Date Received:** This will be assigned automatically; if not, please select the submission date on the calendar icon.
4. **Applicant Identifier:** Leave blank.

5a. **Federal Entity Identifier:** Leave blank.
5b. **Federal Award Identifier:** Leave blank.
6. **Date Received by State:** Leave blank. This will be assigned automatically.
7. **State Application Identified:** Leave blank. This will be assigned automatically.
8a. **Enter the legal name of the applicant organization:** Do **NOT** list abbreviations or acronyms unless they are part of the organization's ***legal name***.
8b. **Employer/Taxpayer ID Number:** Non-U.S. organizations enter 44-4444444.
8c. **Enter organizational Unique Entity Identifier number (UEI)**. Organizations can request a UEI number at: SAM.gov/SAM/. Enter "0000000000" for organizations that do not yet have a UEI number.
8d. **Enter the headquarters address of the applicant**
8e. **Enter the name of the primary organizational unit** (and department or division) that will undertake the assistance activity as applicable.
8f. **Enter the name, title, and all contact information of the person to be contacted** on matters involving this application.
9. **Select an applicant type** (type of organization)
10. **Enter:** Office to Monitor and Combat Trafficking in Persons
11. **Enter:** 19.019. This should be automatically entered.
12. **Enter the Funding Opportunity Number and title.** This number will already be entered on electronic applications.

13. **Enter the Competition Identification Number and title.** This number will already be entered on electronic applications.
14. **Areas Affected by Project:** Enter country or region.
15. **Enter the title of proposed project:** Enter project title.
16. (16a) **Congressional districts of Applicant:** Applicants based in the U.S. should enter congressional district. Foreign applicants should enter "90." 16(b) All applicants should enter "90."
17. Enter **start date October 1, 2022,** and projected end date.
18. (18a) Enter the **amount requested** for the project described in the full proposal under "Federal"; (18b) enter any cost-share under "Applicant." If not proposing cost-share, enter zeros.
19. **Select** "c. Program is not covered by E.O 12372."
20. **Select the appropriate box.** If the answer is "yes" to this question, provide an explanation.
21. Enter the name, title, and all contact information of the **individual authorized to sign for the application** on behalf of the applicant organization.

SF-424A –Applicants often say this form is confusing. Please review the detailed instructions below BEFORE completing this form online.

Section A - Budget Summary – Complete Tab 1

a. **Enter:** Anti-Trafficking Program (This is the only grant program that needs to be entered). Click Save to refresh the page.
b. Click the Anti-Trafficking Program link and **enter:** 19.019.
c-d. Leave these fields blank.
e. Enter the **amount of federal funds requested** for this project.
f. Enter the **amount of any other funds the applicant will receive** towards this project.
g. The **total cost** of this project will automatically be calculated. Click Save & Return

Section B - Budget Categories – Complete Tab 2 – Enter total project costs in each category in Column 1 as described below. In Column 5 the form should automatically show the sum. Columns 2, 3, and 4 leave blanks.

a-h. Click into each category to enter the amount for **each object class category** (Include cost sharing).
i. Enter the **sum** of 6a-6h.
j. Enter **any indirect charges**.
k. Enter the **sum of 6i and 6j**.

Program Income. Enter any program income that will be earned **as a result of the project**. If none, leave this section blank.

Section C - Non-Federal Resources – Complete Tab 3 – *(Only complete this section if the proposal includes funds from other sources)*

1. **Click into** Anti-Trafficking Program.
2. Enter **cost share** amount in the Applicant field, if applicable.
3. Leave the State field **blank**.
4. Enter the amount of any **other funding sources** for this project.
5. The **total amount for all non-federal resources** should automatically be calculated.

Section D - Forecasted Cash Needs – Complete Tab 4

1. In the first column, enter the <u>total</u> amount of **federal funds** requested for the project. Forecasted cash needs by quarter are <u>not required</u>.
2. In the first column, enter the total amount of **non-federal funds** you expect to expend during the project. Please list total cost share in this column. Forecasted cash needs by quarter are <u>not required</u>.
3. The form should automatically calculate the sum. Forecasted cash needs by quarter are <u>not required</u>.

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project – Complete Tab 5

1. **Click** Anti-Trafficking Program.
2. Enter the amount of federal funds to be expended in year one of the project. Click Save.
3. Enter the amount of federal funds to be expended in year two of the project (if applicable).
4. Enter the amount of federal funds to be expended in year three of the project (if applicable).

Section F - Other Budget Information – Complete Tab 6

1. Enter: Direct Charges **– Leave Blank.**
2. Enter: Indirect Charges – If Indirect Charges are shown in Tab 2 (Budget Categories), enter the type of Indirect Rate used (Provisional, Predetermined, Final, or Fixed).
3. Enter any comments.

SF-424B

This form must be signed online in **SAMS Domestic**. Please note, the SF-424B is now required only for those applicants who have not registered in SAM.gov or recertified their registration in SAM.gov since February 2, 2019 and completed the online representations and certifications.

Project Narrative

Applicants are required to use the project narrative template on SAMS-Domestic. The template automatically complies with the character limit and black-colored, Times New Roman font. Spaces, footnotes, and charts ***are included*** *within the character limit. Applicants* ***MUST*** *type within the template's grey box as it is set to the character limit.*

The project narrative must list the following key information in the cover page:

- Project Title
- Name of applicant organization
- Name and email address of point of contact for the application (this should be the same contact that is listed on the SF-424 in 8f)
- Funding amount requested in U.S. dollars. If applicants include a cost share it should also be in U.S. dollars. No other figures are requested at this time.
- Project duration in months

The remaining area of this section will make up the foundation of the project narrative.

Project Narrative

The project narrative should include the following components:

1. Problem Statement (required)

The problem statement should describe the **specific** problem(s) that the proposed prevalence study will address, including but not limited to: the problem's causes, magnitude, trends, and impact of child trafficking, specifically within the four trafficking types listed in the NOFO; who or what is being impacted by the problem; and relevant conditions (e.g., economic, political, social, environmental, etc.) affecting the problem. All four trafficking types should be reflected in the proposal, and the proposal should cover more than one region. In addition, the problem statement should define how the problem(s) the applicant seeks to address contributes to and aligns with the goal and objectives of the CPC Partnership listed in the NOFO, and how the project will help inform the design of programmatic interventions under the CPC Partnership. To the extent possible, the problem statement should be informed by literature review, including previous relevant studies.

2. Prevalence Study Methodology (required)

Provide an overview of planned prevalence quantitative and qualitative research methodologies to be applied and a rationale for the selection of research methods. A methodology must establish a prevalence estimate baseline. Applicants are encouraged to conduct prevalence estimates via direct identification of victims or survivors, but may also utilize proxy indicators of prevalence, provided an evidence-based connection to prevalence can be demonstrated. Researchers should discuss decisions to balance study breadth, rigor, contextual appropriateness, and representativeness. The research team must have experience in quantitative research and experimental methodologies, as well as experience in researching vulnerable and/or hidden populations, and experience or partnerships operating in Colombia. The experts in quantitative social science research and human trafficking should be involved in research design and implementation. Applicants must describe how all methods chosen are appropriate to the selected context. In addition, applicants must describe the following:

i. Research question/s
ii. Example of a prevalence estimate methodology to be applied including:
   a. Target population/s
   b. Sampling plan
   c. Sample survey instruments and tools
iii. Research Team Roles and Qualifications
iv. Locally Informed Formative Research
v. Pilot Testing and Validation
vi. Research Implementation and Administration
vii. Limitations
viii. Ethics Planning
ix. Data Collection and Analysis Plan
x. Dissemination Plan: Describe the strategy to share learning with government, academic, civil society, etc.; ensure end-user engagement, and consider opportunities for policy and programmatic action

The prevalence study methodology must also describe a strategy to demonstrate a reduction in prevalence of child trafficking in target regions through recommendations for programmatic interventions by the CPC implementing partners. The baseline prevalence study should be replicable in an endline study to measure prevalence reduction of child trafficking in the regions, sectors, and communities targeted for intervention under the CPC Partnership in Colombia.

If applicants are not a research institution, they <u>must</u> include in their proposals, a pre-identified external research partner/s responsible for producing a baseline prevalence estimate, as well as a justification for the selection of the chosen research partner. The TIP Office strongly encourages applicants to select a research partner with expertise in quantitative research and experimental methodologies, expertise in researching vulnerable and/or hidden populations, and experience with partnerships operating in Colombia. Plans illustrating communication and coordination between the applicant and research partner should also be presented, in addition to a suggested timeline for prevalence research, including the integration of prevalence estimate results for the design of programmatic interventions.

Applicants may serve as prime implementers of prevalence research, initiate and manage sub-grants to conduct research, or undertake a combined approach.

Proposals must reflect an understanding of and utilize victim-centered, trauma- and survivor-informed approaches to human trafficking. The applicant must ensure all research involving human beings is reviewed by an ethics committee, such as an Institutional Review Board (IRB), to ensure that the appropriate ethical standards are upheld.

Gender Integration (required)
Gender must be clearly integrated into the research cycle. Through a gender analysis, the differences and inequalities between the lives of men, women, girls, boys, and members of other gender diverse groups are considered in all aspects of research from an initial idea, formulating research questions, objectives, methodologies, outcomes, to presentation of results. These differences and inequalities are often shaped by unequal power relations and norms that decide what roles, attitudes, and behaviors are considered normal or appropriate. A lack of gender integration in research risks undermining the reliability and validity of research findings and their representation of social realities, and can cause programs, policies, and campaigns on which the research is based to reinforce rather than challenge gender inequalities. To the extent possible, applicants are responsible for reviewing their research design from a gender perspective, where gender is considered in the 1) research rationale; 2) research design; 3) research methodology; 4) implementation strategies; 5) communication strategies. To the extent possible, gender integrated research generally asks the following questions:

1. Are women, men, and members of gender-diverse communities considered in the sampling? Are intersectionalities (e.g., age, ethnicity, class, income, and education level) considered?

2. Does the research use participatory or collaborative approaches or methodologies in the research process?
3. For qualitative methods such as focus groups and interviews, are gender-specific spaces created?
4. Are the data collection tools designed to consider and challenge gender stereotypes and social and cultural factors that may introduce gender bias into the data (examples include: collection of employment data that excludes informal and unpaid care work, questionnaires that consider head of households to only be men, questions asked of proxy respondents rather than individuals themselves)?
5. Does the data analysis draw out the critical similarities and differences between men's, women's, and members of gender-diverse communities' experiences of the issue or problem?
6. Does the analysis unpack the gender dimensions of social groups; for example, does it unpack 'women' looking at the intersectionalities of income, race, and class?
7. Do you consider how social norms, power relations, and other structural factors underlying gender inequality affect your research process?
8. Will there be opportunities throughout the research cycle to be reflexive and aware of your own gender assumptions, biases, and power as a researcher?
9. Does the research methodology enable critical learning, reflection, and questioning of gender inequality by all involved in the research process?
10. Does the research strive for meaningful participation of different gender diverse and socially excluded groups during different stages of the research cycle, including analysis, validation, and use of the research results? Are survivors and other local actors engaged?

3. Organizational Capacity (required)

The application describes the capacities and qualifications that enable the applicant to address the problem(s) stated above in the proposed location(s) for the proposed trafficking types. The application clearly demonstrates the applicant's ability to implement a prevalence study project that incorporates the guidelines of trauma- and survivor-informed principles to combat child trafficking in Colombia. Applicant has appropriate knowledge of child trafficking, specifically in the four *trafficking types* listed in the NOFO. Applicants should also describe any demonstrable experience in administering projects of similar size and scope, and experience administering projects within similar or related subject matter areas.

For prior recipients of both TIP Office and other U.S. government funding, the TIP Office will consider the past performance on awards. For new applicants, the TIP

Office will evaluate the organization's potential to successfully implement a prevalence study. Applicant must identify well-qualified key personnel to manage the project and oversee implementation.

4. Partnerships (required)
All applicants must describe existing or proposed partnerships with anti-trafficking and other related stakeholders to enhance the project's ability to carry out activities effectively, meet the project's objectives, and contribute to the project's goal. In cases where an applicant is not able to partner with a local organization or institution, does not consider it feasible to do so, or does not consider it in the project's best interest, the application must clearly explain why. Applicants are encouraged to work with survivor-led organizations as sub-grantees or partners.

Applicants may partner with other organizations to implement and carry out project activities. If an applicant applies for an award under this funding opportunity with partner organizations, this section must demonstrate a partnership approach that clearly delineates the respective roles and responsibilities of the applicant and of each partner. Applicants should submit a copy of any signed partnership agreements. All letters of partnership from intended sub-recipients may be submitted in a foreign language, however, if selected for funding the applicant will be asked to submit an English translation.

In instances where the project works with a government entity, the applicant must demonstrate political will or their ability to secure a partnership with the government.

5. Coordination with Other Anti-Trafficking Stakeholders (required)
The TIP Office encourages coordination among donors, implementers, and other anti-trafficking stakeholders in the chosen locale. Applications must demonstrate a clear understanding of the role that local organizations and institutions play in combating human trafficking and identify how they will coordinate with these stakeholders to support broader anti-trafficking strategies and mitigate duplicative efforts, and to support information and knowledge sharing for the prevalence study. In cases where an applicant chooses not to coordinate with other anti-trafficking stakeholders, the application must clearly explain why.

Proposal Narrative Annexes

All applicants are required to submit the following illustrative annexes, completed to the extent possible. Proposal review panel members will use the annexes (unless noted otherwise) along with the project narrative to evaluate applications.

Annex A: Results Monitoring Plan (RMP) (required)
All applicants are required to submit a Results Monitoring Plan. (RMP). **Selected** successful applicants will be asked to work with their TIP Office Program Officer to input the RMP within the SAMS-D RMP module and will be asked to report indicator results on a quarterly basis within the SAMS-D system. Successful applicants not selected to use the RMP module in SAMS-D will be expected to report quarterly data via Annex A, and via a Common Performance Indicator (CPI) specific data collection tool, which will be distributed post-award. The RMP will list collectible indicators for each study objective, developed by the applicant. Indicators in the RMP will be used to monitor quantitative project outputs and will help TIP Office Program Officers better understand and speak to the study's progress on quarterly basis.

The purpose of including indicators at this stage is to assess the applicant's monitoring capacity. Please include illustrative, collectible indicators in the RMP. Successful applicants will have an opportunity to revise indicators during the negotiation process. The RMP also provides the TIP Office with an understanding of how the applicant intends to monitor progress toward the study's stated objectives, as well as the details of each indicator. Sample indicators include 1) Number of surveys conducted, disaggregated by region 2) Number of IRB protocols approved 3) Number of protocols piloted 4) Number of dissemination meetings held. Please refer to the annex itself for a breakdown of definitions.

Annex B: Timeline (required)

Applicants must provide the timeline in the form of a Gantt chart. Applicants who choose to use the attached template may need to make adjustments to tailor the listed duration and number of listed activities to match those of proposed project:

- Applicants should rename "Project Title" and "Organization Name."
- Applicants should rename "Activity 1," "Activity 2," etc., as needed to match the proposed project activities and listed the individual responsible for each activity.

- Applicants should fill in the proposed start dates for each activity in Column B and fill in the columns to reflect the amount of time to be spent on the activity.

Annex C: Risk Mitigation and Contingency Planning (required)

To the extent possible, applicants must identify those facts about the operating environment that are true at the time of the proposal and will need to stay true for the project's logic to remain valid. How likely is it that each will remain true? What are the implications if they do not? Based on that analysis, how risky is the project from the perspective of whether it will meet its goal?

Separately, describe how the project could cause inadvertent harm and how the project and implementation strategy are designed to mitigate that risk. If applicable, describe the safety and security risk to personnel involved in implementing the project and how that risk will be mitigated.

Applicants are highly encouraged to use the table below as a tool to identify, analyze and plan for risk on their own. The applicant is welcome to submit a security, risk mitigation, and contingency plan in a format that best suits the project, so the TIP Office will not provide a standard template. This annex should not exceed two pages.

Risk Factor	**Consequence(s) for Project Activities**	**Likelihood of Risk (High, Medium, Low) & Timeline**	**Risk Mitigation Plan (ongoing monitoring)**	**Contingency Plan (Plan B if risk mitigation does not work)**
EXAMPLE: Natural disaster	*EXAMPLE: Complete hold on project implementation*	*EXAMPLE: Likelihood of Risk: High (especially during raining seasons) Timeline: 3-5 months of the year*	*EXAMPLE: Tolerate the risk without further treatment*	*EXAMPLE: Work with the TIP Office to place temporary hold on program activities until safe to resume*

Budget Annexes (Annexes D-F): Summary Budget, Line-Item Budget, and Budget Narrative

Applicants should use the required templates for each budget on ***SAMS Domestic****. The budgets must be presented in Microsoft Word or Microsoft Excel with black-colored, Times New Roman font.*

The budget must be presented in the three separate formats described below: Budget Summary, Line-Item Budget, and Budget Narrative. The three budget formats must be submitted in separate documents to be considered for funding. If your application has voluntary cost share, please be sure to list it in the appropriate columns as demonstrated below.

The summary budget, line-item budget, and budget narrative submitted must specify the total amount of funding requested and the amount spent per year and must be in U.S. dollars.

Annex D: Budget Summary by Project Year (required)

Provide a summary budget showing totals for the categories listed below for each year of the project. Only include the cost-share column if the requested budget includes voluntary cost-share.

For your convenience, a sample is listed below.

Budget Summary Categories	Year XX	Year XX	Cost Share *(if applicable)*	Total Federal Funds Requested	Total Cost of Project *(includes cost-share, if applicable)*
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Construction					
8. Other Direct Costs					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs					
11. Total Costs (lines 9-10)					

Annex E: Line-Item Budget (required)

Provide a breakdown or spreadsheet showing costs in each of the budget categories listed below, with detailed calculations showing estimation methods, quantities, unit costs, and other similar detail per project year. Any cost-share presented must be broken down according to line items.

Applicants must address the following line-items:

Personnel – For each staff person, provide information such as job title, time commitment to the project as a percentage of full-time equivalent, annual salary (or wage rate), and salary from grant funds.

Fringe Benefits – Provide one fringe line item per one employee.

Travel – Identify staff and participant travel, including international airfare, in-country travel, domestic travel in the U.S., and *per diem*/maintenance (includes lodging, meals, and incidentals for both participant and staff travel). Rates of maximum allowance for U.S. and foreign travel are available at www.fedtravel.com. *Per diem* rates may not exceed the published USG allowance rates, but applicants may use lower *per diem* rates.

Equipment – For each type of equipment requested, describe the equipment, the cost per unit, the number of units, and the total cost. Equipment is defined as tangible property having a useful life of more than one year and an acquisition cost of $5,000 or more per item.

Supplies – List items separately using unit costs (and the percentage of each unit cost being charged to the grant) for items such as photocopying, postage, telephone/fax, printing, and office supplies.

Contractual – Provide the costs of all contracts for services and goods, except for those that belong under other categories (such as equipment, supplies, construction, etc.). For each sub-award or contract known at the time of application, provide a detailed line-item breakdown explaining specific costs and services. If consultants will be used in the grant, provide all costs related to their activities, including travel and *per diem* costs.

Construction – The TIP Office generally restricts the use of Federal assistance for construction purposes. Construction costs are defined as non-major costs for rearrangement and alteration or reconversion or renovation of facilities. This includes normal alterations to modify any buildings or grounds, such as replacing doors or painting. Please refer to the funding restrictions on construction under Section 5 "Funding Restrictions" in the NOFO.

Other Direct Costs – (These will vary depending on the nature of the award.) Provide computations for all other costs. These costs, where applicable and appropriate, may include but are not limited to insurance, food, professional services, space and equipment rentals, stipends, telephone and electricity.

Indirect Charges – Indirect charges are costs that have been incurred for common or joint objectives of an organization and cannot be readily identified with a particular cost objective. These costs are determined by the recipient's accounting system's definition. Generally, a negotiated indirect cost rate agreement (NICRA) is not warranted unless an organization has many U.S. government awards at one time. If applicants do not have a NICRA, they can include a de minimis rate of 10% of modified total direct costs (MTDC). (Please note, the MTDC base excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub-award in excess of $25,000.) Organizations that do not have a NICRA will not be disqualified or penalized.

Annex F: Budget Narrative (required)
The budget narrative must be presented in Microsoft Word with black-colored, Times New Roman font.

This section is a brief, two-to-three-sentence explanation of each line item that justifies identified costs.

Please expand on the line-items listed below in the budget narrative.

Personnel – Identify staffing requirements by each position title with a brief description of duties, percentage of time dedicated to the project(s), work locations and other justifications for these costs as they relate to the project.

Fringe Benefits – Provide a breakdown of the amounts and percentages that comprise fringe benefit costs for employees, including health insurance, FICA, retirement insurance and taxes. List fringe benefit costs separately from salary costs and explain how benefits are computed for each category of employee.

Travel – Provide a description of travel costs, including the purpose of the travel, how the travel relates to the project, and who will be traveling under these costs.

Equipment – Provide justification for any planned equipment purchase/rental for the project. Note that equipment is defined as tangible property having a useful life of more than one year and an acquisition cost of $5,000 or more.

Supplies – Describe general categories of supplies and their direct use for the project.

Contractual – Describe each contractual or consultant cost and outline the necessity of each for the project.

Construction – Describe each of the construction costs as anticipated during the course of the grant. Please refer to the funding restrictions on construction under Section 5 “Funding Restrictions”.

Other Direct Costs – Provide a narrative description and a justification for each cost under this category and describe how the costs specifically relate to this project.

Indirect Charges – Describe the cost rate used to calculate indirect charges.

Annex G: Negotiated Indirect Cost Rate Agreement (NICRA)*
This is not applicable to all applicants and is only required for those applicants that have a NICRA.

A Negotiated Indirect Cost Rate Agreement (NICRA) is a document published to reflect an estimate of indirect cost rate negotiated between the Federal Government and a grantee organization, which reflects the indirect costs (facilities and administrative costs) and fringe benefit expenses incurred by the organization that will be the same across all of the agencies of the United States.

Applicants that have a NICRA must submit a copy of the current NICRA between their organization and the relevant U.S. government agency. It should clearly indicate the type of Indirect Rate used (*e.g., Provisional, Predetermined, Final, or Fixed*).

Not all organizations may have a NICRA and organizations that do not have a NICRA will not be disqualified or penalized. Applicants that do not have a NICRA can include a de minimis rate of 10% of modified total direct costs (MTDC).

Annex H: Resumes/CVs for Key Personnel (5 pages per resume maximum)
Resumes and CVs must be presented in Microsoft Word with black-colored, Times New Roman font. Each resume or CV may be no longer than five pages.

If key personnel have already been identified for the proposed project, applicants must submit the relevant individuals' resume/CVs. Key personnel are defined as individuals who contribute to the program development or execution of a project in a substantive measurable way; this is typically a program director or program manager. No more than five positions should be identified as key personnel.

Each resume/CV shall include the individual's educational background, current employment status, and previous work experience, including position title, duties performed, dates in position, and employing organizations. The resume should highlight skills relevant to managing the program, including donor coordination, grants management, and anti-trafficking-in-persons expertise.

If the key personnel selected to work on the proposed program will also be working on another TIP Office program or project that is already being funded, please provide the time commitments for both the existing program and proposed program.

Annex I: Letters of Agreement or Letters of Intent to Cooperate

Applicants should submit letters of intent to cooperate, **in English**, from the entity or entities that indicate their willingness to form a partnership for the purposes of the program.