
Questions to and Answers from the Office to Monitor and Combat Trafficking in Persons (TIP Office) about its Program to End Modern Slavery (PEMS) Funding Opportunity

2023

ELIGIBILITY

Q. Who is eligible to apply for funding?

A. U.S.-based and foreign non-governmental organizations (including faith-based organizations), non-profits, public international organizations (PIOs), for-profit organizations, and institutions of higher education.

For-profit organizations are **not** permitted to generate profits from grant-funded activities

The Department of State's Office of the Procurement Executive must provide additional approval for grants awarded to for-profit entities.

Foreign governments are not eligible to apply, although governments may be beneficiaries of funded programs, provided that funding does not pay salaries of government agency personnel and that such assistance is not restricted by U.S. law or policy.

Q. How many applications can an organization submit to this funding opportunity?

A. Organizations can submit up to three (3) proposals as the prime organization under Programming Priority One and/or one (1) proposal under Programming Priority Two. If an organization submits the maximum number of proposals under

both programming priorities, the organization can only submit a total of four (4) proposals under this funding opportunity. Applicants with multiple country locations, offices, or entities must coordinate to limit the total number of proposals in which the organization is listed as the prime applicant to comply with the limits above. Note that there is no limit on the number of applications on which an organization is included as a partner or subgrantee.

Q. Are there a limited number of applications where an organization can be a partner organization?

A. No, however, the TIP Office reserves the right to request changes to sub-grantees to avoid conflict of interest between awards under programming priorities one and two.

Q. If an organization submits more than the allotted applications, will it receive a technical fail?

A. If an organization submits more than the allotted number of applications per Programming priority, then the last submitted application/s, which will be determined by date and time of submission, will not be eligible and receive a technical fail.

Q. Can an organization apply to more than one programing priority?

A. Yes, an organization can apply to both Programming Priority One and Programming Priority Two. Organizations may submit up to (3) proposals as the prime applicant under Programming Priority One and may only submit one (1) proposal under Programming Priority Two. Any additional submissions received will be disqualified. Organizations that submit an application as the prime organization under both priorities may or may not receive funding for both awards. The TIP Office reserves the right to request changes in sub-grantees and

personnel to avoid conflict of interest between awards under Programming Priorities One and Two.

Q. May an organization apply separately as a partner organization and a prime?

A. Yes, an organization can apply as the prime organization and be a partner organization on another application so long as the prime organization is clearly identified. For example, organizations may also be listed as a sub-grantee on Priority One and apply as a prime for Priority Two, or an organization may be included as a sub-grantee under Programming Priority One and submit a application for a different project as the prime applicant under Programming Priority One.

Q. Should Programming Priority One prime applicants be research institutions because of the focus on IDR?

A. As stated in the Notice of Funding Opportunity (NOFO), organizations eligible to apply include U.S.-based and foreign non-governmental organizations (including faith-based organizations), non-profits, public international organizations (PIOs), for-profit organizations, and institutions of higher education. For-profit organizations are not permitted to generate profits from grant-funded activities. U.S. government agencies may respond to this NOFO with proposals that would be funded through an Interagency Acquisition Agreement. While foreign governments are not eligible to apply for awards under this funding opportunity, either as an applicant or as a sub-recipient, governments may be beneficiaries of projects provided that funding does not pay salaries of government agency personnel and that such assistance is not restricted by U.S. law or policy.

There are no specific limitations or requirements that require prime applicants to be research institutions. Applicants should carefully read the organizational capacity requirements in the NOFO and Guidance document to ensure that the prime applicant and partners have and are able to demonstrate the necessary capacity and expertise to implement awards in each area.

Q. Could part of the interventions target high income countries? Are there any restrictions on programming in developed or high-income countries?

A. For human trafficking that involves migration (domestically or internationally), projects can focus on the source, transit, and/or destination locations. The TIP Office may fund activities in high-income countries, but the use of foreign assistance funding to benefit a high-income country requires additional review. The TIP Office considers high-income countries to be those designated as high income by the World Bank using the gross national income (GNI) per capita (Atlas method). The current threshold for high-income countries (based on 2023 data) is a GNI per capita of \$13,206 or more.

LOGISTICS

Q. How much funding does the TIP Office have for PEMS?

A. The U.S. Congress has appropriated \$25 million annually since Fiscal Year 2016 for PEMS. The TIP Office plans to allocate up to \$18 million in FY 23 funding to issue multiple awards between \$2 million and \$4 million for Programming Priority One and up to \$1 million for Programming Priority Two.

Q. How much money will be allocated to each Programming Priority?

A. The TIP Office plans to allocate up to \$18 million to this funding opportunity. Depending on the quality of the applications and the availability of funds, for Programming Priority One, the TIP Office plans to issue **multiple** awards of between \$2 and \$4 million. For Programming Priority Two the TIP Office plans to issue **one** award of up to \$1 million.

Q. What is the maximum number of awards?

A. For Programming Priority One: the number of awards depends on the quality of proposals and the availability of funds. For Programming Priority Two: the TIP Office plans to fund one award, however funding is dependent upon the quality of the proposals and the availability of funds.

Q. What are the expected funding dates?

A. Subject to available funds, the TIP Office expects to award the funds to successful applicant(s) no later than the end of September 2023.

Q. Can you clarify about the page limit and character limit for the Proposal Narrative?

A. Please refer to the NOFO regarding the **character limit** for the Narrative. Applicants are required to use the Narrative Template provided within SAMS-D. **NOTE:** Applicants MUST use the provided section headers that you will find in the NOFO narrative in the submitted narrative. This requirement applies to both Programming Priority One and Programming Priority Two, and there are separate templates for each. In each template, the character count does not include the table at the top and will be calculated to include all content below the line that states “character count begins below this line.”

Q. Do charts count toward the character count?

A. Yes, anything in the project narrative counts towards the character count.

Q. Do the provided headers in the narrative count toward the total character count?

A. Yes the provided headers count towards the total narrative count. For Programming Priority One, the headers character count is: 751. For Programming Priority Two, the header character count is: 388.

Q. May an applicant include footnotes in the project narrative?

A. Yes, an applicant may include footnotes within the project narrative. However, the **footnotes will be included within the character count limit**. Please use Annex O: Reference List for citations from the Project Narrative.

Q. Where can I find specifics regarding projects previously funded by the TIP Office?

A. Applicants are encouraged to look to our website, <https://www.state.gov/tip-office-project-descriptions/>, for information on TIP Office-funded projects from prior years.

Q. What has changed in this NOFO?

A. Please note there have been significant changes to this funding opportunity, including but not limited to updated guidelines, updated criteria for selection, and revised annex documents. Applicants should carefully read the funding opportunity and NOFO Guidelines.

Q. Can one application include multiple locations?

A. Applications should focus on one type of trafficking in one population in a single geography. For human trafficking that involves migration (domestically or internationally), projects can focus on the source, transit, and/or destination locations. The TIP Office has not specified a particular geography, location, or target population for prioritization within the PEMS 7 NOFO.

Q. Can a multi-country program focused on trafficking within a source, transit, or destination/country context with the same target population define different

country-specific interventions at Stage 2 of project implementation or does the intervention have to be similar across all countries?

A: Applicants are expected to develop an intervention model displaying a deep understanding of the context, including the target populations, and system in which it will be implemented. Multi-country projects must be properly designed and resourced to conduct research across the entire system to identify the intervention entry points that are most likely to be successful. These entry points may be at various points along the migration continuum (*e.g., source, transit, and destination*). Projects must develop a coherent intervention model consisting of the components that demonstrate the most potential to be effective during pilot testing. In line with aim of Programming Priority One, proposals should seek to develop a model that is sustainable and can be adapted and scaled-up or replicated in other contexts.

BUDGET AND TIMELINE

Q. Are organizations eligible to charge indirect costs?

A. Regarding indirect costs, organizations without a Negotiated Indirect Cost Recovery Agreement (NICRA) can elect to use the de minimis rate of 10% of the modified total direct costs (MTDC) when submitting a budget; in accordance with 2 CFR 200.414(f). If the recipient does not have a NICRA and elects not to use the de minimis rate, identified “overhead costs” may be broken out by individual line item (e.g., electricity, accountant fees, etc.) and charged as direct costs. However, these must be on a cost allocated basis. For example, if the award project accounts for 20% of the organization’s work, only 20% of the electricity, accountant fees, etc. should be charged as a direct cost to the grant. Organizations with NICRA agreements should account for indirect cost in accordance with their negotiated agreements.

Q. Is there any restriction with regards to the cost share (e.g., max. amount)?

A. No, there is no cap on cost share, but applicants must be able to clearly justify the quantity of funding they plan to allocate to a sub-grantee and explain why

that funding is being allocated. Items that are proposed for cost share must be allowable, reasonable, and allocable.

Q. Is there any other limitation on the duration of the grant period?

A. For both programming priorities, project duration should be between three (3) to four (4) years. The NOFO does not specify a preferred duration.

Q. What budget information is required for the application at time of submission?

A. Each application should provide a summary budget and detailed line-item budget by year that captures costs for implementing their proposed project. Note that at this stage, a summary budget and detailed line-item budget tab is required for any partners named in the proposal. For Programming Priority 1, applicants not based in the country of implementation must name a local partner and therefore must submit their detailed budget and a letter of agreement. Programming Priority One proposals must also include an estimated breakdown of costs by IDR Phase (four in total) in a table in the budget narrative. Please see the example budget narrative provided in SAMS-D. Programming Priority 2 applicants should base their budget on an estimated number of four IDR awards. If a different number of IDR projects are awarded under this opportunity, the TIP Office will negotiate costs and total budget for the award under Programming Priority Two.

Q. What budget information is required for sub-awardees at time of submission?

A. For each subaward or contract named at the time of application, provide a detailed line-item budget as a separate tab explaining specific costs and services. If consultants will be used in the grant, provide all costs related to their effort, including travel and per diem costs. Budget totals for additional subawards that

will be determined later in the project should be listed under the Contractual budget category.

Q. How should organizations prepare the budget for interventions that will be designed as a result of initial research and planning under Stage 1?

A. Given that the exact nature of the intervention model to be piloted is unknown at the proposal writing phase, Programming Priority 1 applicants may include a lump sum for the cost of pilot interventions. Please note that the detailed costing of the preliminary intervention model is a Stage 2 deliverable. Applicants should also consider the costs associated with any studies to assess the feasibility and/or acceptability of specific components of the intervention model prior to its pilot in Stage 3.

APPLICATION SUBMISSION

Q. How do I unlock my SAMS Domestic account or change my SAMS Domestic password? What should I do if I encounter difficulty using the SAMS Domestic website?

A. Unfortunately, the TIP Office is unable to unlock SAMS Domestic accounts or reset passwords. For assistance with SAMS Domestic (<https://mygrants.service-now.com/grants>) please contact the ILMS Support Desk at 1-888-313-4567 (toll free for international callers) or submit a ticket using the ILMS Self Service Portal (<https://afsitsm.servicenowservices.com/ilms>). Please let us know if you have any questions by emailing JTIPGrants@state.gov.

Q. What does an application include?

A. Detailed information on formatting requirements and more can be found in the NOFO and Guidelines Document.

Q. We are experiencing difficulty requesting a UEI number.

A. For information and assistance with UEI numbers, please contact the Help Desk at FSD.gov.

Q. If an organization proposes a partnership with another organization, do all parties need to obtain a UEI number, or only the applicant?

A. For the purpose of filling out the SF 424s and submitting an application, the only UEI number required is that of the applicant – the principal organization which is requesting funding. (Note: A valid UEI is not required for submission of an application on SAMS-Domestic; however, a valid UEI number is required for organizations selected for an award. Organizations should verify their UEI number or take the steps needed to obtain one as soon as possible.)

Organizations proposing partnership or sub-award agreements in their proposals are advised that their partners are required to have a UEI number. A recipient may not make a subaward to a subrecipient unless that subrecipient has obtained and provided to the recipient a UEI.

Q. May two organizations or more organizations jointly submit an application?

A. No, there must be a single applicant. While applicants may designate one or more partner organizations as sub-recipients, there may only be one primary award recipient.

Q. Who should be listed as the authorized certifying official on the SF-424-B?

A. The “certifying official” is the person within your organization who can / will sign the grant award if an award is made. This could be the organization’s director, a project manager, or grants coordinator, for example. This is also the only point of contact who will receive information regarding the status of the application.

Q. What are the legal provisions that successful applicants are required to follow?

A. Standard Terms and Conditions: Before submitting an application, applicants should review all the terms and conditions and required certifications which will apply to this award, to ensure that they will be able to comply. These include: 2 CFR 200, 2 CFR 600, Certifications and Assurances, and the Department of State Standard Terms and Conditions, all of which are available at:

<https://www.statebuy.state.gov/fa/pages/home.aspx>. This information can also be found on page 36 of the NOFO.

PROPOSAL CONTENT: PROGRAMMING PRIORITY ONE: INTERVENTION DEVELOPMENT RESEARCH

Q. Does the TIP Office expect / require applicants to be registered in the country(ies) in which they intend to implement via sub-awards?

A. Applicants are not required to be registered in the countries in which they plan to implement proposed projects. However, Programming Priority One applicants not based in the intervention area must include at least one identified local partner engaged in the project from its inception. The TIP Office will consider applicants to be based in the intervention area if there is an existing office implementing programming with a mailing address and legal recognition in the country (whether as a branch office of an international organization, locally registered NGO, etc.).

Q. Please clarify the type of stakeholders we should include in the co-creation process.

A. Incorporating a range of perspectives is essential to the intervention development process. Applicants must include a range of stakeholders that reflect diverse backgrounds, including members of the target population and human trafficking survivors. Particular attention should be paid to inclusiveness and

power dynamics and budgets should include costs to ensure meaningful and sustained participation of stakeholders throughout the project period.

Q. Is the applicant allowed to have in-house research capacities to conduct the proposed research or must the research component be awarded in subsequent open-competitive solicitations to be administered by this successful applicant?

A. The applicant is permitted to have in-house research capacities and expertise to conduct the research activities if those staff have the necessary qualifications; it is not required that they are sub-contracted and/or sub-awarded to an outside entity.

Q. What does it mean to meaningfully include survivors or persons with lived experience?

A. Engaging survivors in meaningful ways is critical to establishing effective victim-centered, trauma-informed, and culturally competent anti-trafficking policies and strategies that address prevention, protection, and prosecution, as well as partnerships. Meaningful inclusion means integrating input from survivors or persons with lived experience in the co-creation, implementation and/or evaluation of the project. Highly competitive projects will demonstrate an understanding of this approach. Applicants must describe how survivors or persons with lived experience of human trafficking are meaningfully included in the design, implementation and/or evaluation of the project. Applicants are highly encouraged to compensate survivors or persons with lived experience for any and all contributions made to the project. This compensation should be clearly articulated in the budget and budget narrative.

Q: Where can I find additional information regarding intervention development research?

A. Below you will find links to several key resources that were used to inform the development of this funding opportunity. This is a non-exhaustive list and applicants are encouraged to review the literature to identify additional sources.

- O'Cathain, A., Croot, L., Duncan, E., Rousseau, N., Sworn, K., Turner, K. M., ... & Hoddinott, P. (2019). [Guidance on how to develop complex interventions to improve health and healthcare](#). *BMJ open*, 9(8), e029954.
- O'Cathain, A., Croot, L., Sworn, K., Duncan, E., Rousseau, N., Turner, K., ... & Hoddinott, P. (2019). [Taxonomy of approaches to developing interventions to improve health: a systematic methods overview](#). *Pilot and feasibility studies*, 5(1), 1-27.
- Skivington, K., Matthews, L., Simpson, S. A., Craig, P., Baird, J., Blazeby, J. M., ... & Moore, L. (2021). [A new framework for developing and evaluating complex interventions: update of Medical Research Council guidance](#). *bmj*, 374.
- Wight, D., Wimbush, E., Jepson, R., & Doi, L. (2016). [Six steps in quality intervention development \(6SQuID\)](#). *J Epidemiol Community Health*, 70(5), 520-525

Q. Do interventions need to impact prevalence or can they address any issue related to Human Trafficking?

A. The goal of the Program to End Modern Slavery is to *measurably reduce the prevalence of human trafficking and the harms associated with the crime* in targeted populations through innovative interventions driven by research, monitoring, evaluation, and learning, and the expansion of partnerships with government, academia, civil society organizations, international organizations, and the private sector. Impact measurement may include prevalence estimation or proxy indicators. If an applicant proposes proxy indicators, the proposal should demonstrate how they relate to prevalence.

Q. Must applicants include a pilot or randomized control trial in as part of the intervention development research process?

A. The NOFO requests the generation of evidence and development of an intervention model with potential for adaptation and scale up. Randomized control trials are not required at the moment, but may be considered depending on the scale and circumstances. Applicants are expected to pilot test their intervention model in Stage 3. They should also consider assessing the feasibility of specific components before the pilot of the full intervention model.

Q. Does the TIP Office prioritize starting new interventions or implementing more developed ones under Programming Priority One?

A. As noted in the *Guidelines for Submitting TIP Office Proposals*, applicants should not hypothesize or predict the intervention model design at the proposal writing stage. Applicants may have some idea of the various components that comprise the model based on their experience, including prior programming, and/or existing evidence from the anti-trafficking or related fields. They may also be new programming. Regardless of the starting point, the TIP Office prioritizes projects that have the most potential to be effective, replicable, sustainable, and cost-effective. As also noted in the Guidelines, applicants must demonstrate how they will consider new knowledge acquired throughout the IDR process and introduce any necessary corresponding modifications.

Q. How would successful applicants interact with the applicants from Programming Priority Two?

A. The successful applicant of priority two will consult with the implementers of priority one programs across all stages, on items such as the identification of methods to understand and map the system and design of activities that support innovation by providing real-time feedback to help adapt interventions to emergent and dynamic conditions and document the IDR process with the

ultimate goal of developing an IDR manual for use by the broader anti-trafficking field more broadly, among other activities.

Q. Does the TIP Office have a preference for the type of publications used for the evidence review section of the proposal?

A. The TIP Office seeks the most compelling evidence based on rigorous research. The TIP Office does not have a preference for international or local journals versus white or background papers, but rather the caliber of the research and the relevance to the context in which an intervention will be introduced.

Q: Does the TIP Office have a preference for particular research methods?

A: No, the TIP Office does not have a preference for a particular research methodology. Applicants should propose a range of scientifically rigorous research methodologies (qualitative and quantitative) to inform the design of their intervention model and, ultimately, establish evidence on why it did or did not work and its potential for adaptations for other settings and/or scale-up. They must ensure that their proposed research methods are clear and capture the context in which the intervention will be implemented (e.g., social, environmental, and economic) and diverse perspectives of the target population, including human trafficking survivors, and other key stakeholders. They are highly encouraged to incorporate participatory research to challenge and disrupt power relations found in more traditional research. Lastly, applicants are also encouraged to utilize behavioral science theories and concepts to improve the design of their interventions in ways that reflect a deeper understanding of human behavior (e.g., how individuals make and act on decisions that influence their risk of human trafficking).

PROPOSAL CONTENT: PROGRAMMING PRIORITY TWO: DEVELOPMENTAL EVALUATION (DE)

Q. Where can I find more information about Developmental Evaluation?

A. Below you will find links to several key resources that were used to inform the development of this funding opportunity, most of which uses Michael Quinn Patton's approach to developmental evaluation. This is a non-exhaustive list and applicants are encouraged to review the literature to identify additional sources.

- An example of a developmental evaluation was provided in the NOFO, on USAID's "Coordinating Implementation Research to Communicate Learning and Evidence (CIRCLE)" project in Tanzania (find more information here https://pdf.usaid.gov/pdf_docs/PA00Z7MP.pdf) Additional examples of DEs undertaken by USAID and other funders can be found here: https://socialimpact.com/wp-content/uploads/2017/06/DEPA_MERL-web-Lookbook.pdf.
- A Practitioner's Guide to Developmental Evaluation: <https://www.mcconnellfoundation.ca/assets/Media%20Library/Publications/DE%20201%20EN.pdf>

Developmental Evaluation Exemplars – Examples to Common and Recurring Questions: <https://www.guilford.com/excerpts/patton2.pdf?t>

Q. How many IDR projects will the DE grantee be expected to evaluate and coach?

A. The DE grantee will be expected to provide DE coaching for each Programming Priority One funded award throughout the period of performance. The exact number of awards will be defined upon final negotiation of the Programming Priority Two award and the budget will be adjusted accordingly.

Q. Do applicants in Priority Two need to work with applicants in Priority One when submitting their proposal?

A. No, applications will be reviewed on their own merit. There is no expectation of collaboration or coordination between applicants in Programming Priority One and Programming Priority Two.

COMPETITIVE REVIEW

Q. How does the TIP Office decide which proposal(s) to fund?

A. Following the submission deadline, the TIP Office will screen all proposals to determine whether they meet the technical requirements stated in the announcement. As a reminder, the TIP Office will only consider proposals that meet the very specific requirements outlined in the funding opportunity. Following the technical review, a formal content review of each proposal that passes the technical review will commence. An intra- and interagency panel will review proposals for funding consideration and will consider each proposal's merit, as well as applicable limitations on U.S. foreign assistance. Panel recommendations will be presented to the Ambassador for the Office to Monitor and Combat Trafficking in Persons for consideration and a funding decision.

Q. Are applicants required to submit a hard copy original signature with their proposal via mail?

A. No, only an electronic signature submitted via SAMS-Domestic is required. No applications or supplemental documents are permitted to be submitted via mail—only the items listed in the instructions on the solicitation which must be submitted via SAMS-Domestic.

Q. Where may I find additional advice about preparing the proposal application?

A. The TIP Office must ensure a fair, transparent, competitive grants process. No one from the TIP Office or other Department of State personnel, including Embassy personnel, may advise you on the content of your application.

Q. Does the TIP Office weigh the different criteria for proposals?

A: The NOFO does not assign weights to the evaluation criteria under either Programming Priority. Applicants are encouraged to review the criteria in the NOFO as well as all instructions provided in the NOFO and Guidelines to build strong and responsive proposals.

Persons with additional questions about the requirements of the funding opportunity may contact JTIPGrants@state.gov.