

**U.S. Department of State  
Notice of Funding Opportunity –**

**Federal Awarding Agency:** U.S. Department of State  
**Program Office:** Office to Monitor and Combat Trafficking in Persons, International Programs Section  
**Funding Opportunity Title:** Program to End Modern Slavery: Full Proposal  
**Announcement Type:** Notification of Funding Opportunity for Program to End Modern Slavery (PEMS)  
**Funding Opportunity:** SFOP0009441  
**Catalog of Federal Domestic Assistance Number(s):** 19.019  
**Deadline for Applications:** April 21, 2023, 5:00 pm EDT

**FULL TEXT OF NOTICE OF FUNDING OPPORTUNITY**

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**A. PROGRAM DESCRIPTION**

The Department of State Office to Monitor and Combat Trafficking in Persons (TIP Office) is pleased to invite organizations to submit proposals to combat human trafficking outside of the United States to support the Program to End Modern Slavery (PEMS). The TIP Office welcomes proposals for projects that align with U.S. government and TIP Office priorities, address labor or sex trafficking challenges on a significant scale, offer the potential to have systemic and sustainable results, and advance innovation capacity. Funding for anti-trafficking projects will be allocated through an open competitive process. The TIP Office has identified two programming priorities for funding, listed on pages 11 and 16.

The goal of PEMS is to measurably and substantially 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.

PEMS-funded efforts conduct scientifically rigorous research to establish evidence on the effects of anti-trafficking (including forced labor and sex trafficking) programs on the reduction of the prevalence of human trafficking through the advancement of sound prevalence measurement methodologies, strong monitoring and evaluation practices, evidence-based programming, and the application of victim-centered and trauma-informed approaches and interventions.

PEMS-funded efforts also include partnerships with governments, academia, civil society, the private sector, other funders, and international organizations to advance the goals of the program and improve collaboration on the reduction of the prevalence of human trafficking.

The U.S. Congress has appropriated \$25 million annually since Fiscal Year (FY) 2016 for PEMS, totaling \$200 million to date. This Notice of Funding Opportunity (NOFO) is the TIP Office's seventh call for PEMS proposals. The TIP Office plans to allocate up to \$18 million in FY23 funding to this funding opportunity. For Programming Priority One, the TIP Office plans to issue **multiple** awards of between \$2 and \$4 million with a project duration between three (3) to four (4) years. For Programming Priority Two, the TIP Office plans to issue **one** award of up to \$1 million with a project duration between three (3) to four (4) years.

This NOFO supports the advancement of the Foundations for Evidence-Based Policymaking Act of 2018 (Evidence Act) as the approaches proposed require credible use of, and implementation of, evidence building activities (derived from a variety of sources, including exploratory studies and other research), including evaluation, to draw conclusions, inform decision-making, and support adaptation throughout the period of performance.

## **B. ELIGIBILITY INFORMATION**

### *1. Eligible Applicants*

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.

Applications submitted by for-profit entities may be subject to additional review following the panel selection process. Additionally, the Department of State prohibits profit to for-profit or commercial organizations under its assistance awards. Profit is defined as any amount in excess of allowable direct and indirect costs. The allowability of costs incurred by commercial organizations is determined in accordance with the provisions of the Federal Acquisition Regulation (FAR) at 48 CFR 30, Cost Accounting Standards Administration, and 48 CFR 31 Contract Cost Principles and Procedures.

Organizations currently receiving funds from the TIP Office may apply for funding under this funding opportunity. The eligibility requirements for applying for funds under this funding opportunity do not restrict applicants from receiving other sources of funding from the U.S. government, including funding from other bureaus within the Department of State. However, the applicant must provide information on any work conducted with U.S. government funding related to human-trafficking issues or cross-cutting (health, education, labor, gender, etc.) human-trafficking issues within the project narrative.

Under this funding opportunity, applicants may partner with other organizations in submitting full proposal(s). *In instances where the lead applicant is not based in the project target area, applications must include at least one identified **local partner** engaged in the project from its*

*inception.* Applicants partnering with other organizations must clearly identify the lead applicant, and the applicant may designate one or more partner organizations as sub-recipients. For the purposes of this funding opportunity, a *partner organization* is any organization that would receive sub-award funding from a successful applicant to help the applicant organization implement anti-trafficking projects and/or activities. All mandatory terms and conditions for a successful applicant also apply to any sub-awards awarded.

Organizations may submit proposals responding to both programming priorities, however, the number of applications from any single organization is limited. 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. 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. Each application may be submitted only once. Organizations submitting multiple applications under Programming Priority One should submit separate applications for each model intervention proposed.

There is no limit on the number of applications in which an organization can be listed as a partner organization. Organizations listed as a partner organization in an application may also apply as a lead applicant under the same or a different programming priority (e.g., if an applicant is a partner organization under Programming Priority One, they can submit as the prime under Programming Priority One or Two).

Upon review, the TIP Office reserves the right to ask an applicant to merge submitted applications into a single proposal. **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.

## *2. Cost-Sharing or Matching*

Cost sharing, cost matching, and cost participation are not required to carry out a project under this funding opportunity. While not required, applicants may propose to include voluntary cost share. Applications that include voluntary cost share will **NOT** be evaluated differently than other applications. Applicants voluntarily proposing cost share must read the instructions below regarding budget documents that are required to be submitted under this announcement. Applicants should list the cost share amount in the SF-424.

### **C. FEDERAL AWARD INFORMATION**

The Trafficking Victims Protection Act of 2000 (22 USC 7101 et seq.), as amended (TVPA), established the TIP Office in the U.S. Department of State. The TIP Office leads the United States' global engagement on the fight against human trafficking and seeks partnerships with foreign governments, civil society organizations, and multilateral organizations to combat human trafficking through the "3P" paradigm: **prosecuting** traffickers through victim-centered law enforcement, **protecting** trafficking victims through proactive identification and the provision of comprehensive, trauma-informed care, and **preventing** trafficking in persons by making it more difficult or risky for traffickers to commit the crime. The TIP Office also recognizes the importance of **partnerships** and collaborative efforts with relevant governmental and non-governmental stakeholders in anti-trafficking work. TIP Office programs and projects combat human trafficking—to refer to a crime whereby traffickers exploit and profit at the expense of adults or children by compelling them to perform labor or engage in commercial sex. It should be noted that when a person younger than 18 is used to perform a commercial sex act, it is a crime regardless of whether there is any force, fraud, or coercion. The two primary forms of human trafficking are sex trafficking and forced labor.

The U.S. government defines "trafficking in persons" as:

- **Sex Trafficking** encompasses the range of activities involved when a trafficker uses force, fraud, or coercion to compel another person to engage in a commercial sex act or causes a child to engage in a commercial sex act.

- **Forced Labor** sometimes also referred to as labor trafficking, encompasses the range of activities involved when a person uses force, fraud, or coercion to exploit the labor or services of another person.

Trafficking in persons does not require the movement of a person. Under both the Trafficking Victims Protection Act (TVPA) and generally consistent with the UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, Supplementing the United Nations Convention Against Transnational Organized Crime (Palermo Protocol), individuals may be trafficking victims regardless of whether they once consented, they participated in unlawful acts their traffickers compelled them to commit, someone transported them into the exploitative situation, or they were simply born into a state of servitude. The TIP Office will not support projects that use alternate definitions of trafficking in persons.

The TVPA requires that the Department of State submit to Congress an annual report assessing the efforts of governments to address trafficking in persons. The annual TIP Report is the primary tool for the Department's engagement with other governments on human trafficking and informs U.S. policy and assistance priorities to combat this crime.

Since 2000, when the United Nations adopted the Palermo Protocol and the United States enacted the TVPA, the number of parties to the Protocol has reached 178. In addition, a majority of countries have criminalized all forms of trafficking, and many countries have established specialized law enforcement units, set up trafficking victim assistance mechanisms, and launched public awareness campaigns. Nonetheless, the number of victims identified and assisted and the number of traffickers investigated, prosecuted, and convicted remain low relative to the size of the problem; and governments continue to face challenges in effectively implementing anti-trafficking legal and policy frameworks.

The TIP Office works to build the capacity of partner governments and civil society to address these challenges through foreign assistance programs. Information on U.S. government anti-trafficking efforts is available at

<https://www.state.gov/humantrafficking/> and a summary of PEMS projects currently funded by the TIP Office is available at <https://www.state.gov/program-to-end-modern-slavery>.

#### **D. 2023 GRANT COMPETITION OVERVIEW**

Any funds awarded under this funding opportunity will be provided through a cooperative agreement. A cooperative agreement provides for “substantial involvement” between the agency—in this case the TIP Office—and the recipient during the award’s period of performance. The TIP Office will undertake reasonable and programmatically necessary substantial involvement, which may include active participation or collaboration with the recipient in the implementation of the award; review and approval of one stage of work before another can begin; review and approval of all proposed sub-awards or contracts; joint preparation or presentation of results with the recipient; and/or involvement where the TIP Office requires specific programmatic oversight over the award beyond normal monitoring. Other examples of substantial involvement by the TIP Office may include, but are not limited to, reviewing and approving key project deliverables, project materials, training curricula, and evaluation plans produced by sub-recipients. Substantial involvement is in addition to routine monitoring that includes approval of key personnel; approval of the recipient’s budget and plan of work prior to award; standard oversight, monitoring, and administration of federal awards; and unanticipated actions to correct recipient performance or administrative deficiencies identified during the implementation of the award. Projects funded by resources leveraged from other donors are not subject to TIP Office approval.

##### **A. Programming Priority One – Intervention Development Research**

Human trafficking is a complex phenomenon which requires a nuanced understanding of the various social, economic, and policy factors at play at multiple levels. Yet limited funding has been allocated to deep, evidence-based research to understand the context in which human trafficking occurs and identify what works to prevent or respond to it. There is an urgent need to develop interventions based on a comprehensive

understanding of a specific context and the mechanisms by which an intervention produces change. This requires a whole-of-systems approach to design interventions that do not assume that a simple cause and effect relationship is likely to exist between the intervention and intended outcome of reducing human trafficking and requires that interventions are not seen as isolated and functioning independently from their context.

Intervention development research (IDR) – also known simply as intervention research - is based on a model that has traditionally been used to research and design interventions in pharmaceutical and medical research. Critical to this approach is a robust research and development (R&D) phase, followed by pilot testing, prior to scale-up and/or adaptation. Historically, in interventions designed to prevent and address human trafficking and other complex crimes or social issues, this R&D phase is often minimal or absent.

IDR is a tool that can help address this gap and, in recent years, the TIP Office has started funding programs built on IDR or utilizing components of the approach, such as a project in Kenya that is developing and testing models for preventing trafficking in communities impacted by climate change and a project in Brazil aimed at reducing the prevalence of forced labor in the gold mining industry by basing program design on rigorous research and equipping critical practitioners and policymakers with in-depth knowledge about the nature and scale of the crime.

IDR is defined as research conducted to inform the design and delivery of an intervention. IDR seeks to identify **who** are the target groups and **how** we should reach them; **what** we should aim to change and **how** we should go about changing it; and **how** the context might affect the delivery, uptake, and effects of the activities.

IDR identifies the **modifiable determinants**—the elements that can be changed—among specific target populations and potential mechanisms that will lead to the desired outcomes. It examines **how** the context will interact with the intervention to influence **how** it will work with the target population. In doing so, it generates the specific evidence necessary to

design activities that will be most effective in preventing and responding to human trafficking.

Ultimately, IDR should give a picture of **what** the intervention will do to achieve the desired outcomes and **how** it will do it for a particular population in their **context**. In short, it allows us to understand the full context, and more accurately and effectively design and test targeted interventions that have the greatest potential to be effective. This requires continued engagement with relevant stakeholders, including survivors and other members of the target population, to not only identify and refine the problem being addressed, but also to design, implement, and refine the intervention.

The results of a successful IDR project are either 1) an evidence-based intervention model for combatting human trafficking that can be adapted or scaled up for other settings, complete with guidance for implementers or 2) analysis that provides conclusions as to why tested interventions *did not work* that can be used to inform future policy and programming (e.g. avoid funding or implementing approaches that are likely to fail) or call for further research in the area.

IDR is typically conducted when there is a need for a new or improved intervention to address a specific problem or issue. This may occur when:

1. **The problem is not well-understood and there is a lack of evidence:** Intervention development research can be used to better understand human trafficking in a particular context (e.g., employment sector, geographical area etc.) or among a specific population, and to identify new or improved ways to address it.
2. **Current interventions are not effective:** If existing interventions are not achieving their intended goals, IDR can be used to examine why and develop new or improved interventions that are more effective in addressing human trafficking.
3. **Evidence on interventions or technologies that have been effective for similar populations or problems could be useful to adapt:** IDR can be used to identify new evidence on interventions or technologies that show promise for the anti-trafficking space. Rather

than starting from scratch, IDR can also be used to identify and adapt evidence-based or promising interventions or technologies developed for other contexts (e.g., gender-based violence, occupational health and safety, mental health, etc.) or populations (e.g., trauma survivors) to the human trafficking context.

4. **New population or context:** When a new population or context is identified as being at risk or affected by a certain problem or issue, intervention development research can be used to develop interventions tailored to their specific needs and characteristics.

### **IDR Example Projects and Scenarios**

In Liberia and Nigeria, the TIP Office is funding a project to develop an intervention to reduce the prevalence of child domestic work (CDW). Adopting a phased approach, the project began with an extensive formative phase comprised of research into victim profiles, including pathways into and risk and protective factors for trafficking with the goal of better understanding the systems into which an intervention will be introduced. This will allow for the identification of modifiable factors and leverage points for a potential intervention to be co-designed with local stakeholders and subsequently piloted and refined. This will ultimately produce an intervention model to reduce the prevalence of CDWs to be scaled-up and/or adopted to other contexts in West Africa and beyond.

IDR could also be used to develop a model to address forced begging among children on the streets of Kampala, Uganda. Though there has been growing attention on the issue of forced begging over the past fifteen years, there has been relatively little evaluation done to determine the effectiveness of various interventions aimed at reducing this form of trafficking and identifying what might be most successful at addressing the issue at larger scale. Stage 1 of the IDR process could include identifying evidence on interventions in similar contexts, as well as conducting targeted research on factors such as locations of exploitation, modus operandi of traffickers, demographics of victims and entry points to exploitation, vulnerability factors, network size and structure for victims, current protective efforts and shortcomings, etc.

This research could be used to map the complex system in which the forced begging occurs and identify factors most likely to be responsive to an intervention that would reduce exploitation through targeted prevention, prosecution, and/or protection efforts. Through designing and piloting interventions with heavy involvement and feedback from key stakeholders, including individuals most impacted by the issue, successful interventions can be identified, tested, and refined to develop an evidence-based model for addressing the issue. Lessons learned and the model itself can then be scaled-up at the national-level and/or adapted to other countries (e.g., Senegal and Cambodia).

As noted above, intervention research does not always begin with new interventions. A key source of intervention development might be an evidence-based intervention that has been developed in another context or among a similar population and has the possibility of being adapted. For example, in northern Vietnam and elsewhere, research shows that mental health problems (e.g., depression, anxiety and post-traumatic stress disorder) are prevalent among sex trafficking victims. Intervention development research can be used to adapt mental health interventions that have been used for survivors of gender-based violence (GBV) in similar contexts (e.g., other low- and middle- income countries) for use among women and girls trafficked for sex in northern Vietnam.

The above examples include currently-funded programs or other scenarios to illustrate contexts that apply IDR or a similar approach – *these examples do not imply current areas of focus for this funding round*; applicants are encouraged to focus on any labor or sex trafficking scenario for which they can demonstrate a justifiable need for IDR.

***PROGRAMMING PRIORITY ONE FUNDING OPPORTUNITY: Applying IDR to produce model interventions on human trafficking***

The TIP Office seeks applications for programs that aim to utilize IDR to conduct comprehensive research, with deep local engagement, to develop a whole-of system understanding of the selected human trafficking

situation and identify modifiable elements. This knowledge will be used to design a preliminary intervention model based on a strong, evidence-based theory of change. The implementer will then pilot and refine the intervention model and synthesize and disseminate the evidence, including an intervention manual for potential adaptation and scale-up. The proposal should include:

Stage 1 Objective: Research and plan for the intervention development process

Stage 2 Objective: Design preliminary intervention model

Stage 3 Objective: Pilot test, refine, and finalize preliminary intervention model

Stage 4 Objective: Synthesize and disseminate evidence regarding intervention model

The end-product of the proposed IDR projects should identify either:

1. An intervention model with guidance (e.g., an intervention manual) for potential adaptations for scale up, and optionally for adaptation for other settings; or
2. Conclusions on why the tested intervention model is likely not to be effective in this circumstance. If the piloting uncovers the need for more research or exploratory programming, those recommendations should be included as well.

Projects should focus on one type of trafficking in one population, e.g., forced begging of children in Kampala, Uganda. For human trafficking that involves movement, projects can focus on the source, transit, and/or destination locations., i.e., sex trafficking of women from to Nigeria to Italy via Libya. The TIP Office reserves the right to use all, some, or none of the IDR projects funded under this funding opportunity to fund larger projects in the future.

Successful applicants under Programming Priority One projects must agree to work in partnership with adaptive learning and evaluation (ALE) staff who will carry out a Developmental Evaluation (DE) funded under Programming Priority Two. The ALE staff will serve as coaches, mentors,

trainers, coordinators, and facilitators, and will work collaboratively with project staff to help strengthen IDR methodology and MEL plans, and in turn, help partner organizations increase the impact of their IDRs. More specifically, the ALE staff will work collaboratively with successful applicants to consult on the design of activities that support innovation by providing real-time feedback to help adapt interventions to emergent and dynamic conditions, among other activities. More information can be found in Section B below.

### **Programming Priority Two – Provide tailored Adaptive Learning and Evaluation (ALE) coaching and support to IDR partners**

The TIP Office seeks proposals to support successful Programming Priority One applicants in building adaptive learning and evaluation systems through a developmental evaluation (DE). DE is an approach to continuous learning and adaptation of interventions using evaluative thinking and feedback mechanisms. It includes having one or more ALE staff working alongside project teams to support modifications to project design and implementation. DE is a highly innovative approach to evaluation and relatively few have been done in the human trafficking space. However, many existing DEs have been conducted on human development programs.

#### **Developmental Evaluation Example**

A four-year DE commissioned by the United States Agency for International Development's (USAID) "Coordinating Implementation Research to Communicate Learning and Evidence (CIRCLE)" project in Tanzania (find more information here [https://pdf.usaid.gov/pdf\\_docs/PA00Z7MP.pdf](https://pdf.usaid.gov/pdf_docs/PA00Z7MP.pdf)) aimed to support real-time evidence generation and adaptive management of health service integration in Tanzania found substantial benefits, including that the DE: 1) led to new learning among stakeholders, as well as actionable information that helped implementing partners and USAID to quickly adapt their programs within the period of performance; 2) engendered collaboration among various stakeholders in the health sector on cross-cutting issues, and engaged these stakeholders in elevated dialogue which led to solutions to more effectively integrate health services in Tanzania; 3) engendered enthusiasm and appreciation for the DE process

from stakeholders, as well, and interest in continuing the approach as a management approach to improve health services; 4) demonstrated that integrated health services resulted in more health services being delivered in the regions where the project operated; 5) provided evidence that programs that made more changes saw an uptake of a greater variety of health services including HIV, MNCH, family planning, malaria, and nutrition services, and; 6) increased the speed of uptake of service delivery improvements for project partners.

Find examples of DEs undertaken by USAID and other funders here [https://socialimpact.com/wp-content/uploads/2017/06/DEPA\\_MERL-web-Lookbook.pdf](https://socialimpact.com/wp-content/uploads/2017/06/DEPA_MERL-web-Lookbook.pdf).

In the context of the IDR, the DE should support activities that will facilitate continuous learning and adaptations to the design and implementation in all stages of the IDR. Since DEs are methodologically agnostic and utilization focused, ALE staff should deploy various data collection activities and methods on an as-needed basis, and in consultation with stakeholders, to facilitate real-time, evidence-based reflection and decision-making.

General examples of implementing DE:

- Using evaluative tools to test the project's logic (e.g., underlying assumptions) and working with stakeholders to refine strategies accordingly
- Tracking the complex factors that make up the project's context (e.g., changes in political or natural environment) and helping stakeholders pivot their approach and response, and
- Recognizing areas in which there is a need for institutional strengthening and building stakeholder capacity in those areas (e.g., developing a culture of learning and reflective practice and knowledge management systems).

DEs adjust as the projects change and deliver contextualized and emergent findings on an ongoing basis. Importantly, the more dynamic the context and the more innovative the intervention, the more the DE will be emergent and adaptive. ALE staff should keep the interdependency of the

complexity of the environment, the design of the DE, and the implementation of the projects front and center.

The role of the ALE staff will be to:

- Be centered on the implementing partner's values and commitments to make a difference
- Work within the context of each implementing partner's existing processes, approaches, and organizational structures
- Enable a learning culture that fosters open, transparent communication without fear of repercussions and willingness to accept (and learn from) both favorable and unfavorable results.
- Emphasize learning needs of stakeholders while maintaining the rigor and integrity of evaluation quality and standards
- Consult with stakeholders throughout the evaluation process to ensure that methods are responsive, and processes are engaging
- Maintain consistent and embedded engagement throughout the life of the project
- Take an active role in shaping the course of a project through ongoing advice and recommendations
- Document major developments that emerge in the project, challenges, major decision points, significant shifts in context, and learning and results in a timely manner in order to provide feedback
- Take actions to facilitate the use of evaluation findings by primary users in discussions and decision-making processes
- Support the mapping and describing of elements in the system in which the projects operate, as well as identification of areas of the system the projects seek to change
- Use evaluation findings to describe implications for further development of the intervention, often framed as options, scenarios, or pathways
- Capture new evaluative questions, triggered by new insights, shifts in context, and the evolution of the project
- Focus on assessing the contribution of stakeholders to observed changes

- Ask probing questions, question assumptions, recommend appropriate methods, and stay empirically grounded
- Create opportunities to reflect and strategize with stakeholders, both on individual and across all Programming Priority One awards, as relevant
- Use deliverables to generate reflection and refinement

***PROGRAMMING PRIORITY TWO FUNDING OPPORTUNITY: Providing tailored adaptive learning and evaluation coaching and support to IDR partners***

The TIP Office seeks applications for a developmental evaluation that aims to:

1. Develop a methodically flexible and adaptable monitoring, evaluation, research, and learning plan that enables the use of rigorous evidence-based perspectives for implementation across all IDR awards funded under Programming Priority One;
2. Provide active coaching, mentoring, training, and technical assistance to project staff to help shape the course of design and implementation, help inform decision-making, and facilitate learning for each Programming Priority One funded award throughout the period of performance;
3. Document the successes, challenges, and learnings across all funded awards under Programming Priority One and use those learnings to develop detailed guidance (e.g., guidance manual, toolkits, etc.) for successful IDR implementation in the human trafficking space.

**E. APPLICATION AND SUBMISSION INFORMATION**

*1. Submitting the Application Package*

All proposals must be fully submitted via **SAMS Domestic** (<https://mygrants.service-now.com/grants>) by **5:00 p.m.** Eastern Daylight Time (EDT) on April 21, 2023. Please note that due to technical issues, SAMS Domestic may *incorrectly* note a deadline other than 5:00 p.m. EDT, however the required deadline for submission is as stated above.

**All application documents must be submitted in English.** The TIP Office will **NOT** accept proposals or updated documents submitted by any other method, including email, fax, the postal system, delivery companies, couriers, or U.S. embassies.

Applicants are strongly encouraged to initiate electronic applications **early** in the application development process, and to submit the application in advance of the deadline. This will aid in addressing any problems with submissions prior to the application deadline. No exceptions will be made for organizations that have not completed the necessary steps to submit applications on SAMS Domestic.

If an organization has difficulty submitting an application near the deadline, their application may be considered if they open a ticket with the ILMS Support Desk to resolve the problem prior to the deadline.

### **Applications Submitted Through [SAMS Domestic](#)**

Organizations using [SAMS Domestic](#) for the first time must register on the [SAMS Domestic](#) site to create a New Applicant account as soon as possible. **This application step must be completed before an application can be submitted.**

To register with **SAMS Domestic**, follow the “*create an account*” link and complete the “*SAMS Domestic User Registration Request*” application form. Users will receive an email requesting account verification. This verification step must be completed before an application can be submitted. If the applicant has previously received funding from the Department of State, please contact [JTIPGrants@state.gov](mailto:JTIPGrants@state.gov) after the account has been created to ensure the account is associated with the correct organization. If an applicant has not previously received funding from the Department of State, the TIP Office cannot associate a new account in SAMS Domestic to an organization. Please note a new user account does not need to be associated with an organization in order to submit an application. Electronic applications submitted via **SAMS Domestic** must contain completed SF-424 online forms and documents specified in this funding opportunity.

To upload the full proposal, go to **SAMS Domestic** (<https://mygrants.service-now.com/grants>), select “Apply,” then “Funding Opportunities,” and select the “Office to Monitor and Combat Trafficking in Persons Programs” funding opportunity. Select the “Apply Here” button, enter the applicant organization’s information, and click Save. Complete each section of the application in the corresponding section of the Additional Documents to Be Submitted Tab: SF 424 Information (SF-424, SF-424 A, SF-424 B), Project Narrative, Intervention Evidence Review Table, Timeline, Summary of Proposed Research Methods, Results Monitoring Plan, Mapping the System, Security, Risk Mitigation, and Contingency Plan, Budget Summary, Line Item Budget, Budget Narrative, NICRA Agreement (if applicable), Resumes/ CSs for Key Personnel, Certification of Training Requirement for Victim Assistance Personnel, Letters of Intent to Cooperate, Donor History Form, and References.

Please ensure that you select the box, “allow anyone in my organization to edit this proposal” to ensure members of your organization have access to edit this proposal.

For assistance with [SAMS Domestic](#) 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://afsism.service-now.com/ilms/home) (<https://afsism.service-now.com/ilms/home>). Customer Support is available 24 hours a day, 7 days a week. Please note support hours may change on Federal holidays. Please direct questions regarding the process of uploading applications to Customer Support. Technical difficulties not resolved by the Support Desk by the time of submission must be fully documented and reported to the TIP Office at [JTIPGrants@state.gov](mailto:JTIPGrants@state.gov) only. Please do not contact any other Department of State personnel.

## *2. Technical Requirements for Proposal Application Package*

There have been significant revisions under this funding opportunity. Applicants are responsible for **reviewing and incorporating the Guidelines for Submitting TIP Office PEMS 7 Full Project Proposals and TIP Office Common Questions and Answers (PEMS 7)** when preparing an application.

Please pay close attention to all font and formatting requirements. **Note that for accessibility, text should be in the updated Department of State font, Calibri.** This guidance is available on the TIP Office website, SAMS Domestic, and grants.gov.

All required documents submitted must be written in the English language using documents with one-inch margins formatted to 8 ½ x 11 paper only, unless otherwise stated. All documents should use text that is black-colored and no less than 12-point Calibri font. All budget figures must be in U.S. dollars.

*Submission of PDF files will not be accepted* and will result in automatic failure of the technical review.

If applicants submit more applications than the restricted number as outlined under the “Eligibility” section on pages three and four, then the additional proposals will not be eligible. This will be determined by the date and time when the proposals were submitted. Only the first three proposals submitted under Programming Priority One will be considered. Only the first proposal submitted under Programming Priority Two will be considered.

**Programming Priority One: Designing and Implementing Intervention Development Research**

Complete applications *must* include the following documents in the required templates (found on SAMS Domestic) to be considered for funding. All documents are required, unless noted otherwise:

- i. **Online Forms/Standard Forms: SF 424, SF 424A and SF 424B**
- ii. **Project Narrative:** The required project narrative template is available on SAMS Domestic as a Microsoft Word Document (do not submit as a PDF file). The template is set to a 30,000 character limit (approximately 14 pages) with Calibri font. Spaces, footnotes, and charts are included within the character limit. NOTE: Applicants **MUST** use the section headers provided in the template. **These headers provided in the narrative template WILL count against the total character count. The total number of characters in the section headers is approximately 750.** Any application that does not submit

the required template with these restrictions will fail the technical review. See the *'Guidelines for Submitting TIP Office PEMS 7 Full Project Proposals'*:

- 1. Problem Statement**
- 2. Why Intervention Development Research**
- 3. Contextual Analysis**
- 4. Preliminary Review of Intervention Evidence**
- 5. Project Description**
  - 5.1. Project Goal*
  - 5.2. Project Objectives and Activities*
  - 5.3. Illustrative Indicators, by Objective/Stage*
- 6. Mapping the System**
- 7. Implications and Contributions to Knowledge**
- 8. Project Partnerships**
- 9. Co-Creation**
- 10. Organizational Capacity**
  - 10.1. Prime Organization*
  - 10.2. Sub-Award and/or Sub-Contract Partners*
- 11. Coordination with Relevant Programs and Stakeholders**
- 12. Ethical Considerations**
- 13. Diversity, Equity, Inclusion, and Accessibility Integration**
- 14. Survivor Inclusion and Victim Centered Approach**
- 15. Trauma Informed Approach**
- 16. Monitoring, Evaluation, and Learning (MEL)**

iii. **Proposal Annexes:** See the *'Guidelines for Submitting TIP Office PEMS 7 Proposals'*

- **Annex A: Intervention Evidence Review Table**
- **Annex B: Timeline**
- **Annex C: Summary of Proposed Research Methods**
- **Annex D: Result Monitoring Plan (RMP)**
- **Annex E: Mapping the System**
- **Annex F: Security, Risk Mitigation, and Contingency Plan**
- **Annex G: Budget Summary, by Project Year**
- **Annex H: Line-Item Budget, by Year**  
Required for both prime and subawards
- **Annex I: Budget Narrative**

- **Annex J: NICRA Agreement\***
- **Annex K: Resumes/CVs for Key Personnel** – Resumes may be no longer than 5 pages, including charts, graphs, logos, and images
- **Annex L: Certification of Training Requirement for Victim Assistance Personnel**
- **Annex M: Letters of Agreement or Letters of Intent to Cooperate**
- **Annex N: Donor History Form**
- **Annex O: Reference List**

*\*Required only if applicable*

***Note: Applicants submitting under Programming Priority One must use the TIP Office templates for the: Project Narrative; Intervention Evidence Review Table; Timeline; Summary of Proposed Research Method; Results Monitoring Plan; Security, Risk Mitigation, and Contingency Plan; Summary Budget and Line-Item Budget.***

***Programming Priority Two: Provide tailored and adaptive learning and evaluation coaching and support to IDR partners***

Complete applications *must* include the following documents in the required templates (found on SAMS Domestic) to be considered for funding. All documents are required, unless noted otherwise:

- i. **Online Forms/Standard Forms: SF 424, SF 424A and SF 424B**
- ii. **Project Narrative:** The required template is available on SAMS Domestic as a Microsoft Word Document (do not submit as a PDF file). The Project Narrative template is set to a character limit of 13,000 (approximately 6 pages) with Calibri font. NOTE: Applicants **MUST** use the provided template with section headers. Spaces, footnotes, and charts are included within the character limit. NOTE: Applicants **MUST** use the provided template with section headers. **The section headers provided in the narrative template WILL count against the total character count. The total number of characters in the section headers is: 338.** Any application that does not submit

the required project narrative template with these font restrictions will fail the technical review.

- 1. Project Description**
- 2. Activities, Approaches, and Methodologies**
- 3. Illustrative Indicators**
- 4. Organizational Capacity**
- 5. Ethical Considerations**
- 6. Diversity, Equity, Inclusion, and Accessibility Integration**
- 7. Survivor Inclusion and Victim Centered Approach**
- 8. Trauma Informed Approach**

iii. **Proposal Annexes:** See the '*Guidelines for Submitting TIP Office PEMS 7 Proposals*'

- **Annex B: Timeline**
- **Annex D: Results Monitoring Plan**
- **Annex F: Security, Risk Mitigation, and Contingency Plan**
- **Annex G: Budget Summary**
- **Annex H: Line-Item Budget**  
Required for both prime applicant and sub-awardee(s)
- **Annex I: Budget Narrative**
- **Annex J: NICRA Agreement\***
- **Annex K: Resumes/CVs of Key Personnel** – Resumes may be no longer than five pages each, including charts, graphs, logos, and images
- **Annex L: Certification of Training Requirement for Victim Assistance**
- **Annex M: Letters of Agreement or Letters of Intent to Cooperate**
- **Annex N: Donor History Form**
- **Annex O: Reference List**

*\*Required only if applicable*

*3. Unique Entity Identifier (UEI) and System for Award Management (SAM)—Required*

A valid Unique Entity Identifier (formerly the Data Universal Numbering System or DUNS) 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. Instructions for obtaining a UEI number can be found at <http://fedgov.dnb.com/webform>.

All applicants must register with the System for Award Management (SAM.gov/SAM/) prior to submitting proposals. Selected grantees will be required to have an active registration in SAM.gov. Organizations that have SAM.gov accounts must log in **at least once every 13 months (395 days)** to maintain an active registration. Please reactivate any accounts that have become inactive when submitting proposals.

Please note that selected grantees may not make a sub-award to a sub-recipient unless that sub-recipient has obtained and provided to the recipient a UEI. A sub-recipient is not required to be registered in SAM.gov.

#### *4. Submission Dates and Times*

Proposals must be submitted via SAMS Domestic (<https://mygrants.service-now.com/grants>) and no applications will be considered for funding after **5:00 p.m. Eastern Daylight Time (EDT) on April 21, 2023**, to be eligible for consideration. The TIP Office will not accept application materials by email. **To be competitive under this funding opportunity, applicants must be fully responsive to all directions in this document.**

**The application process is not complete until the applicant receives notification from SAMS Domestic that its application has been validated and forwarded to the granting agency (TIP Office). Please allow sufficient time for entering the application into these systems and to troubleshoot any issues. It is the responsibility of the applicant to monitor its application to ensure that it is successfully received and validated.**

#### *5. Funding Restrictions*

*Construction*

The TIP Office 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. Construction would include ordinary or normal alterations, restoration or rehabilitation such as any work that modifies buildings and/or grounds. This includes but is not limited to adding, replacing, modifying, relocating, removing, or painting doors, walls, windows, flooring or the alterations of ceilings, adding on to or dividing existing space or work on any building utility system, electrical, plumbing, ventilation, air conditioning, controls systems, fire alarms, fire sprinklers, security systems and telecommunication equipment. Federal assistance funds cannot be used for capital improvements unless specifically approved in advance by the TIP Office.

#### *Equipment and Supplies*

Equipment is herein defined as an article of non-expendable, tangible, personal property having a useful life of more than one year and an acquisition cost in excess of \$5,000. **Please note that if equipment costs are included in an application, the organization must retain ownership of all equipment obtained throughout the lifetime of the federal award.** This includes any equipment funded with cost sharing or matching funds. At the end of the award, you must complete federal SF-428 forms in order for the TIP Office Grants Officer to evaluate whether the item(s) be retained, sold, or disposed of without any further obligation to the Department of State.

Supplies are herein defined as all tangible personal property other than those described in Equipment. Note that if there is a residual inventory of unused supplies exceeding \$5,000 in total aggregate value upon completion of the project and the supplies are not needed for any other Federal award, your entity must retain the supplies for use on other activities or sell them, but must, in either case, compensate the Department of State for its share. The amount of compensation will be computed in the same manner as for Equipment.

Applicants shall work with the Department of State to ensure that any applicable restrictions and requirements are addressed prior to awarding any sub-awards.

In addition, applicants should refer to the U.S. Department of State Policy on the Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment, which is described under the “Administrative and National Policy Requirements” section of this NOFO.

Applicants shall work with the Department of State to ensure that any applicable restrictions and requirements are addressed prior to awarding any sub-awards.

In addition, programming may not benefit countries or entities that are not eligible recipients of United States foreign assistance or for which there are applicable assistance restrictions. Foreign assistance funds cannot be used for programming in the United States. Recipients shall work with the Department of State to ensure that any applicable restrictions and requirements are addressed prior to awarding any sub-awards.

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## **F. APPLICATION REVIEW INFORMATION**

### *1. Criteria for Programming Priority One*

Reviewers will evaluate applications based on their own merits. Reviewers will use the below evaluation criteria, which are in line with the priority categories, the Program Design Standards, and the ‘**Guidelines for Submitting TIP Office Full Project Proposals.**’ Applicants must review the below criteria to fully understand how applications will be reviewed and evaluated for potential funding.

#### **Problem Statement and Contextual Analysis**

Describes how the overall project will address a critical evidence-to-practice gap in the anti-trafficking field and its potential impact on the broader anti-trafficking field. Application includes a justification for the relevance of intervention development research in the context of the identified problem. Potential for the intervention to be adapted for other settings and scaled-up.

Applicant demonstrates an evidence-based understanding of the human trafficking problem to be addressed. It cites a range of reputable and up-to-date sources (primary and secondary) and reflects the perspectives of those individuals living and working in the target area. It provides a clear explanation of why the target population/location was strategically chosen. In describing the target population, there is a consideration of differences in socioeconomic status, ethnicity, gender, age group, and other characteristics. Applicant considers and demonstrates knowledge of both risk and protective factors at multiple levels and how they interact and influence the presence, prevalence, and severity of the proposed human trafficking problem.

### **Strength of Proposed Plan by Stage/Objective**

For each stage/objective listed in Table 1 of the 'Guidelines for Submitting TIP Office Full Project Proposals', activities are clearly developed and detailed. Includes a risk management plan that addresses how the project design incorporates the identification, assessment, and management of internal/external variables that have the potential to adversely affect it. Proposed research methods, who is involved and plans for engaging them, and methods for soliciting feedback and making revisions are described for stage/objective.

### **Research Methods**

The proposal offers a range of scientifically rigorous theories (e.g., from behavioral science) and methods to understand the trafficking scenario, inform the design and piloting of the intervention model and establish evidence on its potential for adaptations for other settings and/or scale-up. Proposed research methods (study design, sampling plan, participants, setting, etc.) for the various stages of the intervention development research processes are clear and there is evidence that the research will provide deep insight into the context in which the intervention operates (e.g., social, environmental, and economic). Incorporates a variety of methods, including participatory approaches, to capture diverse perspectives to uncover how to best implement the proposed intervention model. Selection of methods and relevant tools are justified, with consideration given to whether a prevalence study is needed and/or other methods to measure the harms associated with the crime. If proxy

indicators are used, they clearly represent a logical connection to prevalence based on empirical evidence. Application specifies how the proposed research will inform the development and refinement of the intervention model and the methods that will be used to determine whether it is likely to be affordable and feasible to deliver. Possible ethical implications are identified as well as mechanisms to resolve them for each stage of the IDR process.

### **Incorporation of IDR Principles**

The Ten Guiding Principles of IDR listed below are reflected throughout the entirety of the application. A detailed description of each principle can be found on page 63 of the ‘Guidelines for Submitting TIP Office Full Project Proposals.’

#### **Ten Guiding Principles of IDR<sup>1</sup>**

1. Co-Creation
2. Systems Framework
3. Tailored Engagement with a Range of Stakeholders
4. Accountability to the Target Population
5. Context Specific
6. Iteration, Continuous Feedback, and Response
7. Flexibility and Openness
8. Rigor and Multiple Methods
9. Forward Thinking and Planning
10. Cost Considerations

### **Incorporation of Systems Thinking and Strength of Evidence**

Application incorporates systems thinking and discusses how the proposed intervention may respond to the system in which it will be introduced. The “Mapping the Systems” section demonstrates a strong understanding of the local context, including knowledge of key stakeholders (e.g., organizations, institutions, traffickers, survivors, etc.) and potential risk and protective factors to be addressed through the intervention. The description of the system is informed by both new and existing research as well as direct experience (e.g., interviews or consultations with service

providers living and working in the target area) and the literature review process is clearly documented.

### **Co-Creation and Project Partnerships, including Survivor Inclusion, Victim-Centered, and Trauma Informed Approach**

Application describes plans for co-production with diverse stakeholders and potential intervention beneficiaries, including how they will be involved in the development and implementation of the intervention. Outlines strategies for incorporating the perspectives of diverse stakeholders, including community members and human trafficking survivors, to ensure strong co-design, contextualized implementation, and iterative feedback. Timeline reflects the ongoing nature of stakeholder engagement and plans for engagement to begin as early as practicable and provides stakeholders with sufficient time to engage meaningfully throughout the duration of the project. It also illustrates an iterative approach that allows for adaptation and refinement of their proposed intervention in a timely manner.

Applicant allocates sufficient resources (human and financial, including training and capacity building) to stakeholder engagement throughout the life of the project.

Applications clearly lay out the roles and responsibilities of partners included under the award. Public International Organizations and/or applicants not based in the proposed country demonstrate partnerships with either government, civil society, university, research institution, or private sector in-country stakeholders. The application includes a letter of agreement or intent to cooperate from at least one local partner named in the proposal. In addition, the proposal explains how the applicant plans to manage sub-awards effectively, if applicable.

Proposal outlines how the project will be informed by meaningful input and expertise from survivors or persons with lived experience of human trafficking in all stages of the intervention development research process project and/or propose survivor-led organizations as sub-grantees or partners. A **victim-centered approach** is utilized, placing the victim's priorities, needs, and interests at the center of the project. A **trauma-**

***informed approach*** is integrated into all stages/objectives of the project, including in the application of the various research methods in ways that foster safety, respect and empowerment of everyone involved in the process, including survivors, researchers, practitioners, etc. Applicants have described the ways in which the design, implementation, and monitoring and evaluation of the proposed intervention, including the research methods, are trauma informed.

### **Coordination with Relevant Programs and Stakeholders**

The applicant identifies how they will coordinate with anti-trafficking and other relevant stakeholders, including but not limited to government entities, international organizations, non-governmental organizations, donors, and civil society. In cases where an applicant chooses not to coordinate with other anti-trafficking stakeholders, the application must clearly explain why. Applicant identifies related projects or activities that they may already be implementing or planning. Application describes how the proposed project would complement or avoid duplicating current or planned efforts by other anti-trafficking stakeholders.

### **Organizational Capacity**

The proposal clearly establishes the applicant and partners' ability to implement the anti-trafficking project, using a range of rigorous research methods, in the proposed location for implementation. The applicant and partners have appropriate experience in the subject matter, or the proposal clearly describes how the applicant will bring expertise to the project. Applicants demonstrate experience administering successful projects of similar size and scope – preferably in human trafficking or related areas – and experience administering successful projects in the applicant's selected country or region. For prior recipients of both TIP Office and other U.S. government funding, the TIP Office will consider past performance on awards. For new applicants, the TIP Office will evaluate the organization's potential to successfully implement a project, including the applicant's ability to adhere to the rules and regulations that govern U.S. foreign assistance. The application identifies well-qualified key personnel to manage the project and oversee implementation.

### **Monitoring, Evaluation, and Learning (MEL)**

The project narrative includes a complexity-aware MEL approach that describes MEL activities designed for adaptive management and learning, how MEL activities will be carried out, and who will be responsible for carrying out the MEL activities. Illustrative MEL activities clearly support the intentional use of evidence-based learning.

### **Diversity, Equity, Inclusion, and Accessibility Integration**

Applicants display an understanding of the gender dynamics and social inclusion considerations in the narrative. Applicants provide evidence of how they will ensure IDR processes and the piloted intervention take into and receive feedback from subsets of the population especially vulnerable to the human trafficking scenario and address gender dynamics, gaps or differences. Applicants demonstrate how addressing relevant gender and social gaps and dynamics will enhance the project's goals and objectives.

### **Feasibility**

Applications must present a reasonable scope of activities that can be accomplished within the proposed *timeline* and *budget*. All budget items should be clearly explained and justified to demonstrate necessity, appropriateness, and connection to the project objectives. The budget should incorporate costs for knowledge dissemination to diverse groups as well as capacity development aimed at ensuring that the intervention is designed and implemented with a range of stakeholders, including potential beneficiaries and other members of the target population. Costs should be allocated to ensure their meaningful participation in each stage of the IDR process (e.g., costs for transportation, compensation for time, etc.).

## *2. Criteria for Programming Priority Two*

### **Incorporation of DE in IDR**

The Project Narrative clearly demonstrates the applicant's understanding of DE principles and their application in the context of an IDR as reflected in the goal developed, activities, methods, tools, and approaches proposed for each stage and pre-determined objective. The narrative clearly defines how the DE will evaluate the IDR process across multiple projects, how the

DE will support the design and implementation of MEL activities within each individual IDR project, and how capacity strengthening will occur.

### **Activities, Approaches, and Methodologies**

The DE activities and deliverables directly contribute to the achievement of the pre-determined objectives. The methodologies, tools, and approaches are appropriately assigned to each activity and deliverable. The illustrative indicators are appropriate for the activities, methods, and tools proposed. The methodologies proposed clearly account for ethical considerations.

### **Organizational Capacity**

The proposal narrative clearly establishes the applicant and partners' (if any) ability to implement a DE. The applicant and partners (if any) have appropriate experience in the subject matter and IDR methodologies, or the proposal clearly describes how the applicant will bring expertise to the project. For prior recipients of both TIP Office and other U.S. government funding, the TIP Office will consider past performance on awards. For new applicants, the TIP Office will evaluate the organization's potential to successfully implement a project, including the applicant's ability to adhere to the rules and regulations that govern U.S. foreign assistance. The application identifies well-qualified key personnel to manage the DE and oversee its implementation. Applicants demonstrate experience administering successful projects of similar size and scope – preferably in human trafficking or related areas – and experience administering successful evaluation and/or research projects.

### **Diversity, Equity, Inclusion, and Accessibility Integration**

All activities must address gender and social inclusion considerations, ensuring that all individuals benefit from support where applicable, and that gender and social inclusion awareness is a built-in component of project activities. Where applicable, this should be documented in the project narrative, specifically by addressing any relevant gender and social gaps and ways the proposed activities will address those gaps. Applicants should demonstrate how addressing relevant gender and social gaps will enhance the project's goals and objectives. More specifically, the applicant clearly describes how they will consider gender dynamics and describe approaches for context bias mitigation, and techniques that will be used to ensure sampling methods will not overlook marginalized groups.

### **Survivor Inclusion and Victim Centered Approach**

Applicants must describe how survivors or persons with lived experience of human trafficking are meaningfully included in all stages of the DE and intervention development research process. Applicants are highly encouraged to compensate survivors or persons with lived experience for any and all contributions made to the project. If and when survivors or persons with lived experience are compensated, it should be clearly articulated in the budget and budget narrative.

Placing the victim's priorities, needs, and interests at the center of the work with the victim; providing nonjudgmental assistance, with an emphasis on self-determination, and assisting victims in making informed choices; ensuring that restoring victims' feelings of safety and security are a priority and safeguarding against policies and practices that may inadvertently re-traumatize victims. A victim-centered approach should also incorporate a trauma-informed, survivor-informed, and culturally competent approach.

### **Trauma Informed Approach**

Trauma-informed practice is built on the knowledge and understanding of the impacts of trauma on people's lives and health. It addresses the effects of historical, intergenerational and ongoing trauma, as well as structural and interpersonal violence, that people have experienced not only as a result of human trafficking, but also broader factors (e.g., systemic violence, cultural oppressions, etc. It includes an understanding of the vulnerabilities and experiences of trauma survivors, including the prevalence and physical, social, and emotional impact of trauma.

A trauma-informed approach requires programs and interventions to integrate this knowledge into all aspects of practice and programming in ways that foster safety, respect and empowerment of everyone involved in the process, including survivors, researchers, practitioners, etc. It recognizes signs of trauma in individuals and the professionals who help them and responds by integrating knowledge about trauma into policies, procedures, practices, and settings. A trauma-informed approach places priority on restoring the survivor's feelings of safety, choice, and control.

Applicants must describe the ways in which the design, implementation, and monitoring and evaluation methods and approaches of the proposed intervention, including the research methods, are trauma informed.

### **Feasibility**

Applications must present a reasonable scope of activities that can be accomplished within the proposed **timeline** and **budget**. All budget items should be clearly explained and justified to demonstrate necessity, appropriateness, and connection to the project objectives.

### *3. Review and Selection Process*

Following the submission deadline, all proposals will be screened to determine whether they meet the technical requirements stated in this 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. Proposals will be reviewed by members of the TIP Office and by an intra- and interagency review panel on a 100-point scale. The panel 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. Any selections will be notified to Congress. Congressional notification will precede any award under this funding opportunity.

Final award decisions will be influenced by whether the application meets the TIP Office's programmatic goals and objectives, how it supports the Department's overarching foreign policy priorities, and the geographic distribution of the top-ranking applications.

The U.S. government reserves the right (but is not under obligation to) obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Please note, with the exception of technical submission questions during the funding process, U.S. Department of State staff in Washington, DC, and

overseas shall not discuss this competition with applicants until the entire review process has been completed and rejection and approval letters have been transmitted. All questions related to the funding process and content of this funding opportunity must be submitted via email to [JTIPGrants@state.gov](mailto:JTIPGrants@state.gov).

#### *4. Pre-Award Risk Assessment*

Applicants will be subject to a TIP Office risk assessment process that may include a pre-award site visit. The assessment may consider a variety of risk factors, including: (1) financial stability of applicants; (2) quality of management systems and ability to meet prescribed management standards; (3) past performance in managing previous federal awards, if applicable, including compliance with reporting requirements, and conformance to award terms and conditions; (4) reports and findings from available audits; and (5) applicant ability to effectively implement statutory, regulatory, or other requirements applicable to non-federal entities.

#### *5. Federal Awardee Performance & Integrity Information System (FAPIIS)*

For any Federal award under a notice of funding opportunity, if the Federal awarding agency anticipates that the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity may include, over the period of performance (see §200.88 Simplified Acquisition Threshold), this section must also inform applicants:

- i. That the Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. §2313);
- ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM

and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM; and,

- iii. That the Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

#### *6. Anticipated Federal Award Dates*

The TIP Office anticipates making a decision on the applications in June 2023 and will notify all applicants of their proposal status at this time. Shortly after proposal(s) are selected, the Office will work with the selected organization(s) to clarify aspects of their proposal and award the funds no later than September 30, 2023. All funding decisions are conditional until a final award is signed.

### **G. FEDERAL AWARD ADMINISTRATION INFORMATION**

#### *1. Federal Award Notices*

Following the internal review process, applicants can expect to hear from the TIP Office via email regarding the status of their application in the summer of 2023. However, a letter stating an applicant is chosen for further consideration does not constitute authorization to begin performance on the proposed project. All selected applications are conditional until the funds have officially been appropriated by Congress, allocated and committed through internal bureau procedures, and are authorized and awarded by the grants officer.

#### *2. Administrative and National Policy Requirements*

**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>.

Note the U.S. Flag branding and marking requirements in the Standard Terms and Conditions.

**Anti-Prostitution Policy and Requirements:** Grantees are required to agree to the following conditions prior to a grant being awarded:

- i. None of the funds made available herein may be used to promote, support, or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to combat trafficking in persons, including programs for prevention, protection of victims, and prosecution of traffickers and others who profit from trafficking in persons, by ameliorating the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked.
- ii. The recipient shall insert this provision in all sub-agreements under this award.

**Training Certification:** All organizations receiving funds must agree to the following:

- *“This organization hereby certifies that, to the extent practicable, persons or entities providing legal services, social services, health services, or other assistance have completed, or will complete, training in connection with trafficking in persons.”* The recipient shall insert this provision in all sub-agreements under this award. TVPA §107A(b)(1) (22 U.S.C. §7105A(b)(1)).

**Special Provision for Performance in a Designated Combat Area:** Each federal assistance award within areas of combat operations or future contingency operations, as designated by the Secretary of Defense, over \$150,000 or providing for performance over 30 days must be registered in the Department of Defense maintained Synchronized Pre-deployment and Operational Tracker (SPOT) system. Each federal assistance award shall be registered in SPOT before personnel deployment. Requirements are fully outlined in the award agreements for recipients.

**Leahy Vetting Requirement:** This requirement applies to training or other assistance to be furnished to any unit or individual member of the security forces of a foreign country. Leahy vetting is required when training or assistance is provided to foreign security forces, including when such assistance is provided under a grant or cooperative agreement. Department guidance provides the following information on the type of personnel who are considered security forces and thus must be vetted under Leahy:

- *“The Leahy amendment refers to the ‘security forces of a foreign country.’ It makes no distinction between military and civilian. The key is whether the individual is a member of a security force unit. In broad terms, any division or entity (to include an individual) authorized by a State or political subdivision (city, county, etc.) to use force (including but not limited to the power to search, detain, and arrest) to accomplish its mission would be considered a security force. ‘Security forces’ thus could be units of law enforcement or the military. Prison guards, customs police, border police, tax police, and the coast guard would be examples of the types of units included in the category of ‘security forces.’ Members of these types of units should be considered as subject to the Leahy Amendment and be vetted either as individuals or as part of the unit being trained. Examples of persons who are not considered ‘security forces’ include: government bureaucrats, prosecutors, judges, civilian members of NGOs, international organizations or task forces and forensic lab workers.”*

Leahy Vetting requirements will be fully outlined in the award agreements for recipients. The vetting process may take considerable time, and applicants should plan training activities with sufficient time for vetting to be completed. All successful applicants, including prior grantees, will be required to complete a Leahy Vetting training module (<https://www.state.gov/key-topics-office-to-monitor-and-combat-trafficking-in-persons/#leahy>) prior to the award of new projects.

**Never Contract with the Enemy:** This requirement refers to a law that was codified in 2 CFR Part 183, which prohibits funding persons or entities that are actively opposing United States or coalition forces involved in a contingency operation in which members of the Armed Forces are actively engaged in hostilities. If applicant is on the current list of prohibited or restricted persons or entities in SAM Exclusions, then this would prohibit that applicant from receiving an award. Furthermore, an award recipient may be terminated if they are found to have used award funds, either directly or indirectly, to the enemy.

**Executive Order Strengthening Protections Against Trafficking in Persons in Federal Contracts:** Any applicant’s hiring process must be consistent with the U.S. government’s regulations on preventing human trafficking among federal contractors and grantees, specifically:

- *U.S. law and regulations expressly prohibit federal contractors, sub-contractors, grantees, sub-grantees, and their agents/employees from engaging in certain trafficking-related practices, such as misleading or fraudulent recruitment practices; charging employee recruitment fees; and destroying or confiscating employees' identity documents, such as a passport or a driver's license.*

See 22 U.S.C. §1704(g) (as amended by recent TVPRA); Federal Acquisition Regulation, 48 C.F.R. §52.222-50 (Combating Trafficking in Persons); see also Federal Acquisition Regulation, 83 FR 65466 (Dec. 20, 2018) (Combating Trafficking in Persons—Definition of “Recruitment Fees”).

**U.S. National Action Plan on Women, Peace, and Security:** Applicants are encouraged to review the goals of the U.S. National Action Plan on Women,

Peace, and Security for their relevance to applications. In particular, Outcome 3.3 of the Plan provides guidance on efforts to combat trafficking:

- *“Engage with international and/or civil society organizations to ensure that standard operational procedures are in place to prevent human trafficking, especially among refugees and internally displaced persons (IDPs), including appropriate assistance and procedures for unaccompanied minors, to identify potential trafficked persons, and to refer survivors to appropriate service providers. As appropriate, provide support to international and civil society organizations to set up emergency care services for trafficking survivors.”*

And:

- *“Promote establishment of local coalitions or taskforces comprised of relevant government authorities and civil society organizations to combat human trafficking as part of the justice reform measures in post-conflict areas.”*

**U.S. Department of State Policy on Disabilities:** The U.S. government has made a commitment to protect and advance human rights and fundamental freedoms for all people, including persons with disabilities. To that end, the Convention on the Rights of Persons with Disabilities (CRPD) seeks to ensure that every person living with a disability can benefit from the same access and protections, in the United States and abroad.

**U.S. Department of State Policy on Lesbian, Gay, Bisexual, Transgender, and Queer (LGBTQ+) Individuals:** In preparing applications, applicants are reminded that the Department’s priorities for advancing LGBTQ+ equality abroad are to eliminate violence and discrimination based on sexual orientation, gender identity, and gender expression. Advancing the human rights of LGBTQ+ people, as with our support for other marginalized or vulnerable people, complements and reinforces other U.S. foreign policy priorities, including strengthening civil society, promoting the rule of law, supporting gender equality and advancing the status of women and girls, protecting refugees and asylum seekers, and furthering anti-trafficking efforts, among others. Due to these intersections, violations or abuses of

the human rights of LGBTQ+ people often also have negative implications for other U.S. foreign policy priorities.

**U.S. Department of State Policy on the Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment:**

Grantees are prohibited from obligating or expending grant funds for covered telecommunications equipment or services to: (1) procure or obtain, extend or renew a contract to procure or obtain; (2) enter into a contract (or extend or renew a contract) to procure; or (3) obtain the equipment, services, or systems. Covered telecommunications equipment and services mean any of the following: (i) Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities); (ii) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities); (iii) Telecommunications or video surveillance services provided by such entities or using such equipment; and (iv) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country. This policy does not apply to Foreign Public Entities (which includes Public International Organizations).

*1. Grant Reporting and Monitoring Requirements*

Reporting is critical to effective program management and oversight. Reports are required as a means of evaluating the recipient's progress and utilization of resources. They are divided between a performance progress report and a financial status report.

Recipients will, at a minimum, be required to submit Quarterly Performance Reports (QPR) and a Quarterly Financial Report (QFR). The

QPRs will compare actual to planned performance and describe the progress made in accomplishing each assistance award tasks/goals noted in the grant agreement and will contain analysis and summary of findings, both quantitative and qualitative, for key indicators. The QFRs provide a means of monitoring expenditures and comparing costs incurred with progress.

Recipients must report ***immediately*** when a program faces unplanned delays in implementation, fails to meet program targets or milestones, or costs increase. Any changes or revisions to the approved budget require prior approval from the TIP Office Grants Officer.

Recipients are required to report program and beneficiary achievements on a quarterly basis (or provide written confirmation that there is no related news for the given quarter) beginning with second quarter's program report.

Applicants whose applications are selected for funding will be required to submit financial reports and project narrative reports. The award terms and conditions will specify how often these reports must be submitted.

- *Reporting Requirements:* Award recipients are required to submit quarterly narrative and financial reports at pre-determined intervals throughout the project period and required to submit final reports 120 days after the end of the project period. Access to funds may be suspended if reports are late or incomplete.
- *Grant Monitoring and Evaluation:* The TIP Office monitors all funded projects. Award recipients should expect the Grants Officer and Grants Officer Representative to conduct site visits during the performance period. On-site reviews include assessment of project and administrative effectiveness. In addition to planned project monitoring, some awards and sub-awards may be selected for independent evaluation.

If the federal share of any award issued under this funding opportunity exceeds \$500,000 over the period of performance, potential applicants

should be aware of the post-award reporting requirements reflected in [2 CFR 200 Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters](#).

As per §170.220, grantees awarded under this announcement will be required to report all sub-awardees receiving funds of \$30,000 or more to <http://www.fsrs.gov>. More information about this requirement can be found within the Department of State Standard Terms and Conditions.

Each non-Federal entity that applies for Federal financial assistance and that does not have an exception under §170.110(b) must have the necessary processes and systems in place to comply with the reporting requirements should they receive Federal funding.

## *2. Data Sharing Recommendation*

The TIP Office strongly encourages successful applicants to provide victim and survivor data collected from project(s) to the **International Organization for Migration’s (IOM’s) Counter-Trafficking Data Collaborative** (<https://www.ctdatacollaborative.org/>) (CTDC), which publishes harmonized data from counter-trafficking organizations around the world. The goal of the CTDC is to break down information-sharing barriers and equip the counter-trafficking community with up to date, reliable data on human trafficking. Bringing together global data in one platform will strengthen and empower local, national, and international institutions to eradicate crimes of trafficking and exploitation. No personally identifying information is transferred to or hosted by CTDC, and organizations are asked to anonymize victim data in accordance with the standards set by IOM CTDC.

As part of the substantial involvement, the TIP office may request access to anonymized data.

## **H. FEDERAL AWARDING AGENCY CONTACTS**

If you have any questions about the funding process or the content of this funding opportunity, applicants may submit these questions via email to

[JTIPGrants@state.gov](mailto:JTIPGrants@state.gov). The questions and answers are published and updated frequently on SAMS Domestic and Grants.gov.

For assistance with **SAMS Domestic** contact Customer Support by calling 1 (888) 313-4567 or by creating an account on the **ILMS Self Service Portal**. The Support Desk is available 24 hours a day, 7 days a week. Please note the hours for Federal holidays may differ. **Please note, if an organization has issues submitting an application near the deadline, the only way its late application will be accepted is if it opens a ticket with the help desk to fix the problem prior to the deadline.** A ticket with the help desk can be opened by submitting a ticket through the **ILMS Self Service Portal**. The ILMS Help Desk utilizes a user-facing ticketing interface that allows users to submit and monitor their SAMS Domestic tickets.

**DISCLAIMER:**

The terms and conditions published in this NOFO are binding and may not be modified by any Bureau representative. Explanatory information provided by the bureau that contradicts public language will not be binding. Issuance of the NOFO does not constitute an award commitment on the part of the U.S. government. The TIP Office reserves the right to reduce, revise, or increase proposal budgets in accordance with the needs of the program and the availability of funds. Awards made will be subject to periodic reporting and evaluation requirements listed in this NOFO.