



September 11, 2018

TO: PROJECT DIRECTORS
VICTIM/WITNESS ASSISTANCE PROGRAM

RE: VICTIM/WITNESS ASSISTANCE (VW) PROGRAM
REQUEST FOR APPLICATION, FISCAL YEAR 2018-19

The California Governor's Office of Emergency Services (Cal OES), Victim Services & Public Safety Branch, Victim/Witness Unit, is pleased to announce the release of the Victim/Witness Assistance (VW) Program Request for Application for the 2018-19 fiscal year. The purpose of the VW Assistance Program is to provide comprehensive services to victims and/or witnesses of all types of violent crime pursuant to California Penal Code §13835 in each of California's 58 counties.

The VW Program is supported with \$48,882,004 in federal and state funds. An additional \$5,800,000 is allocated to support a Victim/Witness based Mass Victimization Advocate for 2018-19. The Grant Subaward performance period is October 1, 2018 – September 30, 2019. To receive funding through the VW Assistance Program, the application package must be received or postmarked by **Friday, October 12, 2018**.

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

For questions regarding this RFA, contact your assigned VW Program Specialist.

Thank you for your interest, and we look forward to working with you.

Sincerely,

GINA BUCCIERI-HARRINGTON
Assistant Director, Grants Management



3650 SCHRIEVER AVENUE, MATHER, CA 95655
(916) 845-8451 TELEPHONE
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VICTIM/WITNESS ASSISTANCE (VW) PROGRAM

TABLE OF CONTENTS

I. OVERVIEW

A. INTRODUCTION	1
B. CONTACT INFORMATION.....	1
C. APPLICATION DUE DATE AND SUBMISSION OPTIONS	1
D. ELIGIBILITY.....	2
E. GRANT SUBAWARD PERFORMANCE PERIOD	2
F. FUNDS	2
G. PROGRAM INFORMATION	5

II. RFA INSTRUCTIONS

A. PREPARING AN APPLICATION.....	15
B. CERTIFICATION OF ASSURANCE OF COMPLIANCE	16
C. PROJECT NARRATIVE	16
1. Problem Statement.....	16
2. Plan	17
D. PROJECT BUDGET	17
1. Budget Narrative.....	18
2. Specific Budget Categories	18
E. APPLICATION APPENDIX.....	20

III. POLICIES AND PROCEDURES

A. FINALIZING THE GRANT SUBAWARD.....	22
1. Standard Project Funding Authority	22
2. Processing Grant Subaward.....	22
B. ADMINISTRATIVE REQUIREMENTS.....	23
1. The <i>Subrecipient Handbook</i>	23
2. Communications	23
3. Progress Reports and Data Collection.....	24
4. Monthly/Quarterly Report of Expenditures and Request for Funds.....	24
5. Programmatic Technical Assistance and Site Visit Performance Assessment ..	24
6. Monitoring Requirements.....	24
7. Audit Requirements	24
8. Source Documentation	25
9. Fidelity Bond	25
10. Copyrights, Rights in Data, and Patents	25
C. BUDGET POLICY	26
1. Supplanting Prohibited.....	26
2. Project Income	26
3. Methods of Contracting and/or Procurement	26
4. Match Requirements.....	26

5. Travel Policies.....	27
6. Participating Staff.....	30
7. Independent Contractor/Consultant	30
8. Facility Rental	31
9. Rented or Leased Equipment	32
10. Indirect Cost Rate Proposal	32
11. Audit Costs	32
12. Equipment.....	33
13. Prohibited Expense Items	34

IV. ATTACHMENTS

A. APPLICATION FORMS	37
B. GLOSSARY OF TERMS	37

VICTIM/WITNESS ASSISTANCE (VW) PROGRAM

PART I – OVERVIEW

- A. INTRODUCTION
 - B. CONTACT INFORMATION
 - C. APPLICATION DUE DATE AND SUBMISSION OPTIONS
 - D. ELIGIBILITY
 - E. GRANT SUBAWARD PERFORMANCE PERIOD
 - F. FUNDS
 - G. PROGRAM INFORMATION
-

A. INTRODUCTION

This Request for Application (RFA) provides the information and forms necessary to prepare an application for California Governor's Office of Emergency Services' (Cal OES) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Subrecipient Handbook*. The *Subrecipient Handbook* provides helpful information for developing the application and is accessible on our website at www.caloes.ca.gov.

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues should be submitted by telephone or e-mail to:

Rachel Magaña
Rachel.Magana@caloes.ca.gov
(916) 845-8451

C. APPLICATION DUE DATE AND SUBMISSION OPTIONS

One original application must be delivered to Cal OES's Victim Services & Public Safety Branch, by the date and time indicated below. Submission options are:

Regular or overnight mail, postmarked by Friday, October 12, 2018, OR hand-delivered by 5:00 p.m. on Friday, October 12, 2018, to:

California Governor's Office of Emergency Services
Victim Services & Public Safety Branch
3650 Schriever Avenue
Mather, CA 95655
Attn: Victim/Witness Assistance (VW) Program, Victim/Witness Unit

D. ELIGIBILITY

Only current Victim/Witness Assistance Program Subrecipients are eligible to apply for funding through this Request for Application.

E. GRANT SUBAWARD PERFORMANCE PERIOD

The Grant Subaward performance period is October 1, 2018 – September 30, 2019.

F. FUNDS

Approximately \$48,882,004 is available for the VW Program for the Grant Subaward performance period. An additional \$5,800,000 is also available to fund a Mass Victimization Advocate. **Funding is contingent upon the availability of funds and passage of the 2018-19 State Budget Act.**

The Victims of Crime Act allocation for the VW Program has increased by 20%. The formula provides Los Angeles with 17.2% of the total available funding and allocates the remaining funds to all other Subrecipients based on baseline funding and percentage of overall crime and population statistics.

<https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?src=bkmk>

<https://openjustice.doj.ca.gov/crime-statistics/crimes-clearances>.

Additionally, Subrecipients may apply for up to \$100,000 VOCA funding to support a Mass Victimization Advocate (MVA) position. (Refer to Part I, G, 4, on Page 11).

Please note: Although Subrecipients may request up to the amount indicated on the 2018-19 VW Program Funding Chart, (attachment) Subrecipients are advised to apply for only the amount needed for the Grant Subaward performance period.

1. Source of Funds

The VW Program is supported with the following state and federal funds:

a. State Penalty Fund

1) Legislative Authority

These funds are provided through the 2018-19 State Budget Act.

2) Purpose

The State Penalty Fund was created as a depository for assessments on specified fines, penalties, and forfeitures imposed and collected by the courts for criminal offenses and used to support victim services programs amongst others. These State funds can be used for match requirements following the provisions of the *Subrecipient Handbook*, Section 6522.

3) Match

There is no match requirement for these funds.

b. Victims of Crime Act (VOCA) Victim Assistance Formula Grant Program (Formula Grant Program)

1) Legislative Authority

The 2017 VOCA Victim Assistance Formula Grant Program is authorized by the Victims of Crime Act of 1984 (42 U.S.C. 10603(a) and (b)). The 2018 VOCA Formula Grant Program is authorized by the Victims of Crime Act of 1984 (34 U.S.C. § 20103 (a) and (b)).

2) Purpose

VOCA authorizes federal financial assistance to states through the VOCA Formula Grant Program for the purpose of supporting eligible crime victim assistance programs that: 1) respond to the emotional and physical needs of victims of crime; 2) help primary and secondary victims of crime to stabilize their lives after a victimization; 3) help victims of crime understand and participate in the criminal justice system; and 4) provide victims of crime with a measure of safety and security. Crime victim is defined as any person who has suffered physical, sexual, financial, or emotional harm as a result of the commission of a crime.

3) Match

The VOCA Formula Grant Program requires a cash and/or in-kind match equal to 20 percent of the total project cost. Applicants may request a partial match waiver of no more than 80% of the required match amount. **All Match Waiver Requests must be submitted with the application.** See Attachment A for instructions and formatting requirements.

If the Applicant submits a Match Waiver Request, the Grant Subaward Face Sheet and Budget Pages must reflect the adjusted match amount.

4) Requirements

Subrecipients must:

- Have a record of effective direct service to victims of crime.
- Utilize volunteers unless there is a compelling reason to waive this requirement.
- Not deny services to victims based on immigration status.
- Not charge victims for services provided by programs supported with VOCA Victim Assistance Formula Grant Program funds, unless waived by Cal OES.
- Ensure original publications (written, visual, or sound) produced in whole or in part must contain the following statement: "Funding made possible through the United States Department of Justice, Victims of Crime Act, 2017-VA-GX-0058 or 2018-V2-GX-0029."

5) Code of Federal Domestic Assistance (CFDA)

The CFDA number for the VOCA Formula Grant Program is 16.575. Additional information can be found at www.beta.sam.

c. Services* Training* Officers* Prosecutors (STOP) Violence Against Women Formula Grant Program

The STOP Violence Against Women Formula Grant Program was authorized in 1994 through the Violence Against Women Act (VAWA). VAWA, Public Law 103-322 was reauthorized in 2000, 2005 and most recently in 2013. The STOP Formula Grant Program is administered by the Office on Violence Against Women, Office of Justice Programs, U.S. Department of Justice.

1) Purpose

The STOP Formula Grant Program promotes the development and the implementation of effective, victim-centered law enforcement, prosecution, and court strategies to address violent crimes against women and the development and enhancement of victim services in cases involving violent crimes against women. States and communities are encouraged to restructure and strengthen the criminal justice system response to domestic violence, sexual

assault, and stalking, drawing upon the experience of all participants in the system.

2) Match

The STOP Formula Grant Program requires a cash or in-kind match equal to 25 percent of the total project cost. Match is calculated using the total project cost method. Tribes and victim service providers are exempt from this requirement and cannot be required to provide matching funds.

3) Restrictions/Guidelines

- The purchase of vehicles is prohibited.
- Approval for original publications (written, visual, or sound) produced in whole, or in part, using these funds must be obtained by Cal OES prior to production and distribution.

4) Code of Federal Domestic Assistance (CFDA)

The CFDA number for the STOP Formula Grant Program is 16.588. Additional information can be found at www.beta.sam.

G. PROGRAM INFORMATION

The purpose of the VW Program is to create Victim/Witness Assistance Centers (Centers) to provide comprehensive assistance to victims and witnesses to respond to the trauma experienced by victims and witnesses of crime. For the purpose of this Program, client is synonymous with victim and witness.

1. Mandatory Services

Upon request of the victim or a witness, Centers must perform all activities mandated in California Penal Code §13835.4 through §13835.5, including the following:

a. Crisis Intervention

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

b. Emergency Assistance

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

c. Resource and Referral Assistance

Centers must provide non-emergency referral, based on the client's request or Advocate's assessment, to individual(s) or agencies that may provide goods or services necessary to the client, but not provided by the Subrecipient. Subrecipients are also encouraged to initiate contact with all appropriate local agencies and form local committees to meet regularly in coordinating services to victims.

d. Direct Counseling/Therapy

Centers must provide in-person or telephone contact with a client who is not in emotional crisis resulting from a crime for the purpose of providing guidance or emotional support. Included would be contact with the client for emotional support, empathic listening, checking on a client's progress, etc. Such direct counseling will be at a level that does not require licensed professionals. Center staff will make referrals to other appropriate resources for client(s) who have professional counseling needs.

e. Victim of Crime Claim Assistance

Centers must assist clients in preparing applications for compensation. The Advocate's role does not include determination of eligibility of a client. Advocates should not discourage a client from filing an application. Subrecipients must inform clients of the right to file an application; however, Subrecipients are not required to represent all clients in the compensation process.

The amount of time an Advocate spends assisting a client with the application process will be determined by the Subrecipient on a case-by-case basis as part of the Advocate's role as a case manager.

f. Property Return

Centers must assist in obtaining the return of a client's property held as evidence by the criminal justice system. In cases where property cannot be returned, an explanation will be provided to the client or family member.

g. Orientation to the Criminal Justice System

Centers must provide in-person or telephone information on the location, procedures, and functioning of the local criminal justice system. Subrecipients shall have printed information available in languages appropriate to local ethnic or language needs.

h. Court Escort

Centers must accompany clients to any court proceeding. Subrecipients must provide information on the case and/or support during court appearances. *The client must have physical accompaniment for the Court Escort services to be counted for data collection.* Clients who are assisted by Advocates in preparation for court appearances, but are not accompanied to court, should be counted as orientation to the criminal justice system.

i. Presentations and Training for Criminal Justice Agencies

Centers must conduct informational presentations and training for criminal justice agencies regarding resources available through the VW Program, available services to criminal justice agencies, and explain the rights and needs of victims.

j. Public Presentations and Publicity

Centers must conduct public awareness activities for the purpose of advertising the existence of services through the use of public media (e.g., newspapers, radio, and television) and presentations to victim services organizations and community groups, service clubs, and schools. Subrecipients are encouraged to participate in media/public awareness-related events promoting victim services, including the annual National Crime Victims' Rights Week.

k. Case Status/Case Disposition

Centers must advise clients of the progress and disposition of their case as it progresses through the criminal justice system.

I. Notification of Family/Friends

Centers must notify a client's relatives and/or friends of the occurrence of a crime and the client's condition as a result of that crime.

m. Employer Notification/Intervention

Centers must notify clients' employer(s) that the client was a victim or witness to a crime, and/or notify the employer(s) of the condition of the client as a result of the crime. Centers should encourage the employer(s) to minimize any loss of pay or other benefits, where the occurrence of the crime has caused, or will cause an employee to lose time from work as a result of participation in the criminal justice system.

n. Restitution

Centers must assist victims with restitution. The victim must be assigned to the victim Advocates' caseload for a full range of victim services, not just restitution recovery. California Penal Code §13835.5 (14) stipulates that restitution assistance is to be provided *at the victim's request only*. The VW Center is not mandated to perform the function of restitution notification/assistance for all clients of the District Attorney's Office or Probation Departments. Restitution caseload is a clerical function. The Center is not equipped with the time, or funding, to perform this duty in addition to the mandatory and optional client services associated with the caseload.

2. Optional Services

The following services are not required by law, but may be provided by the Subrecipient if resources are available:

a. Employer Intervention

b. Any other intervention with the client's employer not provided in Mandatory Services.

c. Creditor Intervention

Interceding on behalf of clients requesting assistance in informing creditors of their temporary inability to meet current financial obligations due to the aftermath of the crime.

d. Child Care Assistance

Arranging for temporary childcare while a client is appearing in court, meeting with prosecution or law enforcement officials, or otherwise taking part in criminal justice proceedings. The Advocate shall not provide direct childcare.

e. Witness Notification

Witness notification of cancellations or continuances for calendared court appearances is allowable as long as the Victim/Witness Advocate is assigned to assist the victim in the case.

f. Funeral Arrangements

Assisting family members of deceased victims or witnesses with funeral/burial arrangements.

g. Crime Prevention Information

Making crime prevention information available to victims and other persons.

h. Witness Protection

Assisting law enforcement for protection or relocation to a new residence when a victim's safety is threatened.

i. Temporary Restraining Order (TRO) Assistance

Assisting in obtaining temporary restraining orders. Victim/Witness Advocates should not be tasked with preparing Criminal Protective Orders (CPO) as this is a prosecutorial activity.

j. Transportation Assistance

Assisting with arranging or providing transportation for clients. This only relates to those being served by Victim/Witness Advocates.

k. Court Waiting Area

Providing a waiting area for victims or witnesses during court proceedings separate from defendants, defendants' families, and/or friends of defendants.

3. Additional Programmatic Requirements

a. Multiple Field Offices

Subrecipients are required to provide to Cal OES addresses of all VW offices providing services within the county. Include the following information:

- Office address
- Telephone number
- Number of employees assigned to this office
- Supervisor's name, e-mail address, and telephone number

The Project Director is required to provide Cal OES an after hour's telephone contact number for their project. Cal OES will retain this number only for the purpose of contacting a project representative in the case of an emergency. This requirement formalizes an informal practice, and is intended as further preparation for the State's emphasis on emergency preparedness.

b. ADA Compliance

Subrecipients must be in compliance with the Americans with Disabilities Act (ADA) of 1990, 42 U.S.C. 12101, et seq., and Title 28 of the Code of Federal Regulations, Part 35. The Subrecipient shall operate so that each service is accessible to and usable by individuals with disabilities. Applicants may comply with the requirements of this section through such means as redesigning of equipment, reassignment of services to accessible buildings, assignment of aides to beneficiaries, home visits, delivery of services at alternative accessible sites, alteration of existing facilities and construction of new facilities, use of accessible rolling stock or other conveyances, or any other methods that result in making its services, programs, or activities readily accessible to and usable by individuals with disabilities.

Subrecipients must ensure that communication with individuals with disabilities is as effective as communication with others without disabilities. This includes the use of telecommunications systems for communications by telephone. Subrecipients must also ensure that individuals with impaired vision or hearing can obtain information as to the existence and location of accessible services, activities, and facilities, as well as provide appropriate signage. This includes all written materials (e.g., brochures, applications, consents, videos, etc.). Subrecipients must ensure that all aspects of employment comply with ADA, including the application process (recruitment, hiring) and employment tasks.

c. Training

Subrecipients must budget for untrained advocates to attend Victim Advocate and/or Crisis Response training and check with California District Attorneys Association (CDAA) for possible enrollment during the Grant Subaward performance period. Staff participating in the trainings must be assigned to provide direct victim services.

d. Operational Agreements

Operational Agreements (OAs) provide a description of working relationships with other government (including Tribal governments) and non-governmental agencies. At a minimum, Subrecipients must have OAs with local domestic violence centers, rape crisis centers, and agencies that provide services for child crime victims. OAs must demonstrate a formal system of networking and coordination with other agencies and the Subrecipient. A sample OA is provided in the *Subrecipient Handbook*, Appendices, and Forms.

e. Programmatic Restrictions

- Centers that are located in District Attorney Offices must operate within divisions **other than** Investigations.
- Centers must not restrict services to only victims of cases being prosecuted. All victims of crime must be eligible to receive services from the center.
- Under no circumstances shall Cal OES-funded Advocates be used as expert witnesses; VOCA strictly prohibits prosecutorial activities.
- Victim/Witness Advocates shall not be split-funded with domestic violence and/or rape crisis programs due to confidentiality/privilege issues.

4. Mass Victimization Advocate (MVA) *Optional Funding*

In order to prepare VW centers to participate in a coordinated community response to mass victimization/terrorism incidents, an additional \$100,000 per county is available on an on-going basis to support 1 FTE MVA position. If a position is already in place or the center can justify a partial FTE, Cal OES will take this into consideration. MVA funding must remain dedicated to further the objectives of supporting response readiness to mass victimization/terrorism incidents. This funding must be delineated in the budget narrative and in the budget page line-item detail.

VW centers electing to apply for this funding will be tasked to develop a victim assistance plan to support and enhance immediate response and recovery efforts and establish readiness in response to mass victimization/terrorism incidents.

MVA Objectives:

- a. Develop a comprehensive crisis response/mass victimization assistance plan structured to identify and respond to victim needs such as: safety, food, shelter, and immediate services in the aftermath of a mass victimization/terrorism incident. The plan should include a needs assessment, emergency assistance measures, resource and referral information, and should be adaptable to support and enhance the existing community/county emergency response plan.
- b. Develop victim assistance crisis response protocols.
- c. Develop and implement mutual-aid memorandums of understanding (MOU's) with VW Centers in neighboring counties and/or within your identified crisis response (CR) training region to leverage resources and facilitate a regional response to mass victimization/terrorism incidents.
- d. Conduct outreach and participate in community meetings with leaders from the following fields: law enforcement, victim services, legal services (non-profit and private sector), prosecutors' office, city government, emergency management, medical services, and schools to provide information about trauma informed response.
- e. Establish MOU's with allied service providers, including, but not limited to County/City government and local Emergency Operation Centers (EOCs). Identify VW's role in the emergency response plan.
- f. Conduct community outreach, and education.
- g. Utilize MVA funding for purchase of go-bags, management and technology supplies and/or other necessary resources required for deployment.
- h. Develop a timeline to meet the mass victimization objectives. Initiate all MVA objectives, although not all may be accomplished within the current Grant Subaward performance period.

The MVA (if time permits) may maintain a modified VW caseload in conjunction with working towards meeting position objectives. It is required that the MVA complete the California Crime Victims Association (CCVAA) Entry Level Training within the current Grant Subaward performance period.

It is also a requirement that the MVA attend CCVAA Crisis Response Advocate training. It is recommended that the MVA coordinate with the CCVAA, to secure enrollment in an appropriate Mass Victimization Advocate training within one year of this assignment. Crisis Response trainings are conducted regionally to VW and allied service providers. The training provides skills-training, resource information and guidance to potentially respond to mass victimization/terrorism incidents. The training also focuses on developing capacity in structuring a crisis response plan. Additionally, the CCVAA training team is available to provide technical assistance in meeting MVA objectives.

Additional trainings relevant to mass victimization related subject matter are highly recommended e.g.: vicarious trauma training, grief and recovery training, psychological first aide, and death notification. FEMA online training is also recommended. <https://training.fema.gov/is/crslist.aspx>

5. Reporting Requirements

Progress Reports serve as a record for the implementation of the project. Statistics for Progress Reports must be collected on a quarterly basis, even when reporting occurs less frequently.

Reporting requirements are:

- a. There are two Cal OES Progress Reports required for the VW Program. See chart below for the reporting periods and due dates. The Progress Reports can be accessed on the Cal OES website.

	Report Period	Due
1 st Progress Report	October 1, 2018 – March 31, 2019	April 30, 2019
Final Progress Report	April 1, 2019 – September 30, 2019	October 31, 2019

- b. *(For VAWA-funded projects only)* The STOP Formula Grant Program Annual Progress Report covers the calendar year period January 1 to December 31.

This first report is due to Cal OES no later than January 31, 2019, and the final report will be due January 31, 2020.

- c. Office for Victims of Crime (OVC) Reports

There are two reports Subrecipients will need to complete:

- 1) Subgrant Award Report (SAR)

This report is due at the time funds are awarded. Subrecipients must complete the report in the OVC Performance Measurement

Tool (PMT) database **within 30 days of the start date of the grant.**

2) Subgrantee Report

Subrecipients must complete quarterly reports no later than two weeks following the end of each federal fiscal year quarter. Subrecipients will report data directly into the OVC PMT database no later than the due dates listed below, unless otherwise instructed by your VW Program Specialist.

Report Period	Due
October 1, 2018 – December 31, 2018	January 14, 2019
January 1, 2019 – March 31, 2019	April 14, 2019
April 1, 2019 – June 30, 2019	July 14, 2019
July 1, 2019 – September 30, 2019	October 14, 2019

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

VICTIM/WITNESS ASSISTANCE (VW) PROGRAM

PART II – RFA INSTRUCTIONS

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

A. PREPARING AN APPLICATION

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

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

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

Please provide the [10] required application components in the order listed below:

- Application Cover Sheet (included in Part IV)
- Grant Subaward Face Sheet (Cal OES 2-101)
- Project Contact Form (Cal OES 2-102)
- Signature Authorization and Instructions (Cal OES 2-103)
- Certification of Assurance of Compliance – (Cal OES 2-104h)
- Project Narrative (Cal OES 2-108)
- Budget Narrative (Cal OES 2-107)
- Budget Pages (Cal OES 2-106a)
- Subrecipient Grants Management Assessment Form
- Application Appendix (refer to Part II, E)

Click the link below to access Cal OES forms or go to www.caloes.ca.gov. Select "Cal OES Divisions," scroll down to "Grants Management," on the right-hand side, click on "Criminal Justice, Emergency Management & Victim Services Grant Programs," then select "Forms." Or, paste the following link into your browser:

<http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/forms>

NOTE: Pay special attention to the required forms. Failure to submit the correct forms will result in the application being returned.

The application must be fastened in the upper left corner. ***Do not bind the application.***

B. CERTIFICATION OF ASSURANCE OF COMPLIANCE (Cal OES 2-104h)

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

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

This document becomes a part of the Cal OES Grant Subaward. Two individuals must sign the Certification of Assurance of Compliance (Cal OES 2-104h): the designated individual authorized to sign the Grant Subaward (see Section 2113) and the individual granting that authority (the City/County Financial Officer, the City/County Manager, or the Governing Board Chair). The second signature is not required for State agencies.

C. PROJECT NARRATIVE

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

1. Problem Statement

Briefly describe any unmet victim service needs that exist in your county.

2. Plan

Briefly describe the plan to provide all mandatory services outlined in this RFA and any significant changes to your VW Program for the 2018-19 Grant Subaward performance period.

If MVA funding is solicited, provide a plan and a timeline for how the MVA objectives will be met.

D. PROJECT BUDGET

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

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

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

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

The Applicant should refer to the *Subrecipient Handbook* for additional information concerning Cal OES's budget policy or to determine if specific proposed expenses are allowable. The *Subrecipient Handbook* is accessible on our website at www.caloes.ca.gov. Select "Cal OES Divisions," scroll down to "Grants Management," on the right-hand side, click on "Criminal Justice, Emergency Management & Victim Services Grant Programs" then select "Handbooks, Reports & Publications." Should you have additional budget questions, contact the person listed in Part I, Section B.

1. Budget Narrative

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

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

2. Specific Budget Categories

In Part IV of this RFA, or on our website, you can access Excel spreadsheets ([Cal OES 2-106 a](#)) for each of the following three budget categories:

a. Personal Services – Salaries/Employee Benefits

1) Salaries

Personal services include services performed by project staff directly employed by the Applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be budgeted as a part of salaries. If the Applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the Applicant must be shown as participating staff (see *Subrecipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, D.2.b. - Operating Expenses - paragraph two).

2) Benefits

- Employee benefits must be identified by type and percentage of salaries. The Applicant may use fixed percentages of salaries to

calculate benefits. Budgeted benefits cannot exceed those already established by the Applicant.

- Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues are allowable budget items if negotiated as a part of an employee benefit package.
- A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

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

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

b. Operating Expenses

- Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (i.e., to further the Program objectives as defined in the Grant Subaward) and be encumbered during the performance period.
- The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the Applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with a cost of less than \$5,000 (excluding tax) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

- Salaries for staff not directly employed by the Applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Subrecipient Handbook*, Sections 3710 and 4500), under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the Subrecipient and made available for review during a Cal OES site visit, a monitoring visit, or an audit. In the case of grants being passed through a Subrecipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.
- Budget for anticipated training related to the project. The Applicant must include sufficient per diem and travel allocations for person(s) to attend required Cal OES training conferences or workshops.

c. Equipment

- Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and a cost of \$5,000 or more per unit (excluding tax).
- A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

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

E. APPLICATION APPENDIX

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

- **Organizational Chart:**
The Organizational Chart should clearly depict the structure of the Applicant organization and the specific unit within the organization responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within

the organization. Job titles on the Organizational Chart must match those in the Budget and Budget Narrative.

- Operational Agreement (OA) [Section 4300]:
These documents must demonstrate a formal system of networking and coordination with other agencies and the Applicant. Please refer to the *Subrecipient Handbook*, Section 4300 for the list of required elements.
- Noncompetitive Bid Request Checklist (Cal OES 2-156) [if applicable]
- Out-of-State Travel Request (Cal OES 2-158) [if applicable]
- Petty Cash Victim Fund Procedures (Cal OES 2-153) [if applicable]
- Project Service Area Information (Cal OES 2-154)
- Computer and Automated Systems Purchase Justification Guidelines (Cal OES 2-157) [if applicable]

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

Click the link below to access Cal OES forms or go to www.caloes.ca.gov. Select "Cal OES Divisions," scroll down to "Grants Management," on the right-hand side, click on "Criminal Justice, Emergency Management & Victim Services Grant Programs," then select "Forms." Or, paste the following link into your browser: <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/forms>

VICTIM/WITNESS ASSISTANCE (VW) PROGRAM

PART III – POLICIES AND PROCEDURES

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

- A. FINALIZING THE GRANT SUBAWARD
 - B. ADMINISTRATIVE REQUIREMENTS
 - C. BUDGET POLICY
-

A. FINALIZING THE GRANT SUBAWARD

1. Standard Project Funding Authority

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

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

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

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

2. Processing Grant Subaward

a. Grant Subaward Conditions

Cal OES may add Grant Subaward Conditions to the Grant Subaward prior to or after funding. If conditions are added, these will be discussed with the Applicant and a copy of the conditions will be sent to the Subrecipient when the conditions are made part of the Grant Subaward. Grant Subaward Conditions may include requirements for sole source

justification, a computer feasibility study, or other requirements deemed necessary by Cal OES.

b. Grant Subaward Amounts

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

c. Grant Subaward

A copy of the executed Grant Subaward and pertinent attachments will be sent to the Project Director. When the executed grant is received a Report of Expenditures and Request for Funds (Cal OES 2-201) may be submitted for reimbursement.

B. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to Projects selected for funding and are explained below for the Subrecipient's planning purposes:

1. The *Subrecipient Handbook (SRH)*

The [Subrecipient Handbook](#) is accessible on our website at www.caloes.ca.gov. Select "Cal OES Divisions," scroll down to "Grants Management," on the right-hand side, click on "Criminal Justice, Emergency Management & Victim Services Grant Programs," then select "Handbooks, Reports & Publications." The *Subrecipient Handbook* contains administrative information and requirements necessary to implement the Project. Subrecipients must administer their grants in accordance with the *SRH* requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Subaward.

2. Communications (*SRH* 11500)

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

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

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

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

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

5. Programmatic Technical Assistance and Site Visit Performance Assessment (*SRH 10200-10300*)

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

6. Monitoring Requirements (*SRH 10400*)

A monitoring visit is an on-site assessment by staff to determine if the Project is in compliance with the terms of the Program, the Grant Subaward, the Program Guidelines (if applicable), the RFA/RFP, and the *Subrecipient Handbook*. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (*SRH 8100*)

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

8. Source Documentation (*SRH 10111*)

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

9. Fidelity Bond (*SRH 2160*)

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

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

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

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

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

C. BUDGET POLICY

This document summarizes information on Cal OES Budget Policy contained in the [Subrecipient Handbook](#). Additional information may be obtained by accessing the *Subrecipient Handbook* at www.caloes.ca.gov. Select “Cal OES Divisions,” scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs,” then select “Handbooks, Reports & Publications.”

1. Supplanting Prohibited (SRH 1330)

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

2. Project Income (SRH 6610)

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

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

In most cases, a competitive bid process is required to purchase equipment or consultant services with grant funds (refer to SRH 3400-3530 for additional information).

4. Match Requirements (SRH 6500)

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

a. State Funds Matching State or Federal Funds (*SRH 6522*)

State and/or federal funds can be used to match other state and/or federal funds *only* if the following conditions have been met:

- 1) The other funding source does not prohibit this practice;
- 2) The funds are to be used for identical activities (e.g., to augment the Project); and
- 3) The Project has obtained prior written approval from Cal OES or the terms of the Program allow this practice.

b. Type of Match

1) Cash Match (*SRH 6511*)

Cash match, also known as hard match, is often derived from the local funding resources committed to a Project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the Project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on supplanting. A cash match must be specifically identified by line item as match in the budget.

2) In-Kind Match (*SRH 6512*)

In-kind match, also known as soft match, is the Project's contribution of non-cash outlay of materials or resources to support a percentage of Cal OES's Grant Subaward activities. It may include non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include donated office supplies, equipment, professional services, and volunteer time. In general, the value of in-kind contributions is determined by fair market value, which must be specifically identified by line item as in-kind match in the budget.

5. Travel Policies

The following is the Cal OES current travel policy:

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

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

1) Units of Government (*SRH 2236.21*)

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

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

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

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

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

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

Use the following state travel policy for budgeting travel expenses:

1) Meals and Incidentals

a) Breakfast \$7.00

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

b) Lunch \$11.00

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

c) Dinner \$23.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00

p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$5.00

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

e) Total Per Diem

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

2) Lodging

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

3) Special Lodging Rates

- Statewide (excluding counties identified below): \$90.00, plus tax
- Napa, Riverside, and Sacramento Counties: \$95.00, plus tax
- Marin County: \$110.00, plus tax
- Los Angeles, Orange, Ventura Counties and Edwards AFB, excluding the City of Santa Monica: \$120.00, plus tax
- Monterey and San Diego Counties: \$125.00, plus tax
- Alameda, San Mateo, and Santa Clara Counties: \$140.00, plus tax
- City of Santa Monica: \$150.00, plus tax
- City & County of San Francisco: \$250.00, plus tax.

4) Mileage

When a privately owned vehicle is utilized on Project-related business, a maximum of 54.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

5) Other

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

6. Participating Staff (*SRH 4500*)

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

7. Independent Contractor/Consultant (*SRH 3710*)

Independent Contractors/Consultant services are either provided on a contractual or salary basis by individuals or organizations that are not employees of the project. Services provided by a salaried employee of an agency identified in an Operational Agreement (OA) are not considered consultant services (see Section 4000). Independent contractors/consultants must not be used in lieu of employees. If the contract is over \$3,500, the project must hire the independent contractor/consultant through Competitive Bid, or submit a Non-Competitive Bid NB request to Cal OES for prior approval. If less than \$3,500, the project must maintain documentation for justification of the NB contract (see Section 3500).

Independent contractors/consultants are defined as individuals or organizations that meet any of the following criteria:

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

There must be a signed, written agreement between the organization and independent contractor/consultant specifying the contract period, compensation rate, duties or obligations, and any other conditions of employment.

a. Rates (*SRH 3710.1*)

The maximum rate for independent contractor/consultants is \$650 per eight-hour day or \$81.25 per hour (including travel and per diem costs). An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. Compensation for over \$650 per eight-hour day or \$81.25 per hour requires additional justification and must receive prior written approval from Cal OES and the federal awarding agency.

Exception to Rates (*SRH 3710.1.1*): Compensation to government employees (e.g., federal, state, and local) will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (*SRH 3710.2*)

Projects, which routinely utilize “expert witnesses” as independent contractors or consultants to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the Project may only be charged for costs above what the jurisdiction is required to cover. Unless, otherwise prohibited, the maximum allowable rate for such witness fees is \$250 per hour, and is not to exceed \$2,000 per day. The total amount budgeted for expert witness fees must not exceed 10 percent (10%) of the Project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

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

8. Facility Rental (*SRH 2232*)

Facility rental costs per square foot must be based on actual rent paid, not to exceed \$21 per square foot annually (\$1.75 per square foot per month). If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit. Exceptions to the above rates and/or square footage must be approved by Cal OES and requires appropriate justification.

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

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

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

10. Indirect Cost Rate Proposal (ICRP) (*SRH 2180-2189*)

Indirect costs cannot be directly assigned to a particular grant activity, but are necessary to the operation of the organization and the performance of the grant project. Indirect costs include operating and maintaining facilities, accounting services, and administrative salaries.

a. Subrecipients do not have to budget for indirect costs.

b. Subrecipients that budget for indirect costs must:

- Use their approved Indirect Cost Rate (ICR) that has been established by the Subrecipient's cognizant federal agency (Cal OES will not act as a cognizant agency); or
- Use an amount up to the ten percent (10%) de minimis rate of the Subrecipient's Modified Total Direct Costs (MTDC) base. MTDC includes the cost of salaries, wages and benefits of personnel that work directly on the project, and other operational costs that are directly related to the project. The MTDC base cannot include any distorting costs such as equipment, rent, capital expenditures, or any Subawards, contracts, or consultant beyond the first \$25,000.

Subrecipients, who request Cal OES funds for indirect costs, must provide a method of calculation that shows what direct costs were used to calculate their indirect budgeted amount. The Subrecipient can then charge up to that budgeted amount on the subaward.

11. Audit Costs (*SRH 8150*)

Subrecipients expending less than \$750,000 in federal funds annually cannot use federal funds to reimburse for costs associated with audits. Subrecipients expending \$750,000 or more in federal grant funds annually are required to secure an audit pursuant to 2 CFR Part 200 Uniform Guidance and are allowed to utilize federal grant funds to budget for the audit costs. Specifically, the allowable audit costs are as follows:

- If the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or

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

12. Equipment (*SRH 2300*)

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

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

a. Allowable Expenses

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

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

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

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

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

2) Units of Government (*SRH 2342.2*)

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

3) Computer Purchase Justification (*SRH 2341*)

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

c. Automobiles (*SRH 2331*)

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

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

13. Prohibited Expense Items (*SRH 2240*)

a. Bonuses/Commissions (*SRH 2241*)

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

b. Lobbying (*SRH 2242*)

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

c. Fundraising (*SRH 2243*)

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

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

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

e. Interest (*SRH 2245*)

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

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

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

g. Food and Beverages (*SRH 2246*)

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

h. Weapons and Ammunition (*SRH 2247*)

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

i. Membership Dues (*SRH 2248*)

The cost of membership dues for projects involved in the licensing or credentialing of professional personnel are not allowable expenditures, unless specifically authorized in the terms of the program.

j. Professional License (*SRH 2248*)

The cost of a professional license is not an allowable expenditure, unless specifically authorized in the terms of the program.

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

The cost of professional dues or fees is not an allowable expenditure, unless it is part of a negotiated benefit package, or is authorized by the terms of the program.

I. Depreciation (*SRH 2249*)

Depreciation charges are not allowable expenditures.

VICTIM/WITNESS ASSISTANCE (VW) PROGRAM

PART IV – ATTACHMENTS

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

- A. APPLICATION FORMS
- B. GLOSSARY OF TERMS

A. APPLICATION FORMS

Click the link below to access Cal OES forms or go to www.caloes.ca.gov, Select “Cal OES Divisions,” scroll down to “Grants Management,” on the right-hand side, click on “Criminal Justice, Emergency Management & Victim Services Grant Programs,” then select “Forms.” Or, paste the following link into your browser:

<http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/forms>

B. GLOSSARY OF TERMS

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Subrecipient	The agency or organization designated on the Grant Subaward Face Sheet that receives grant funds and is responsible to accomplish the planned objectives and Program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau). The Subrecipient was formerly referred to as the “Grantee.”
Application	Once selected for funding, the original proposal plus any additional forms as required by Cal OES becomes the application.
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment	A comprehensive plan that analyzes the agency’s

Opportunity Plan (EEOP)	workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc.), and in the delivery of services and benefits.
Equal Employment Opportunity (EEO) Checklists	The EEO Checklist is a document used by Program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal OES in verifying that Subrecipients are in compliance with State and Federal Civil Rights Laws.
Grant Subaward	The signed final agreement between Cal OES and the local government agency or organization authorized to accept grant funding.
Grant Funding Cycle	The number of years a Program may be funded without competition.
Implementing Agency	The agency or organization designated on the Grant Subaward Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods (contracts sometimes include goods as well as services, and this definition will also apply to those circumstances)
Nonprofit Organization (aka Community-Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c)(3) for Subrecipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <p>(1) Proof that the Internal Revenue Service recognizes the Applicant has the status of a 501(c)(3).</p> <p>(2) A statement from a state taxing body or the state Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the state; and (ii) No</p>

	<p>part of its net earnings may lawfully benefit any private shareholder or individual.</p> <p>(3) A certified copy of the Applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the Applicant.</p> <p>(4) Any item described in (1) through (3) if that item applies to a state or national parent organization, together with a statement by the state or parent organization that the Applicant is a local nonprofit affiliate.</p>
Objectives	A set of quantifiable projections to be carried out in order to accomplish the Program goals.
On Site	Refers to the location of operation of the Grant Subaward Subrecipient. If multiple sites exist, the site that provides the project Subrecipients with Program direction qualifies as the "on site location."
Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Participating Staff	A salaried employee of a Participating Agency.
Performance Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the Project Narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Subaward Face Sheet (Cal OES 2-101).
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.

Project	The implementation of a Program by a Subrecipient. The project includes all of the grants implemented by the Subrecipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFA and submitted to Cal OES that specified the priorities, strategies, and objectives of the Applicant.
Request for Application (RFA)	The RFA is a noncompetitive process issued by Cal OES to obtain applications from Applicants previously selected for funding.
Request for Proposal (RFP)	The RFP is issued by Cal OES to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term "noncompetitive bid."
Sole Source	This term has been replaced by the term "noncompetitive bid."
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Subaward.
Subrecipient or Administrating Agency	The agency or organization designated on the Grant Subaward Face sheet that receives the grant funds and is will be responsible for accomplishing the planned objectives and Program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, and Fairfield Youth Services Bureau).
Subrecipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Subrecipient Handbook</i> is accessible at www.caloes.ca.gov . Select "Cal OES Divisions," scroll down to "Grants Management," on the right-hand side, click on "Criminal Justice, Emergency Management & Victim Services Grant Programs," then select "Handbooks, Reports & Publications." The <i>Subrecipient Handbook</i> was previously called the <i>Grantee Handbook</i> .

Supplanting	To reduce federal, state, or local funds because of the existence of Cal OES funds. Supplanting occurs when a Subrecipient deliberately replaces its non-Cal OES funds with Cal OES funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], Grant Subaward, Cal OES policy statements, and applicable statutes. In the event the Terms of the Program are inconsistent with the provisions of the <i>Subrecipient Handbook</i> , the Terms of the Program shall be interpreted and construed as superseding the provisions of the <i>Subrecipient Handbook</i> .
USC	United States Code
Volunteer	For the purposes of this RFA, volunteers are held to the same standard as grant funded personnel.