



ADMINISTRATION FOR
CHILDREN & FAMILIES
Office on Trafficking in Persons



**NATIONAL HUMAN TRAFFICKING
TRAINING AND TECHNICAL
ASSISTANCE CENTER**

Grant Management Toolkit

Building Sustainable Anti-Trafficking Programs

February 2018



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ABOUT THE TOOLKIT

The Office on Trafficking in Persons' (OTIP's) mission is to combat human trafficking by supporting and leading systems that prevent trafficking through public awareness and protect victims through identification and assistance, helping them rebuild their lives and become self-sufficient.

OTIP funds a range of services and programs, including the issuance of certification and eligibility letters, the operation of the National Human Trafficking Hotline, the Trafficking Victim Assistance Program (TVAP), the Domestic Victims of Trafficking Assistance Program, and the National Human Trafficking Training and Technical Assistance Center (NHTTAC). This toolkit is intended to assist OTIP grantees as well as other organizations in creating a culture and infrastructure that support the effective implementation and sustainability of anti-trafficking programs.

How To Use This Toolkit

The toolkit is divided into three sections that parallel the steps organizations take prior to receiving the award all the way through sustaining the program as outlined below:

- **Step 1: Prepare the Organization**

Before applying for funds, organizations should assess their readiness for implementing anti-human trafficking programming. Chapters 1–3 outline the foundation necessary for organizations to be successful in designing, implementing and evaluating an anti-human trafficking program.

- **Step 2: Implement the Program**

There are several components to successfully implementing and managing anti- trafficking grant programs. Chapters 4–5 offer guidance on how to implement effective anti-trafficking programs

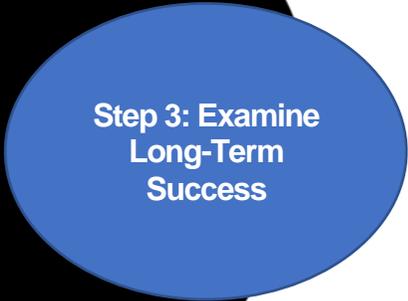
- **Step 3: Examine Long-term Success**

To ensure long-term, high-quality programming, organizations need to measure and monitor performance and plan for sustainability. Chapters 6-7 provide information on how organizations can evaluate success.

This toolkit includes many resources and references to help users deepen their understanding of each topic area and hyperlinks are provided for users' convenience. Given that many of the resources and references are maintained by other public and private organizations, the Administration for Children and Families (ACF) cannot guarantee the accuracy, relevance, timeliness, or completeness of this external information. Additionally, the inclusion of hyperlinks and references to particular resources is neither intended to reflect their importance nor endorse any views expressed, or products or services offered, on these external sites or by the organizations sponsoring the sites.

Grant Management Roadmap to Success

Before applying for funds, it may be helpful for organizations to assess their readiness for implementing anti-human trafficking programming. Chapters 1–3 outline the foundation necessary for organizations to be successful in designing, implementing, and evaluating an anti-human trafficking program.





CHAPTER 1: ORGANIZATIONAL IDENTITY

To ensure long-term sustainability, successful programs must have a strong organizational identity and be mission driven rather than define themselves by a particular grant award. There are several steps grantees can take to refine and strengthen their organizational identity.

This chapter will help grantees:

- ✓ Define mission, vision, and value statements
- ✓ Determine organizational structure and approach
- ✓ Communicate organizational identity

Define Mission, Vision, and Value Statements

Why It's Important

The program's mission, vision, and value statements. When they are clearly defined and inform the organization's activities, organizations are better positioned to fulfill grant objectives as well as the organization's overall goals.

What It Is

A program's mission, vision, and value statements have their own distinct function in the strategic planning process. The mission statement explains the program's reason for existence and supports the vision of the program. A vision statement describes the program operating in a successful, optimal state. A value statement describes what the program believes in and how it will conduct its activities.¹ The figure below provides an example of these concepts using ACF.

¹ See Reynolds, D. (2001). AMIA's New Statement of Vision, Mission, and Strategic Goals. *Journal of the American Medical Informatics Association*, 8(3), 294–297. Also see Rekate, H.L. (2001, May–June). A Mission and Vision Statement for the American Society of Pediatric Neurosurgeons. *Pediatric Neurosurgery*, 37(1), 1–7.



Mission	Conveys the purpose of the organization and how it will accomplish its purpose
	<ul style="list-style-type: none"> To foster health and well-being by providing federal leadership, partnership, and resources for the compassionate and effective delivery of human services
Vision	Articulates the organization’s highest aspiration, drives the mission, and motivates stakeholders
	<ul style="list-style-type: none"> Children, youth, families, individuals, and communities who are resilient, safe, healthy, and economically secure
Values	Communicates basic principles that guide the organization’s activities
	<ul style="list-style-type: none"> Dedication to promoting hope and opportunity for those in need of human services Excellence in our performance, exemplified by innovations and solutions anchored in available evidence, build knowledge and transcend boundaries Professionalism in the manner in which we provide services, the attitude we bring, the relationships we build Integrity of ACF as an organization, personified in ethical conduct by each of us Stewardship of the resources entrusted to us by the people of the United States and accountability for and transparency in our actions as public servants Respect for those we serve, with whom we work, and with whom we partner

How to Create Mission, Vision, and Value Statements

Creating mission, vision, and value statements will take time. It is important to gather ideas from a variety of stakeholders, including program staff and clients. This can be accomplished through online or paper surveys, focus groups, “town hall” meetings, and other methods. In general, the goal is to create a platform to solicit, gather, and discuss ideas. Once the mission, vision, and value statements have been identified, it is important to revisit them periodically with stakeholders to ensure that everyone is in agreement and that organizational activities, including grant activities, align. Later, this toolkit will examine how clear mission, vision, and value statements inform strategic planning and effective administration of anti-human trafficking grant programs.

Determine Organizational Structure and Approach

Why It’s Important

In order to translate an organization’s mission, vision, and values into effective actions and programming, organizations must ensure that they are appropriately structured to support short- and long-term goals. Organizational structure refers to how roles and responsibilities are assigned and how information flows between different levels of management. Determining the organizational structure will help inform the organization’s implementation approach by ensuring both structure and approach are complimentary in helping the organization achieve grant goals, deliverables, and intended outcomes.



What It Is

There are many different organizational structures that anti-trafficking programs utilize for effective administration of programming. The following table describes different organizational structures.

Organizational Structure	Description	Examples
Mechanist	<ul style="list-style-type: none"> Clearly defined roles Hierarchical Works with stable conditions 	Government: Office on Trafficking in Persons
Organic	<ul style="list-style-type: none"> Harder to define some roles Horizontal Works with unstable conditions 	Grassroots organizations
Consensus governance	<ul style="list-style-type: none"> Decisions require 100 percent agreement from all staff members 	Asian Women's Shelter in San Francisco, a nonprofit that makes (nonhierarchical) consensus decisions
Hierarchical governance	<ul style="list-style-type: none"> Leaders in an organization make decisions Leaders may garner information from staff as well as stakeholders in the organization and community 	Universities
Member-driven	<ul style="list-style-type: none"> The organization depends on recruiting members for resources and capacity Decisions are voted on by members Members have central input into the direction of the organization 	Freedom Network USA
Older organization	<ul style="list-style-type: none"> The organization is established Members are more likely to be aware of the organizational functions 	Salvation Army USA
Newer organization	<ul style="list-style-type: none"> Members are less likely to be aware of all the organizations' functions as processes and mechanisms are still being defined 	S.O.A.P. Project
Small organization	<ul style="list-style-type: none"> Fewer people Less complex operations Tends to be more informal Multiple roles for staff 	Small businesses, grassroots organizations, etc.
Large organization	<ul style="list-style-type: none"> Numerous individuals May or may not have hierarchy Specialized staff roles that fulfill specific functions 	United States Conference of Catholic Bishops
Task force and coalition	<ul style="list-style-type: none"> Broad objectives More information about task forces: Office for Victims of Crime Training and Technical 	Central Ohio Rescue and Restore Coalition



Organizational Structure	Description	Examples
	Assistance Center's (OVC TTAC's) Human Trafficking Task Force e-Guide	
Coordinating council/committee	<ul style="list-style-type: none"> Convenes to respond to specific issues 	U.S. Advisory Council on Human Trafficking

An organizational approach or service-delivery approach can be defined as the guiding principles, values, and organizational structure that will guide all program activities and drive how the program will accomplish both short- and long-term goals. There are several approaches outlined below that an organization could consider.

Approach Type*	Description	Examples
Person-centered approach	<ul style="list-style-type: none"> Solicits individuals to share their needs, goals, interests, etc. Uses information shared by individuals to support them in developing and actualizing their goals 	Substance Abuse and Mental Health Services Administration (SAMHSA)'s Person- and Family-centered Care and Peer Support
Public health approach	<ul style="list-style-type: none"> Aims to maximize benefits to the largest number of people Designed to expose a large portion of the population to prevention measures Learns from experiences of persons affected to improve prevention and intervention strategies 	ACF/OTIP: The Power of Framing Human Trafficking as a Public Health Issue
Trauma-informed care approach	<ul style="list-style-type: none"> Understands, recognizes, and responds to the effects of trauma Seeks to actively prevent retraumatization 	SAMHSA's Concept of Trauma and Guidance for a Trauma-Informed Approach
Human rights-based approach	<ul style="list-style-type: none"> Promotes and protects human rights Central aspects: human rights education, advocacy, and response 	Waterlex: Integrating the Human Right to Water and Sanitation in Development Practice
Cultural competency approach	<ul style="list-style-type: none"> Client-centered approach Fosters self-determination for clients Centralizes anti-oppressive practice 	Suicide Prevention Resource Center's Culturally Competent Approaches

* The approaches listed are not comprehensive. Organizations should consider integrating these approaches into their own.

How to Determine Organizational Structure and Approach

There are many questions to consider as you determine what kind of organization you want to be and how you want to engage internal and external stakeholders throughout service delivery. When discussing the service delivery approach, organizations need to involve a range of stakeholders—from clients, staff, board of directors to partner organizations and survivor leaders. By doing so, internal and external stakeholders can thoroughly discuss reasonable



expectations, identify potential opportunities and threats, and consider actions that would promote desired outcomes. Consider exploring the following questions at a macro and micro level to inform your approach:

Macro

- What is the potential economic or political climate that may influence our organizational approach?
- What trends and research do we anticipate in the future related to survivor services and anti-trafficking work that should inform our approach?
- Can we anticipate changes in technology that may impact our approach to client services and anti-trafficking work?

Micro

- What is your organizational design concerning work (e.g., business processes, information sharing, operations)?
- What is the most effective organizational structure to meet our mission?
- What is in place to move the work forward (e.g., goals, incentives, governance)?
- What are the norms/beliefs that are strengths for our organization?
- What norms/beliefs within your organization that need to be addressed in order to do your work, accomplish your mission, vision, and goals, etc.?
- How do we ensure our approach aligns with our mission, vision, and values statement?
- What measures do we take to ensure our approach with clients is also reflected internally in our organizational culture and approach with staff, including building their capacity to do their work well?
- How will we ensure that our strategies and activities reflect our approach?

Communicate Organizational Identity

Why It's Important

To function effectively, anti-trafficking programs must develop a multi-disciplinary approach, including building trusted relationships with a variety of stakeholders across their community. A central part of organizational identity includes communicating that identity to the community and future potential funders. Ideally, key internal and external stakeholders have participated in creating the mission, vision, and value statements. However, often that is not the case, so it is essential to convey the organizational identity in a way that is inclusive of those individuals and groups. Effectively communicating who you are and what value you are adding to the anti-trafficking response in your community is a key step in building that multi-disciplinary response.

What It Is

Communicating organizational identity is simply telling the public, community, clients, staff, and funders about the organization. This would include mission, vision, value statements, organizational approach, etc.

How to Communicate Organizational Identity

The ways and mechanisms you use to communicate your organizational identity depend on whether the target audience includes internal or external stakeholders. Internal stakeholders understand their role in the organization and align themselves with the organization's mission, vision, and values. External stakeholders support the mission, vision, and values of the organization by working in partnership toward common goals, leveraging resources, identifying potential funding, and referring clients. The figure below provides examples of communication based on the type of audience.

Internal stakeholders (e.g., staff, board of directors)

- Organization chart that shows how the different staff, volunteers, Board members, partner organizations (if applicable)
- Welcome packets
- Artwork or logos displayed that communicate to visitors and staff that “this is who we are”
- Internal memos
- Onboarding and regularly scheduled staff development and training
- Internal policies and guidance

External stakeholders (e.g., partners, vendors, clients)

- Website
- Social media accounts (e.g., Twitter, Facebook, Tumblr)
- Newsletters
- Videos (e.g., YouTube, Vimeo)
- Press releases
- Campaigns (e.g., banner, social media)
- News coverage

When considering the use of images to help convey your organization identify, programs and organizations should use strengths-based images that portray clients holistically, not merely as victims (e.g., images showing the client in a doctor's office, going to school, etc.). For example, a human trafficking program that serves a broad target population but uses images lacking diversity of individuals impacted or venues of trafficking furthers the misconceptions that those are the only demographics or arenas impacted by human trafficking. Similarly, for organizations that serve different types of clients, overuse of images of children from developing countries may perpetuate the belief that human trafficking is not an issue in the United States. Remember, if you are considering using images of actual clients, staff, volunteers or partner organizations staff, organizations must obtain permission from each individual.



Resources

- [American Psychological Association](#)
- [Asian Women's Shelter](#)
- [Central Ohio Rescue and Restore Coalition](#)
- [Suicide Prevention Resource Center—Culturally Competent Approaches](#)
- [U.S. Customs and Border Protection—Don't Be Fooled Campaign](#)
- [University of Kansas Community Tool Box](#)
- [U.S. Department of Health and Human Services—Look Beneath the Surface Campaign](#)
- [Office on Trafficking in Persons](#)
- [Human Trafficking Task Force e-Guide—Office for Victims of Crime](#)
- [Substance Abuse and Mental Health Services Administration—Concept of Person-and Family-centered Care and Peer Support](#)
- [Substance Abuse and Mental Health Services Administration—Concept of Trauma and Guidance for a Trauma-Informed Approach](#)
- [Office on Trafficking in Persons—The Power of Framing Human Trafficking as a Public Health Issue](#)
- [Tips to Create a Basic Organization Chart](#)
- [U.S. Advisory Council on Human Trafficking](#)
- [United States Conference of Catholic Bishops](#)
- [Waterlex—Integrating the Human Right to Water and Sanitation in Development Practice](#)



CHAPTER 2: STRATEGIC PLANNING

A strategic plan enables organizations to articulate their organizational identity and long-term goals through a creative, participatory, and future-oriented framework. A strategic plan is a shared vision among stakeholders that is translated into specific action steps and clear timelines that further the organization’s mission and goals. It allows organizations to set priorities, align labor and effort, create a shared vision for the future, and communicate organizational direction.

This chapter will help grantees:

- ✓ Prepare for strategic planning
- ✓ Develop and implement a strategic plan

Prepare for Strategic Planning

Why It’s Important

Information gathering is key to the development of a strategic plan because it helps establish a baseline of information among the stakeholders, so that everyone is working with the same information when brainstorming strategies.

How to Prepare

- **Collect pertinent organizational information.** Gather information on plans, demographic challenges, regulatory changes, financial trends for the past 5 years, data trends on clients, the quality of program indicators, and potential opportunities.¹
- **Conduct a SWOT (strengths, weaknesses, opportunities, and threats) analysis.**² Before engaging in a strategic planning session, it is important for leadership to conduct a SWOT analysis to identify internal factors (e.g., strengths, weaknesses) and external factors (e.g., opportunities, threats) that may affect the organization’s future. An organization may also wish to consider conducting a PEST (political, economic, social, and technological) analysis, which focuses on external factors only and is considered effective for long-term strategic planning. The sources shown in the following table may be helpful when collecting information or conducting a SWOT analysis.

Types of Information	Sources
Trends in the field	<ul style="list-style-type: none"> • Industry journals (e.g., <i>Anti-Trafficking Review</i>, <i>Journal of Human Trafficking</i>) • U.S. Department of State Trafficking in Persons Report • National Human Trafficking Hotline
U.S. Government reports	<ul style="list-style-type: none"> • OTIP’s U.S. Government Reports

¹ Allison, M., & Kaye, J. (2015). *Strategic Planning for Nonprofit Organizations: A Practical Guide and Workbook*. Hoboken, NJ: John Wiley & Sons, Inc.

² Dibrell, C., Craig, J.B., & Neubaum, D.O. (2014). Linking the Formal Strategic Planning Process, Planning Flexibility, and Innovativeness to Firm Performance.” *Journal of Business Research*, 67, 2000–2007.



Types of Information	Sources
Financial trends for the past 5 years	<ul style="list-style-type: none"> • Organization's audited financial statements: Example from the Coalition to Abolish Slavery & Trafficking
Client data trends for the past 5 years	<ul style="list-style-type: none"> • Program reports, annual reports, funder reports, and other internal records • Trafficking Information Management System reports • City and County of San Francisco Department on the Status of Women, Human Trafficking in San Francisco Report, 2016 • ACF-funded program reports • Certification letters • Annual AG Report
Program satisfaction/experience	<ul style="list-style-type: none"> • Client surveys and/or focus groups • Surveys of referral sources and staff perceptions
Future program opportunities	<ul style="list-style-type: none"> • Information from sources previously mentioned, needs assessments done by organizations or others, interviews with other service providers

- **Determine who will participate in the strategic planning process.** It is wise to involve a variety of key players, including stakeholders, leadership, decision makers, facilitators, input gatherers, and organizational staff. Planners with in-depth knowledge of the organization's history, lessons learned, etc., are essential. When deciding who will participate, also consider a variety of thinking and leadership styles (e.g., task-oriented, analytical, visionary).

Develop and Implement a Strategic Plan

Why It's Important

Merely discussing strategic plans will not result in action. A written strategic plan is a tool an organization can use to take action and hold itself accountable.

What It Is

A strategic plan includes several core components, including:

- Mission, vision, and value statements
- Target customers
- Prioritized goals that are specific, measurable, achievable, relevant, and time-bound (SMART)¹
- Activities and strategies under each goal that will lead to desired outcomes
- Performance indicators (e.g., how the organization will measure success)

¹ Yemm, G. (2013). *Essential Guide to Leading Your Team: How to Set Goals, Measure Performance and Reward Talent* (pp. 37–39). Pearson Education. ISBN 0273772449.



- Resources needed
- Potential concerns, threats, trends, and other important considerations

How to Develop the Plan

- **Identify a core group to work on the plan and set a schedule.** Include a diverse group of stakeholders to develop the plan. This should include representatives from key constituencies including: leadership, management, line staff, former clients, survivor leaders and key external partners. Set a schedule that outlines a phased approach that will result in a strategic plan.
- **Start building a strategic plan.** Use the ongoing meetings to discuss program and organizational goals and objectives; map out activities for each goal; determine resource and financial implications; and keep sustainability at the forefront.
- **Decide how the plan will be monitored and evaluated.** As with monitoring and evaluating program activities, leadership needs to decide how often to review the plan, how to monitor progress, etc. Once the strategic plan is developed, periodic check-in meetings should be scheduled (e.g., every 6 months to a year) to revisit the strategic plan and revise, as needed.
- **Remain flexible.** Circumstances change, so planning needs to take into consideration any moving parts, including potential changes to resources or policies. Strategic planning needs to be an ongoing process that responds to change and allows for innovation.



Resources

- [Child Welfare Information Gateway](#)
- [Forbes—Leadership Styles](#)
- [Health Insurance Regulations by State](#)
- [National Human Trafficking Hotline](#)
- [Coalition to Abolish Slavery & Trafficking—Example of Audited Financial Statements](#)
- [State Criminal Codes and Statutes](#)
- [The PESTLE Analysis for Strategic Planning](#)
- [Trafficking Information Management System reports](#)
- [U.S. Citizenship and Immigration Services](#)
- [U.S. Department of Health and Human Services](#)
- [U.S. Department of Labor](#)
- [U.S. Department of State—Trafficking in Persons Report](#)
- [U.S. Government Reports](#)



CHAPTER 3: ORGANIZATIONAL CULTURE AND APPROACH

An organization's culture includes a complex system of beliefs and practices that inform how the organization works internally and externally. Organizational culture affects the service delivery approach, staff morale, client experience, and program outcomes. It is important to explore how to build an organizational culture that aligns with the values and promising practices specific to a human trafficking response.

This chapter will help grantees:

- ✓ Examine organizational culture
- ✓ Integrate values into a service delivery approach
- ✓ Deliver culturally and linguistically appropriate services (CLAS)
- ✓ Commit to staff development
- ✓ Support staff well-being

Examine Organizational Culture

Why It's Important

Organizational culture is a powerful force characterized by the behavior and attitudes of its members, and it reflects the organization's actual values and beliefs. It has an impact on how organizations approach anti-trafficking work and the quality of service delivery.

How to Examine Organizational Culture

- **Reflect on existing organizational culture.** It may be helpful to first assess whether the actions of staff toward each other and clients align with the organization's stated mission, vision, and values. For example, an organization could survey staff to determine if staff are able to articulate the values related to a trauma-informed, strengths-based approach and whether they can describe how those values are integrated into their daily work.¹ It is also important to contemplate the existing cultural diversity among staff and clients as well as how others perceive or respond to those differences.
- **Orient others to desired organizational culture.** Often organizations envision the culture they want, but are ineffective in communicating or modeling it to others, including their own staff. There are several ways organizations can articulate their values and culture, some of which include staff meetings/trainings, brochures/materials, open discussions, and day-to-day behavior.
- **Build shared values and vision with partners.** Anti-trafficking work requires multidisciplinary collaboration, which means working with different organizational cultures. Sometimes there may be differences between organizations regarding their values, service delivery approach, etc. It is important to work with partners to create shared values and build a common approach to anti-trafficking work.

¹ "Trafficking in Persons Report 2017" U.S. Department of State. <https://www.state.gov/j/tip/rls/tiprpt/2017/271110.htm>

Integrate Core Values Into Organizational Approach

Why It's Important

HHS-funded anti-trafficking services and outreach programs are directed to use a trauma-informed,¹ person-centered approach. Those doing anti-trafficking work have a responsibility to provide accurate, timely, and accessible information and resources to those affected by human trafficking, so they can make informed decisions.

What It Is

Effective anti-trafficking programming incorporates a trauma-informed and survivor-informed² approach in its development and delivery of programming, including through staff development, client engagement, and outreach and awareness raising activities. "Anti-human trafficking efforts should be victim-centered and culturally relevant, holistic, comprehensive, evidence-based, gender-responsive, and trauma-informed."³

Trauma informed

- Understands the physical, social, and emotional impacts of trauma on clients, as well as the professionals who serve them, including signs and symptoms of trauma
- Places priority on clients' sense of physical and emotional safety and identifies appropriate paths and resources to promote healing
- Integrates knowledge of trauma into policies, procedures, and environment

Survivor informed

- Empowers individuals who have been trafficked by engaging them throughout the process
- Aims to minimize retraumatization by response system or intervening processes
- Supports clients' rights, dignity, autonomy, and self-determination

Person Centered

- Works to regain trust, establish safety, and support self-sufficiency in clients while respecting individual autonomy and self-determination
- Focuses on honoring clients' experiences, not treating them like criminals, and empowering them to claim their legal rights, including access to assistance
- Provides opportunities for clients to make meaningful contributions to programs and to engage in peer support and other leadership opportunities

¹ * United States, Substance Abuse and Mental Health Services Administration. (2014, July). SAMHSA's Concept of Trauma and Guidance for a Trauma-Informed Approach. Retrieved December 29, 2017, from <https://store.samhsa.gov/shin/content/SMA14-4884/SMA14-4884.pdf> Prepared by SAMHSA's Trauma and Justice Strategic Initiative

² United States, Administration for Children and Families, Office on Trafficking in Persons. (2017, November 1). Survivor-Informed Practice: Definition, Best Practices, and Recommendations. Retrieved January 31, 2018, from https://www.acf.hhs.gov/sites/default/files/otip/definition_and_recommendations.pdf

³ United States, Department of State (2013). Federal Strategic Action Plan on Services for Victims of Human Trafficking in the United States 2013-2017. Retrieved January 31, 2018, from <https://ovc.gov/pubs/FederalHumanTraffickingStrategicPlan.pdf>



How to Integrate Core Values

- **Actively and regularly engage survivors.** Organizations should continuously solicit input and feedback from survivors at all stages of program development, implementation, and evaluation. Additionally, it is important for organizations to incorporate diverse survivor perspectives (e.g., sex and labor trafficking survivors, adult and minor survivors, U.S. citizen and foreign nationals).
- **Develop advocates within your staff.** Staff will need to be trained on how to advocate for their clients, and the organizational culture should support the core principles of victim advocacy.
- **Incorporate a trauma-informed approach.** Being a trauma-informed organization means engaging in ongoing learning, evaluation, and improvement of services and outreach through a trauma-informed lens. The United States Advisory Council on Human Trafficking recommends that trauma-informed approaches be implemented in service provision and outreach strategies. For more information on how to develop and implement trauma-informed approaches within an organization, explore the resource section of this chapter.
- **Honor confidentiality and consent.** Maintaining confidentiality and obtaining consent are key to building trust with those affected by human trafficking and are critical in a trauma-informed, person-centered approach. Several legal requirements govern confidentiality and consent, including the Health Insurance Portability and Accountability Act (HIPAA), the National Association of Social Work Code of Ethics,¹ and grant agreements for ACF-funded programs. Programs are required to protect the privacy and confidentiality of client information at all times, take the necessary measures to securely store client records, and encrypt and/or password protect the electronic transmission of client information to referral agencies and other organizations. Should information sharing be required to support a client of human trafficking, programs should have an established information-sharing protocol that includes signed, time-limited consent forms. For more information on maintaining confidentiality, explore the resource section of this chapter.
- **Conduct outreach in a manner that reflects a trauma-informed, person-centered approach.** Outreach should be intentional and designed to engage specific individuals or populations vulnerable to human trafficking. Check the funding opportunity announcement (FOA) before designing the program's outreach plan to ensure the strategy aligns with the grant's mission and objectives. Outreach should be respectful, compassionate, culturally and linguistically appropriate, trauma informed, and factual. Remember, the goal of outreach is to build capacity for a multidisciplinary response to human trafficking that identifies and serves those at risk of trafficking and those who have already experienced trafficking.

Deliver Culturally and Linguistically Appropriate Services (CLAS)

Why It's Important

Human trafficking affects a wide range of individuals, communities, demographics, and cultures in the United States. The U.S. Department of Health and Human Services' (HHS's) Office of Minority Health broadly defines culture as the "integrated patterns of human behavior that include the language, thoughts, communications, actions, customs, beliefs, values, and

¹ The National Association of Social Work Code of Ethics can be accessed at <https://umaine.edu/socialwork/files/2013/02/NASW-Code-of-Ethics.pdf>.



institutions of racial, ethnic, religious, or social groups.”¹ Culture is dynamic in nature, and individuals may identify with multiple cultures over the course of their lifetimes.

With a population of more than 320 million people, the United States is a diverse landscape, representing members of different races and cultures who speak a variety of languages. The 2015 U.S. Census estimates that more than 60 million people speak a language other than English at home, with more than 350 different languages spoken in the United States. ACF’s SOAR training discusses factors that may put some individuals at a higher risk of becoming victims of trafficking. These include a history of substance use, domestic violence, child abuse, and/or physical/mental disabilities, as well as sexual orientation, gender identity, and immigration status. While some populations are more vulnerable to human trafficking than others, trafficking is a problem that crosses all boundaries.

What It Is

The Office of Minority Health published the National CLAS Standards, which guide the adoption of strategies that ensure culturally and linguistically appropriate services to meet the needs of diverse populations. When an organization delivers CLAS, they also ensure that their policies, practices, and dedicated resources support this capacity.

How to Deliver CLAS Services

- **Honor each individual’s cultural identity.** Do not make assumptions about someone’s culture or values. Ask clients about their own perception of their culture. Also, be aware that someone’s cultural background may affect how they perceive their human trafficking experiences, how they communicate about it, how they interact with others, and how they access support or resources. Be sensitive to the reality that many clients’ vulnerability to human trafficking can be tied to their cultural identity.
- **Partner with a wide range of community-based organizations.** By diversifying stakeholders and partnerships, organizations can deepen their cultural awareness and ability to deliver culturally and linguistically appropriate services.
- **Complete a cultural competency self-evaluation.** The National Center for Cultural Competence has developed a Self-Assessment Checklist for Personnel Providing Primary Health Care Services designed to assess practitioners’ attitudes, knowledge, and skills that are integral to culturally and linguistically competent care. To complete the assessment, visit the resources page for more information.
- **Align the service delivery model with the National CLAS Standards.** Review current organizational policies, practices, and resources against the National CLAS Standards to ensure services are culturally and linguistically appropriate.
- **Commit resources to decrease cultural, linguistic, and communication barriers.**² Organizations can bridge the differences in cultures through multifaceted approaches. Examples include increasing access to information in other languages; adhering to common cultural norms, beliefs, and practices of the community served; ensuring quick and easy

¹ U.S. Department of Health and Human Services, Office of Minority Health. (n.d.). *What Is Cultural Competency?* Retrieved September 6, 2017, from https://www.cdc.gov/nchhstp/socialdeterminants/docs/what_is_cultural_competency.pdf.

² Community Anti-Drug Coalitions of America (2017, October 19). *Cultural Humility vs. Cultural Competence: Do You Know Me?* Retrieved September 26, 2017, from <http://www.cadca.org/cultural-humility-vs-cultural-competence-do-you-know-me>.



access to professional translators; hiring staff that belong to the communities being served; and training staff on cultural and linguistic responsiveness.

Commit to Staff Development

Why It's Important

Staff training, development, and support are necessary to achieving the goals and objectives of any organization. Training is critically important in anti-trafficking work because of the complex legal, cultural, and social needs that staff need to be prepared to respond to in order to deliver trauma-informed services. In addition, staff require support in coping with vicarious trauma, chronic stress, and burnout. Staff training, development, and support are core values in anti-trafficking work.

It is essential that program staff, including funded partners, receive initial and ongoing training on key aspects of human trafficking and response.¹

How to Commit to Staff Development

- **Ensure program staff receive training on all aspects of human trafficking at onboarding and on a regular and ongoing basis.** Topics may include:
 - Guiding principles of an effective response to human trafficking
 - Rights and resources for clients mandated by law
 - Internal business processes/systems
 - Collaboration with community partners
 - Coordinated, comprehensive case management of clients' short-, medium- and long-term needs
 - Trauma and secondary trauma
 - The impact of trauma and adverse childhood experiences on executive functioning
 - Motivational interviewing principles
 - Peer-to-peer programming and other ways to incorporate survivor leaders into programming
 - Crisis intervention
 - CLAS
 - Performance measurements (see OTIP FOAs)
- **Allocate staff time for training.** Organizations should support staff in setting aside time each month to participate in web-based or local training opportunities on topics relevant to their professional development goals. Many organizations (e.g., domestic violence and victim advocacy coalitions, health care providers, and community-based organizations) provide free localized trainings.
- **Leverage other training and technical assistance materials and resources.** Fortunately, there is a variety and abundance of available training and technical assistance currently

¹ Funded partners is inclusive of any partner that receives money through the grant, this may include Subrecipients that were named in the grant, subcontractors or individual consultants.



available that organizations can utilize, including resources through the Office on Trafficking in Persons website [here](#) and the Office for Victims of Crime website [here](#).

Support Staff Well-Being

Why It's Important

This work can be stressful, difficult, and traumatic for staff. To decrease the effects of secondary trauma and reduce burnout, organizations must provide ongoing staff support.

How to Support Staff

- **Recognize and respond to signs of chronic stress and secondary trauma¹.** Just as staff are expected to be sensitive to clients' trauma, leadership needs to recognize and respond to the chronic stress and secondary trauma that staff may experience as a result of hearing client stories on a daily basis. When secondary trauma goes unaddressed, it can have devastating effects on the individual and the organization as a whole. For the individual, secondary trauma can lead to physical and behavioral health challenges (increased medical concerns, feeling emotionally withdrawn), compassion fatigue (depersonalization), and impaired performance (fatigue, easily distracted from normal tasks). Organizations that do not have a culture of support to address secondary trauma can experience staff burnout, turnover, and diminished staff capacity.² For more information on how to address secondary trauma within an organization, explore the [Vicarious Trauma Toolkit](#) published by the Office for Victims of Crime (OVC), U.S. Department of Justice (DOJ).
- **Treat staff the way they are expected to treat clients.** Just as staff are expected to be respectful, compassionate, and honor clients' perspectives, supervisors and leadership can model these behaviors when staff share their own concerns. In addition, supervisors and leadership can frequently check in with staff using formal approaches (e.g., regular staff meetings and trainings) as well as informal approaches (e.g., casually checking in with staff to see how they are doing).
- **Support personal self-care practices and provide opportunities.** Organizations can do more than offer staff a safe space to share their struggles. Self-care is a critical component of addressing trauma and decreasing stress. Organizations should encourage staff to take breaks (including lunch breaks) and use paid time off. In addition, organizations should consider creating a wellness space for staff to rest and relax, offering onsite therapeutic activities, organizing midday staff workout groups, and providing staff brown bag gatherings for training, socializing, or collegial support.

¹ <https://www.acf.hhs.gov/trauma-toolkit/secondary-traumatic-stress>

² Middleton, J. (n.d.). Addressing Secondary Trauma and Compassion Fatigue in Work with Older Veterans: An Ethical Imperative. *Journal of Aging Life Care*. Retrieved September 8, 2017, from <http://www.aginglifecarejournal.org/addressing-secondary-trauma-and-compassion-fatigue-in-work-with-older-veterans-an-ethical-imperative>.



Resources

For more information on transforming organizational culture, visit:

- [Bridgespan—Transforming Organizational Culture](#)
- [Chron—How Is Organizational Culture Passed to New Employees?](#)
- [Knowhow Nonprofit—Reviewing Your Organisation’s Culture](#)
- [Nonprofit Hub—Why Designing Your Nonprofit Is Do or Die](#)
- [Talent Plus—Teaching New Employees Organizational Culture](#)
- [Uservoice—Introducing New Hires to the Company Culture](#)

For more information on the person-centered approach, visit:

- [Substance Abuse and Mental Health Services Administration](#)

For more information on trauma-informed practices, visit:

- [American Medical Association Journal of Ethics](#)
- [Case Western Reserve University—Center for Evidence-Based Practices on Trauma-Informed Care](#)
- [Evidence-Based Practice—Developing a Trauma-Informed Lens to Case Management for Victims of Human Trafficking](#)
- [Substance Abuse and Mental Health Services Administration—National Center for Trauma-Informed Care and Alternatives to Seclusion and Restraint](#)

For more information on the core principles of victim advocacy, visit:

- [End Violence Against Women International](#)
- [Office for Victims of Crime Training and Technical Assistance Center](#)
- [United States Advisory Council on Human Trafficking—Annual Report 2016](#)

For more information on maintaining confidentiality, visit:

- [Administration for Children and Families—Confidentiality Toolkit](#)
- [Office for Victims of Crime Training and Technical Assistance Center—Maintaining Confidentiality](#)

For more information on CLAS Standards, visit:

- [National Standards for Culturally and Linguistically Appropriate Services](#)
- [U.S. Department of Health and Human Services Office of Minority Health](#)
- [National Center for Cultural Competence—Self-Assessments](#)



Resources

For materials that can be used to help support outreach efforts, visit:

- [U.S. Department of Health and Human Services—Look Beneath the Surface Campaign](#)
- [Office for Victims of Crime—“Faces of Human Trafficking” Video Series](#)
- [U.S. Department of Homeland Security—Blue Campaign](#)

For additional training and technical assistance resources, visit:

- [A Guide for Humanitarian, Health Care, and Human Rights Workers—Caring for Others, Caring for Yourself](#)
- [Asian Pacific Institute on Gender-Based Violence](#)
- [Child Welfare Capacity Building Collaborative](#)
- [Child Welfare Information Gateway](#)
- [Coalition to Abolish Slavery & Trafficking Training and Resource Center](#)
- [Domestic Violence Resource Network](#)
- [End Violence Against Women International](#)
- [Family and Youth Services Bureau—Domestic Violence Resource Network](#)
- [Freedom Network USA—Training](#)
- [Getting Started with Mindfulness](#)
- [Headington Institute](#)
- [Managing Stress in Humanitarian Workers—Guidelines for Good Practice in 2012](#)
- [National Clearinghouse for the Defense of Battered Women](#)
- [National Human Trafficking Hotline](#)
- [National Immigration Law Center](#)
- [Office of Refugee Resettlement](#)
- [Ohio Child Welfare Training Program](#)
- [Podcasts on Stress Management for Emergency Responders](#)
- [Professional Quality of Life \(ProQOL\) Measure](#)
- [Runaway and Homeless Youth Training and Technical Assistance Center](#)
- [Substance Abuse and Mental Health Services Administration—Training and Technical Assistance on Trauma](#)
- [Self-Care Starter Kit](#)
- [Self-Care Tools, Strategies, and Assessment](#)
- [SOAR to Health and Wellness](#)
- [National Human Trafficking Training and Technical Assistance Center](#)
- [Office for Victims of Crime—Vicarious Trauma Toolkit](#)
- [Trauma Stewardship Institute](#)
- [United Nations Emergency Preparedness and Support Team—Leadership in Emergencies](#)

Grant Management Roadmap to Success





CHAPTER 4: GRANT MANAGEMENT AND ADMINISTRATION

Grant recipients are responsible for completing all administrative tasks related to the management of grant funds, implementing deliverables, and reporting on performance to the funder. The type of grant an organization has received is stated in the Notice of Award. Grantees should refer to that document, the HHS Grants Policy Statement, and the HHS Cooperative Agreement for standards related to specific grant types and management requirements.

This chapter will help grantees:

- ✓ Conduct grant kickoff meeting
- ✓ Review the grant budget
- ✓ Consider financial management practices
- ✓ Review tools for tracking expenditures
- ✓ Establish reporting protocols
- ✓ Anticipate the grant closeout

Conduct Grant Kickoff Meeting

Why It's Important

Once the organization has received their Notice of Award, it's important to bring stakeholders together to review the grant requirements, confirm everyone's roles and responsibilities, and begin more in-depth planning around how to meet grant requirements.

How to Conduct a Grant Kickoff Meeting

- **Confirm grant deliverables and expectations.** One of the first steps to ensuring a successful start to the project is to meet with the awarding agency point of contact to confirm grant requirements, initial deliverables proposed, timelines, reporting structure, organizational approach to meeting requirements, and roles and responsibilities.
- **Meet with staff to brainstorm next steps.** After the awarding agency has confirmed grant requirements and expectations, it is important to bring together internal staff to begin brainstorming immediate next steps and discuss preliminary implementation planning. This meeting should recap confirmed grant requirements and include preliminary discussion around how the organization envisions meeting the requirements and who to include in a formal grant kickoff meeting.
- **Bring internal and external stakeholders together for a formal grant kickoff meeting.** Now that the organization has a solid sense of grant requirements and a preliminary idea of which internal and external stakeholders can support implementation, it is time to bring everyone together for a formal grant kickoff meeting. This is a time to celebrate, brainstorm how everyone will work together, and begin implementation planning.



Review the Grant Budget

Why It's Important

The ACF-approved project budget dictates spending for a human trafficking project. In addition to following budget guidance and requirements indicated in ACF FOAs, it is important to review the original proposed budget to ensure program planning and implementation align with the approved budget.

How to Consider All Aspects of Program Spending

Prior to designing and implementing a program, it is important for organizations to consider all of the potential financial needs of an anti-trafficking program. If the ACF-approved budget does not include all of the anticipated costs for programming, it is important for organizations to seek additional funding, if needed, to implement a robust anti-trafficking program.

When comparing the ACF-approved budget with the anticipated costs of implementing an anti-trafficking program, grantees should pay careful attention to the following areas:

- **Dedicated staff time.** Is allocated staff time sufficient to carry out grant commitments? Are all necessary personnel (including supervisors, on-call staff, contractors, etc.) identified? For more information on Department of Labor (DOL) guidelines for on-call staff compensation, visit DOL's website for more information.
- **Training costs.** Does the budget include costs for staff to attend relevant training? Note: Training is strongly encouraged for anti-trafficking program success.
- **Language access.** Does the budget include allocated costs to ensure language access for Limited-English-Proficient and hearing-impaired partners, audiences, and clients? This would include costs for in-person interpretation, interpretation by phone, translation of materials, etc.
- **Mileage and travel expenses.** Does the budget include anticipated mileage and travel expenses related to carrying out grant activities?
- **Overhead costs.** Does the budget capture any costs necessary to support the operational costs of the grant (e.g., office rent/occupancy costs, maintenance, telephone, copy machines, postage, background checks for staff and volunteers, recruiting costs, and office supplies)?
- **Material development and printing costs.** Does the budget account for producing, printing, and distributing outreach materials, client information materials, printing costs, etc.?
- **Match requirements.** Does the budget reflect any match requirements? Note: Some ACF grants include match requirements, and guidance can be found in the HHS Grants Policy Statement, FOA, Notice of Award, and HHS Grant Agreement.
- **Insurance coverage.** Does the organization's liability insurance adequately cover the types of services offered and the volunteers and population served by the anti-trafficking program, including professional liability, personal liability, and coverage for vehicles used for work?

If there are any concerns that the ACF-approved budget may not adequately cover the grant activities outlined in the contract, grantees should immediately contact their federal project officer.



Consider Financial Management Practices

Why It's Important

Once a budget has been approved by ACF, grantees must manage the funds in accordance with the allowable spending for the grant. Responsible financial management practices ensure that grant activities and objectives are implemented within the approved budget and project period.

How to Establish Financial Management Practices

While HHS, ACF, and OTIP provide many guidelines and regulations around financial management, there are additional practices that will allow grantees to adhere to HHS guidelines. Following are practices to consider while managing grant funds:

- Discuss allowable expenditures in grant kickoff meeting/funded-partner orientation meetings, so that funded-program staff are fully informed on allowable grant expenses.
- Provide brief and easy-to-reference written guidance to program staff and funded partners about allowable expenditures.
- Provide program staff access to the grant budget to further their understanding of allowable expenses.
- Summarize personnel expense allocation and remove personally identifying staff information to protect individual salary/compensation information.
- Assign internal codes to grant funds, so that grant expenses can be clearly designated, including for mileage and travel.
- Use time and effort reports to document individual staff time spent on grant activities and applied to internal grant code. Example of time and effort reporting: <http://www.ndnu.edu/wp-content/uploads/2013/09/sample-time-and-effort-report.pdf>
- Establish clear protocols and procedures for request and approval of grant expenditures (i.e., program coordinator or manager approves all grant expenditures, which are then reviewed by finance staff).
- Require management/supervisory approval for grant-related expenditures after finance staff reviews to ensure a system of checks and balances is in place.
- Verify that expense forms indicate purpose of expense, type of expense, and designate the appropriate grant code.

For more information on financial management practices, visit the Office of Management and Budget (OMB) Circular A-133 for government and tribal agencies [here](#), and OMB A-110 for nonprofits [here](#).

Review Tools for Tracking Expenditures

Why It's Important

Tracking and monitoring all grant expenditures can be complicated. However, grantees can create financial management tools to facilitate the process. By using a financial management



tool, grantees are more likely to ensure compliance, avoid surprises, identify shortfalls and surpluses, and make informed spending decisions.

What It Is

A financial management tool provides a monthly snapshot of the projected budget as well as the actual revenue and expenses. It can be a robust online tool or a simple spreadsheet that can be used to monitor spending and plan grant activities.

How to Track Expenditures

The expenditure tracking tools should be reviewed monthly with anyone involved in grant management, financial documentation and reporting, and/or grant spending. To create a budget versus actual report, include the following:

- Projected budget
- Actual expenses per month
- Actual expenses to date
- Remaining available funds
- Remaining available percentage of funds, based on total budget

Establish Reporting Protocols

Why It's Important

Reporting helps ensure that grantees and funded partners remain on target with grant goals and the agreed-on statement of work. To manage grants effectively and consistently, it is essential to establish regular reporting and data collection protocols, deadlines, plans for review, evaluation, and aggregation of information to submit to HHS. For specific information on grant compliance, refer to information about the Notice of Award, Cooperative Agreement, and HHS Grants Policy Statement.

What It Is

Grant reporting is a mechanism for tracking activities, expenses, and progress toward grant outcomes. It is also a way for HHS to ensure that grant funds are being used as agreed and within requirements.

How to Establish Protocols

Following are recommendations for establishing reporting protocols:

- Initiate grant reporting procedures early on and adhere to grant reporting schedules.
- Set up monthly reporting protocols, even if grant reports are due quarterly or semiannually. This allows grantees to stay updated on funded activities and spending. This will also save time when it comes time to report to OTIP.



- Grantees are encouraged to provide honest feedback on grant activities, share real-world information on carrying out grant activities and barriers to achieving grant objectives, and seek advice and assistance from their federal project officer as needed.
- Consider deadlines and timelines in relation to collecting information from the internal organizational structure and protocols for report submission. Timelines may need to be adjusted, depending on whether grant reports are submitted directly to OTIP by program staff.
- Review and aggregate grantee and funded partner reports regularly, preferably monthly.
 - Once monthly deadlines are established, it becomes natural for program staff and funded partners to adhere to this schedule. It may not seem so at the beginning, but it will become practice if put into place and reinforced.
- Monitor program activities and outcomes monthly or quarterly against program objectives to assess progress and determine whether adjustment is needed.
 - This type of internal evaluation allows programs to better understand the impacts of the project and to decide how grant funding can best be used to support community needs within the appropriate grant guidelines.
- Be proactive in contacting the federal project officer if a monthly or quarterly review of progress reveals that stated objectives have not been achieved. By contacting the federal project officer early in the process, grantees can inform the project officer of the reason for the discrepancy, discuss potential solutions for addressing any challenges, and identify additional resources that may assist the program.
- Determine whether any additional information is needed (above and beyond funder reporting requirements) that will improve quality or performance. Incorporating information about internal goals, success stories, and lessons learned is a great way to use grant reporting for ongoing quality assurance. Consider capturing the following information:
 - Client self-reported milestones, goals, setbacks, or feedback
 - Requests for information and how callers found out about the program
 - Referral sources
 - Improvements in trauma-informed practices, cultural competency, or accessibility through client, stakeholder, or partner surveys
 - Client feedback on how to better serve individuals and communities
 - Staff development
 - New partnerships
 - Special recognitions related to funded activities
 - Anticipated changes to program implementation costs
- Establish protocols for protecting personally identifiable information (PII). Confidentiality and consent are important considerations in grant reporting. As a general rule, only report in aggregate form, removing all PII from reports. In rare cases where PII may be disclosed, clients or others identified through grant reporting should be informed that their information will be shared with OTIP. Some ways in which PII can be protected include, but are not limited to, the use of ID codes instead of names, password-protected documents, and the removal of PII from grant reporting materials.



Anticipate the End of the Grant Project Period

Why It's Important

The submission of financial and programs reports are most likely required for all ACF grants and the FOA indicates whether final reports are required. Reports are an opportunity to review the full grant period, including trends in spending, aggregated data, and whether grant objectives were met. Preparing reports can help grantees consider avenues to address needs that were not met during the previous grant period and plan for future needs.

How to Prepare for the End of the Grant Period

Grantees can use their monthly or quarterly program reports to prepare their annual reports. Also, grantees may want to ask program staff to provide input for the report on what worked, what didn't work, program successes, etc.

Throughout the grant period and particularly at the beginning of the final quarter of a funding period, grantees should ensure that spending is on track to use all grant funds by the end of the grant period. Funded partners should be alerted to the expectation that grant funds will be used steadily over the grant period and should be spent down by the end of that period.

If grant funds are not projected to be fully spent, grantees may request a no-cost extension, but there is no guarantee an extension will be awarded. Policies and procedures for requesting a no-cost extension can be found in the HHS Grants Policy Statement, which applies to both grant and cooperative agreements.



Resources

- [Agency for Healthcare Research and Quality](#)
- [U.S. Department of Labor—Guidelines for On-Call Staff Compensation](#)
- [U.S. Department of Health and Human Services—Grants Policy Statement](#)
- [National Grants Management Association](#)
- [Office of Management and Budget—Circular No. A-133](#)
- [Resource Associates—Coaching and Training](#)
- [The Wallace Foundation—How to Build a Budget](#)



CHAPTER 5: PARTNERSHIP DEVELOPMENT AND MANAGEMENT

Partnerships are a critical component of an anti-trafficking response. To effectively address human trafficking, organizations must partner with a variety of stakeholders, including survivor leaders and organizations offering behavioral health, legal aid, health care, and social services.

This chapter will help grantees:

- ✓ Identify existing and potential stakeholders
- ✓ Conduct community resource mapping
- ✓ Select partners to fund
- ✓ Monitor funded partners

Identify Existing and Potential Stakeholders

Why It's Important

A multifaceted public health approach to anti-trafficking work recognizes that many stakeholders in every community have a role to play in identifying, responding to, and serving those affected by human trafficking. It is important to take an inventory of existing and potential stakeholders and engage all relevant organizations to broaden the impact of anti-trafficking services. Many stakeholders that operate primarily outside of anti-trafficking initiatives are often in an excellent position to identify potential clients affected by human trafficking in the work they do. It is important to educate these stakeholders on how individuals who have been trafficked and individuals who are at risk of trafficking intersect with multiple systems of care. Through effective collaboration, stakeholders can increase the likelihood of identification, access to appropriate services for clients, and prevention strategies. ACF-funded programs must work to build a network of outreach, education, and service provision partners throughout their service areas. When organizations partner, organizations can share the risks, costs, and resources associated with the development and delivery of programming, thereby increasing the cost effectiveness of the project.¹

What It Is

The figure below from HHS' SOAR training for professionals illustrates a multidisciplinary and collaborative human trafficking response.

¹ The National Council for Public-Private Partnerships (2012). *Testing Tradition: Assessing the Added Value of Public-Private Partnerships*. Retrieved November 8, 2017, from <https://www.ncppp.org/wp-content/uploads/2013/03/WhitePaper2012-FinalWeb.pdf>.

HHS' SOAR Multidisciplinary Approach



How to Engage Stakeholders

Once you have identified existing and potential stakeholders that can support a communitywide public health approach to anti-trafficking work, conduct research on how each stakeholder currently addresses human trafficking, if at all; the types of services offered that would support a human trafficking response; and where there may be opportunities to leverage services and resources.

- **Conduct research on potential stakeholders.** Keep in mind that many organizations may not have up-to-date information available on their websites or other public source materials regarding their anti-trafficking efforts. When conducting research, in addition to online research, it is critical to do direct outreach to identified stakeholders to ascertain their role, services, and resources and to build new partnerships. See the next section, “Conduct Community Resource Mapping,” for more detailed information.
- **Create a multidisciplinary coalition.** By formalizing partnerships and focusing on a common goal to combat human trafficking across diverse stakeholders who share a common anti-trafficking vision, your program and its stakeholders will collaborate more effectively. This may be called many things, including task force, coalition or working group.

Use Memorandums of Understanding (MOUs) to clearly outline agreements (e.g., terms of partnership, activities, objective, scope of work, budgets, confidentiality, information sharing) between partners collaborating on ACF-funded anti-trafficking initiatives. See Appendix B for a MOU sample template. For additional examples of MOUs, visit OVC TTAC's Human Trafficking Task Force e-Guide.

- **Consider forming a survivor leader advisory board.** Experienced victim impact/survivor consultants can support key task force functions, particularly obtaining feedback on activities at the local level.¹ Note: Survivor consultants working outside their normal professional capacities should be offered compensation for their time consulting on human trafficking initiatives. The expertise survivor leaders bring to this work is not available through any other source, and survivor leaders who are asked to participate and contribute to anti-trafficking initiatives should be treated as professional consultants and compensated appropriately.²

Conduct Community Resource Mapping

Why It's Important

It is important to identify current efforts in the community you intend to serve before initiating anti-trafficking efforts. This will prevent duplication of effort, ensure that community efforts complement each other, leverage limited resources, and broaden the community's overall capacity to address and respond to human trafficking. Community resource mapping focuses on what communities have to offer by identifying assets and resources and revealing unmet needs and underserved (or unserved) geographic areas. If a coalition or task force already exists in your community, engage with members to identify how best to build capacity beyond those already engaged in anti-trafficking efforts.

How to Conduct Community Resource Mapping

Community resource mapping looks at all relevant agencies, organizations, systems, and services that may serve those vulnerable to human trafficking, provide education and outreach to specific communities, have services or resources relevant to serving human trafficking clients, or come into contact with potential human-trafficking clients. To begin a community resource mapping project, identify the resources available through individuals, community organizations, and institutions. It is recommended that organizations:



¹ U.S. Department of State (2017). Engaging Survivors of Human Trafficking. Retrieved November 8, 2017, from <https://www.state.gov/documents/organization/272324.pdf>.

² U.S. Department of State, Office to Monitor and Combat Trafficking in Persons. (2018, January 5). United States Advisory Council on Human Trafficking Annual Report 2017. Retrieved January 31, 2018, from <https://www.state.gov/documents/organization/277080.pdf>



- Research other federal-, state-, or locally funded programs beyond OTIP grantees through government agency sites. Survey staff and current partners about their relationships with community partners (e.g., where they refer, what organizations refer to them).
- Survey coalition or task force partners on agencies, organizations, or programs that they know are, or should be, engaged in anti-trafficking initiatives.
- Look locally for programs and services that address issues of homelessness, poverty, low-income health care, and labor rights, as well as the needs of immigrants, youth, refugees, and sexual assault and domestic violence survivors.
- Reach out to potential stakeholders identified through the community mapping process.
- Ensure that organizational standards and legal requirements pertaining to confidentiality and disclosure of client information are met. This is ideally done through an MOU or other written agreements. Grantees should encourage partners to respect privacy, confidentiality, and the sharing of personally identifiable information in any and all interactions. As previously stated, grantees and funded partners should only share personally identifiable or other information regarding clients with the express permission of the client. For more information, see Chapter 3: Organizational Culture and Approach.

Select Partners to Fund

Why It's Important

It is a promising practice to choose which partners to fund based on whether they can both inform and contribute to the overall goals of each grant. Each funded partner should have expertise, experience, knowledge, capacity, and a geographic reach that enhances the program's ability to achieve overall goals. It is also important to recognize that funded partners often have a distinct niche in their community, allowing them access to community stakeholders that might otherwise be difficult to reach. Larger organizations that are funding partners must be mindful that each funded partner has a unique mission, vision, and values statement that help keep them connected to the community they serve.

How to Select Funded Partners

One approach to reaching vulnerable populations is to partner with community-based and faith-based organizations that serve populations known to be vulnerable to human trafficking. This approach supports culturally competent services, outreach, and response. Examples include organizations that serve ethnic or language-specific communities, runaway and homeless youth, immigrants, refugees, and people involved in commercial sex, farm work, and domestic work. Many organizations choose to solicit input from potential funded partners and other stakeholders during proposal writing to help inform program goals, stakeholder roles in achieving outcomes, and logic model development.

It is imperative to select funded partners that have the capacity to adhere to financial requirements under HHS guidelines. They must meet the same financial requirements as ACF grantees. Funded partners can be selected through a variety of procurement methods, which can vary depending on the organization, criteria outlined by the primary funding source, and types of services to be funded. All procurements must be carried out in compliance with the HHS Grants Policy Statement. For additional guidance on whether a funded partner should be categorized as a subrecipient or contractor, please refer to the resources section of this chapter.



Once selected, include the following elements in each funded partner's agreement/contract:

- Standard agreements reflecting the pass-through requirements stated in the HHS Grants Policy Statement, Notice of Award, and Cooperative Agreement
- Approved project proposal, including overall project outcomes and objectives
- Approved budget
- Approved scope of work
- Reporting forms
- Reporting schedule and reporting procedures
- Confidentiality requirements and agreement on sharing of information
- Meeting schedule
- Monitoring plan and checklist
- Any additional ACF requirements related to the grant

Similarly to the grant kickoff meeting that occurred when the organization was awarded, it would be very helpful to conduct a grant kickoff meeting with selected funded partners to orient them to each other's areas of expertise and roles, geographic service areas, grant expectations, financial and reporting requirements, meeting schedules, and other relevant information. Please refer to the HHS Grants Policy Statement for details geographic area.

Monitor Funded Partners

Why It's Important

ACF grantees are responsible for monitoring the financial, administrative, and programmatic activities of funded partners to ensure that funds are being used in accordance with grant and other legal requirements.

How to Monitor

Grantees can set forth expectations for funded partners that are similar to the guidance outlined in *Chapter 4: Grant Management and Administration*. It is recommended that grantees monitor funded partner performance through regularly scheduled check-ins, monthly reporting, and, at a minimum, one site visit per award period. The monitoring schedule should be more frequent if concerns arise. The monitoring standards outlined below are intended for subrecipients and not necessarily contractors. For additional guidance on whether a funded partner should be categorized as a subrecipient, a contractor or a consultant, refer to the resources section of this chapter.

When monitoring subrecipients, consider the following:

- Create reporting tools that replicate the grantee-level data required in reports.
- Structure check-in meetings to address progress, questions, concerns, and challenges. Document all meetings.
- Provide a financial reporting template to each funded partner that lists their specific budget and tracks their previously reported expenditures, current-month expenditures, expenditures to date, remaining balance, and reimbursement requests for current month's expenses.



- Review funded partner financial reporting and process invoices monthly to monitor spending and address concerns, when needed, in a timely manner.
- If ACF-funded grantees believe they may exhaust all funding before the end of the budget year, they must notify ACF at least 90 days in advance of the end of the budget year.
- Examine funded partner files and financial documentation during in-person site visits conducted at least once during the grant period. Within 30 days of the site visit, grantees should provide the funded partner with a site visit report that includes objective feedback on funded partner performance; findings that require corrective action; recommendations or suggestions that may enhance funded partner performance, but are not required; and any next steps that need to be taken by the grantee to help address the funded partner's needs. See Appendix G for a sample site visit report.

See Appendix A for an example of forms used for subrecipient monitoring and reporting by referring to the Subrecipient Monitoring Documentation Checklist and Agenda.

Remember that, for funded partners to be successful, they need ongoing support and resources. The site visit is an opportunity to provide constructive feedback and partner with subrecipients to increase positive outcomes. To foster ongoing collaboration and peer support, consider creating a community of subrecipients by bringing them together in person or via conference call periodically to share program updates, explore challenges, discuss lessons learned, and celebrate successes.



Resources

For more information on how to align program implementation with the Federal Strategic Action Plan, visit:

- [Federal Strategic Action Plan](#)
- [U.S. Department of Health and Human Services—Grants Policy Statement](#)

For more information on how to leverage community partnerships as part of a public health approach, visit:

- [Centers for Disease Control—Community Partnerships](#)
- [Centers for Disease Control—Successful Health-Related Community Partnerships](#)
- [SOAR to Health and Wellness Trainings](#)

For more information on federal, state, or locally funded programs beyond OTIP grantees, visit:

- [Administration for Children and Families](#)
- [U.S. Department of Justice—Grant Programs](#)
- [Health Resources and Services Administration](#)
- [Office for Victims of Crime—Grant Award Search](#)
- [Office of Refugee Resettlement](#)

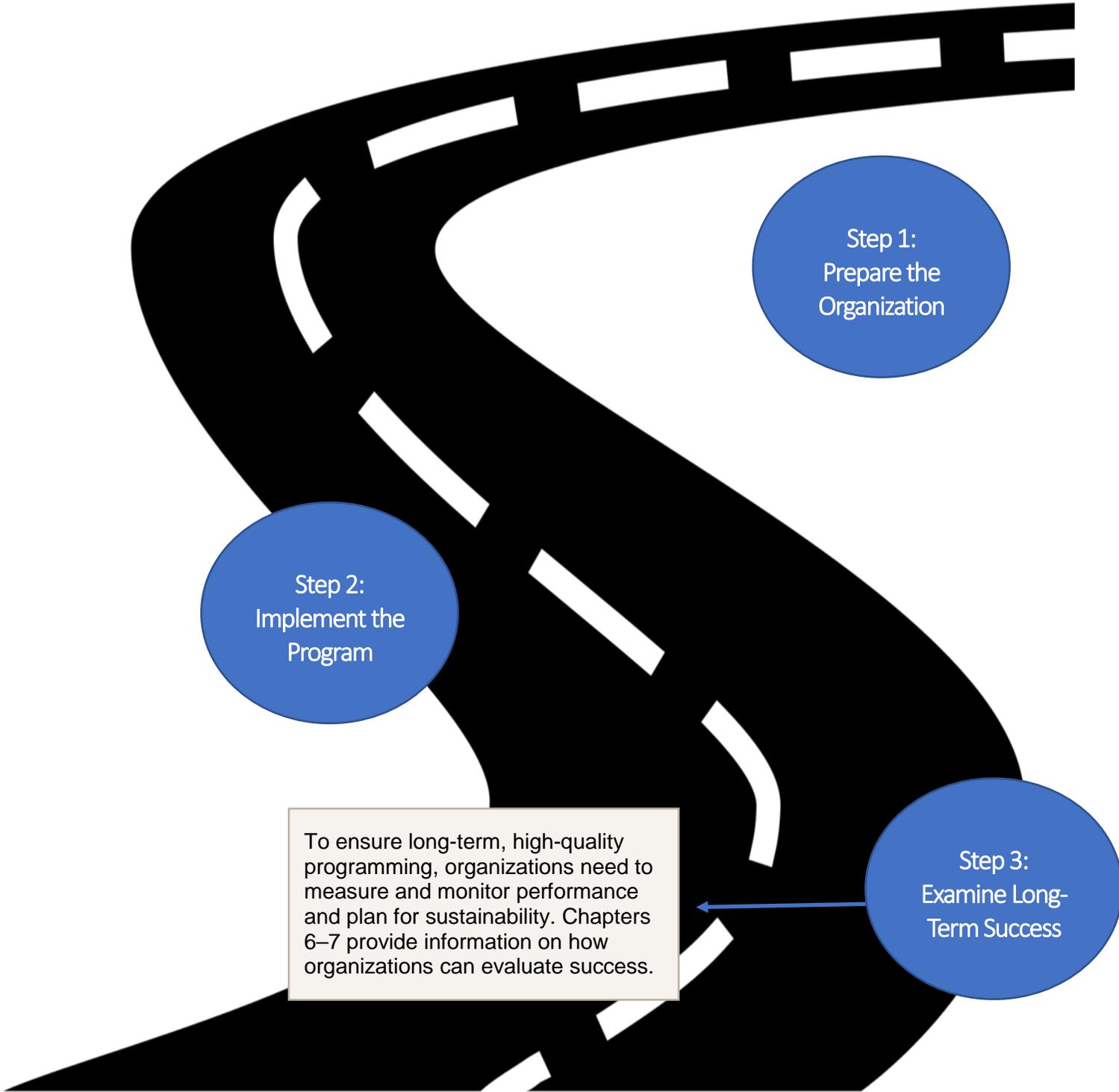
For examples of community resource mapping, visit:

- [Florida Institute of Education at the University of North Florida Arlington Asset Map](#)
- [University of Kansas Community Toolbox](#)

For resources helpful in identifying current stakeholders working with anti-trafficking coalitions:

- [Family and Youth Services Bureau](#)
- [Office for Victims of Crime—Matrix of Human Trafficking Services and Task Forces](#)
- [Office of Refugee Resettlement Coalitions](#)
- [Office on Trafficking in Persons—Grants](#)
- [Electronic Code of Federal Regulations—Subrecipient and Contractor Determinations](#)

Grant Management Roadmap to Success





CHAPTER 6: MEASURING PERFORMANCE

Implementing a program is hard work, and it is important to measure how well the program is performing to determine whether the hard work is paying off and whether changes need to be made to improve outcomes. Specifically, capturing and analyzing data related to grant activities allows grantees to closely monitor activities, assess which activities are the most effective, determine strategies for improving outcomes, and ultimately improve services for clients.

This chapter will help grantees:

- ✓ Develop a logic model
- ✓ Examine models of evaluation
- ✓ Establish a partnership with the evaluator
- ✓ Collect and store data
- ✓ Learn more about OTIP's data collection and standardization efforts

Develop a Logic Model

Why It's Important

Logic models help organizations and their stakeholders outline program activities that are tied to desired short- and long-term outcomes. Logic models can be revised periodically to plan, monitor, and evaluate program activities. Note: Before engaging in any type of evaluation activity, it is important to create a logic model; the model provides information that is helpful to evaluation.

What It Is

A logic model is a systematic, visual method of describing the relationship between the program's resources, planned activities, deliverables, and desired outcomes. It can be used to guide the planning and implementation of a program as well as program evaluation.

How to Develop a Logic Model

Online resources can help organizations create a logic model, which delineates an organization's vision and goals, the activities required to achieve the goals, desired outcomes, and indicators.¹ Flow charts, maps, and tables are common formats for a logic model. Whichever format is chosen, the logic model should provide direction and clarity by presenting a "big picture" of change alongside important details. Following are six issues a logic model should address.

- **Purpose/goal.** What motivates the need for change? What is the driving force of the program's mission?
- **External factors.** What climate is your program operating in? What external factors (not controlled by the program) affect the program?

¹ James Bell Associates (2007). *Evaluation Brief: Developing a Logic Model*. Arlington, VA. Retrieved November 8, 2017, from <http://www.jbassoc.com/ReportsPublications/Developing%20a%20Logic%20Model.pdf>.



- **Inputs.** What are the “building blocks” that will be used in the program? Include the resources, infrastructure, staff, contributions, and investments that go into a program.
- **Activities.** What will the program do with its resources to direct the course of change? Include services, events, interventions, and other relevant program efforts.
- **Outputs.** What are the demonstrated results of all the program activities? What evidence is there that the activities were performed as planned?
- **Outcomes/impacts.** What kinds of short- and long-term changes came about as a direct or indirect result of the activities? Have program activities made a difference?

Sample Program Logic Model

Goal: To identify, support, and protect victims of human trafficking

Inputs	Activities	Outputs	Impact	
			Short-term	Long-term
<ul style="list-style-type: none"> • # of full-time staff • # of part-time staff • # of volunteers • Grant dollars 	<ul style="list-style-type: none"> • 24-hour hotline services • Community outreach • Staff training • Case management 	<ul style="list-style-type: none"> • # of calls to the hotline • # of community outreach efforts • # of clients served by the program • # of clients that received requested services 	<ul style="list-style-type: none"> • Callers requesting help receive crisis support • Increased identification and response to all types of human trafficking • Increased skills and knowledge about survivor-informed practices • Survivors gain the knowledge needed to make informed decisions 	<ul style="list-style-type: none"> • Callers know crisis support is available • Community mitigates risks factors associated with human trafficking • Improved organizational response to survivors of human trafficking • Survivors reach self-sufficiency

External Factors: Funding opportunities, advisory board



Examine Models of Evaluation

What It Is

Evaluation is a structured process of collecting, analyzing, and using data to provide an objective assessment of a program, policy, or some other activity. There are many different types of evaluation designs applicable for grant management. The three most common types are:

- **Needs assessment.** This assessment ensures that a program or program activity is feasible before being fully implemented. It is usually conducted when a new program or activity is being developed or when an existing one is modified.
- **Process evaluation.** A process evaluation helps you learn more about the what and how. It describes and analyzes a program's operation, implementation, and service delivery – its inputs, activities, and outputs.¹
- **Outcome evaluation.** This evaluation measures program effects by assessing progress in the program's objectives or outcomes.

Why It's Important

Often grantees are afraid of the word “evaluation.” A variety of factors contribute to this unease, including a belief that there isn't enough time as well as concerns about the possibility of negative feedback, the need to maintain confidentiality, and the resources required. However, evaluations can be productive, and as they offer the opportunity to take a long-range view of a program's prospects beyond the day-to-day work. When used as part of a quality assurance process², an evaluation examines various components of the program to identify gaps in services, areas in need of improvement, and potential solutions. In addition, an evaluation may help the organization answer broader questions related to whether the services are furthering the mission, whether organizational values are positively impacting the community, and whether the organization is on a sustainable path to accomplish its vision.

In addition to monitoring progress and measuring success, there are a variety of other reasons to conduct an evaluation. Evaluations can:

- Enhance service delivery approach and improve grant outcomes
- Improve organizational processes and grant management practices
- Contribute to the development of evidence-based practices in the anti-trafficking field
- Provide a foundation for policy change or support existing policy
- Increase the visibility of the issue of human trafficking

How to Choose an Evaluation Approach

There are several considerations organizations must take into account when designing their evaluation.

¹ <https://www.acf.hhs.gov/opre>

² <https://www.acf.hhs.gov/cb/resource/cfsr-osri-quality-assurance-guide>



- **Purpose of the evaluation.** What do you want to accomplish by conducting the evaluation? What information do you want to obtain from your data collection efforts?
- **Evaluation design.**¹ In order to align your organization's needs with an evaluation plan, it is important to have an understanding of the various types of evaluations and the differences between them.
- **Target audience.** Programs should also consider how best to (1) protect the confidentiality and safety of participants, (2) respect participants, and (3) address diversity.
- **How to measure your outcomes.**² Success will be measured differently, depending on the type of organization and type of evaluation. Measures might include how clients access services (e.g., how they are referred to program), behavioral indicators of change (e.g., an increase in skills after training, 6 months of stable housing), and/or types of program outreach (e.g., marketing brochures, community town hall meetings).
- **Determine length of time (e.g., short-term evaluations have short-term impact).** Short-term outcomes typically correspond to the inputs or outputs of a logic model. Long-term outcomes typically correspond to the outcome/impact sections of the logic model.
- **Decide how the information will be collected and analyzed.** Ideally, programs will have a system that allows them to capture monthly activities and outcomes into a cumulative data mechanism and evaluate program performance on an ongoing basis. While grant reporting is a great initial mechanism in the data collection process, the data also needs to be analyzed and evaluated with an eye toward accomplishing desired outcomes. Examples of program areas and what information to collect is provided in Appendix I.

Qualitative data: Information that cannot be measured or communicated with numbers. Answers questions about “why” and “how.”

Quantitative data: Information that can be measured and communicated with numbers. Answers questions about “who,” “what,” “when,” and “where.”

Establish Partnership with Evaluator

Why It's Important

Working with an experienced evaluator adds credibility to the evaluation effort, provides a data-driven perspective, and contributes another layer of quality assurance to the program.

How to Select an Evaluator

There are a number of considerations to take into account in selecting an evaluator. The relationship with the evaluator should be mutually beneficial; each of you brings expertise to the evaluation. The first question is whether to conduct the evaluation internally or hire an external evaluation partner. External evaluators can be an important asset, as they bring expertise and experience in creating data collection tools and analyzing data. They also provide an objective

¹ See Appendix H for evaluation models and when to use them.

² Excellent resource for designing outcomes in nonprofit organizations: United Way of America (n.d.). *Measuring Program Outcomes: A Practical Approach*. Retrieved November 9, 2017, from https://www.nrpa.org/uploadedFiles/nrpa.org/Professional_Development/Accreditation/COAPRT/Measuring_Program_Outcomes-UW.pdf.



third-party perspective to help an organization realistically and comprehensively assess performance. They might also bring some additional resources (e.g., money, time) to contribute to the evaluation, which could free up staff for other important tasks. Regardless of whether the evaluation will be conducted internally or externally, staff will play a vital role in data collection. Data collection and information sharing must adhere to strict confidentiality requirements.

How to Establish the Program-Evaluator Partnership

- **Articulate organizational and program goals.** Organizations that are clear about their goals are more likely to have an effective partnership with an evaluator.
- **Communicate the organization’s vision of evaluation.** It is helpful for organizations to share with the prospective evaluator their ideas around the types of materials/tools to be used, data to be collected, the target audience, the timeline, and available resources.
- **Establish a formal agreement.** The agreement will vary, depending on whether the evaluator is an independent consultant or an internal staff member.
- **Determine the timeline.** The timeline should clearly capture critical dates related to grant funding, reporting requirements, the grant cycle, and the organizational review process. It should indicate the “what, when, and who” for each activity.

The American Evaluation Association has adopted a series of guiding principles that should be adhered to by evaluators in everyday practice:

- **Systemic inquiry.** Evaluators conduct systemic, data-based inquiries.
- **Competence.** Evaluators provide competent performance to stakeholders.
- **Integrity/honesty.** Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process.
- **Respect for people.** Evaluators respect the security, dignity and self-worth of respondents, program participants, clients, and other evaluation stakeholders.
- **Responsibility for general and public welfare.** Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.

How to Collect and Store Data

There are many different ways to collect information, each with their own pros and cons. Every program must ultimately decide for itself how to collect evaluation information. Some guiding questions to help you decide what method is best to include:

- What are we trying to find out?
- What are the different ways we can collect this information?
- What can we afford (time, money, resources) to do?



There are several common data-gathering approaches¹ to consider, including interviews, focus groups, activity observations, written questionnaires, and archival data. Some pros and cons of each method are briefly summarized in Appendix J. Regardless of how the information is collected, it is imperative that consideration be given to how the data will be stored and who will have access to it. You should select a method that maximizes confidentiality of participants and minimizes the opportunity for data to be misplaced or accidentally deleted. If personally identifiable information is included in the data, you should take extra precautions to protect the information.

OTIP's Data Collection and Standardization Efforts

[The Human Trafficking Data Collection Project](#)

examines current data collection practices, data standards, and technologies used for human trafficking data collection for the purposes of understanding human trafficking victimization and service needs.

The project has been informed by multiple phases of public engagement to gather requirements for an interoperable data collection platform that could address known challenges in collecting data on human trafficking. These challenges include inconsistent screening, insufficient service coordination, differences in data standards and formats, and a lack of resources to securely collect, analyze, and share data. The project is administered through a partnership between OTIP, the Children's Bureau, and the Office on Women's Health.

Some best practices include:

- Store paper forms securely
- Use secure storage for detachable media
- Protect passwords
- Train and monitor anyone with access to the data
- Restrict use of shared accounts or group login IDs
- Keep user group lists up to date
- Only access and store data on a secured network
- Activate lockout functions for screen savers
- Use secure methods of file transfer

¹ Substance Abuse and Mental Health Services Administration (n.d). *Data Collection Methods: Pros and Cons*. Retrieved November 9, 2017, from <https://www.samhsa.gov/capt/tools-learning-resources/data-collection-methods-pros-cons>.



Resources

- [American Evaluation Association](#)
- [Free Management Library](#)
- [IssueLab Results](#)
- [Human Trafficking Data Collection Project](#)
- [The College of New Jersey School of Education](#)
- [Office of Planning, Research, and Evaluation](#)



CHAPTER 7: SUSTAINABILITY PLANNING AND LONG-TERM FINANCIAL STABILITY

Given the time-limited reality of grants, it is important to view them as a step toward the achievement of organizational goals rather than the end goal. While grants offer a significant opportunity, programs should consider the full range of funds and resources that may be available to them. Sustainability planning is central to a program's long-term financial stability beyond the life of a grant.

This chapter will help grantees:

- ✓ Conduct a debt-to-equity ratio analysis
- ✓ Consider diversification of funding
- ✓ Establish a funding rubric
- ✓ Create a sustainability plan
- ✓ Develop a shared terminology regarding financial management

Conduct a Debt-to-Equity Ratio Analysis

Why It's Important

A debt-to-equity ratio analysis should be conducted to ensure that organizations can achieve long-term solvency, which includes the ability to consistently pay their employees, sustain services for clients, and pay off debts.

How to Conduct a Debt-to-Equity Ratio Analysis

- **Identify and make a list of the organization's equity.** This includes any funding that comes into the organization, such as grants, membership dues, etc.
- **Identify and make a list of debts.** This includes all expenses the organization is responsible for paying, including rent, salaries, etc.
- **Calculate the debt-to-equity ratio.** A simple and common way to do this is by dividing the debt by the equity (debt/equity). However, there are a few ways to calculate debt-to-equity ratio, so for information on how to better understand a debt-to-equity ratio, visit the reference page at the end of this chapter.

Consider Diversification of Funding

Why It's Important

Organizations that depend on one source of income are vulnerable if that source disappears. There are a range of reasons that funds may become unavailable, including shifting priorities within the funding entity, economic decline, and a change in policies regarding how to distribute funding. Therefore, sustainable programs have a long-term financial plan that includes diversified funding sources.

Fundraising events are important ways to secure unrestricted funds. However, remember that federal grant funding cannot be used for fundraising. When organizing these events, remember



to include key aspects of organizational identity throughout the process. Although online donors are known to have higher incomes, they are also less likely to become regular donors and may be uncomfortable sharing their credit card information online.¹ To diversify fundraising methods, remember to also secure donations through other methods, including mail appeals and in-person fundraising.

What It Is

Funding Goal	Tasks
Secure individual donors	<ul style="list-style-type: none"> • Create signup lists at your events; collect information such as name, organization, email address, and street address • Establish a web presence (free platforms, e.g., WordPress and blogspot.com) • Organize your donor lists to identify who contributors are
Solicit online donations	<ul style="list-style-type: none"> • Online communities: Periscope, YouTube Live, Facebook Live, Facebook, Twitter, and other free, easy-to-use platforms • Consider different modalities that encourage giving, such as storytelling, reports, and perspectives from the field
Secure government grants	<ul style="list-style-type: none"> • Visit the website that contains comprehensive information on federal grants • Explore other ACF-funding opportunities: <ul style="list-style-type: none"> • Family Violence Prevention & Services • Family & Youth Services Bureau • Community-Based Child Abuse Prevention (CBCAP) • Child Abuse Prevention and Treatment Act (CAPTA) • Social & Economic Development Strategies (SEDS)
Receive foundation money	<ul style="list-style-type: none"> • To apply for foundations grants, visit individual foundation websites to search for opportunities • The Foundation Center
Organize creative fundraising	<p>Possible fundraising venues:</p> <ul style="list-style-type: none"> • Walks/Runs. Organize a run or walk for a cause. These events encourage participation across diverse populations and have a clear objective. • Crowdfunding platforms. There are free and easy ways to fundraise online, as shown in the following examples: <ul style="list-style-type: none"> • GoFundMe • Indiegogo • Kickstarter • Galas. Galas are a great way to raise awareness about your organization and pull a group together for a one-time event. For the busy donor, this is an ideal and easy way to give and be a part of an organization. Visit here for tips on creating a fundraising gala. • Food events: <ul style="list-style-type: none"> • Fundraiser

¹ McLaughlin, S. (2017, July 5). 3 Truths and 1 Lie about Online Donors. Huffington Post. Retrieved November 8, 2017, from http://www.huffingtonpost.com/entry/3-truths-and-1-lie-about-online-donors_us_595cf48de4b0326c0a8d13fb.

Funding Goal	Tasks
	<ul style="list-style-type: none"> • <u>Cook-off</u> • <i>Community collaborations.</i> Work with members of the community across different sectors on creative ways to fundraise.

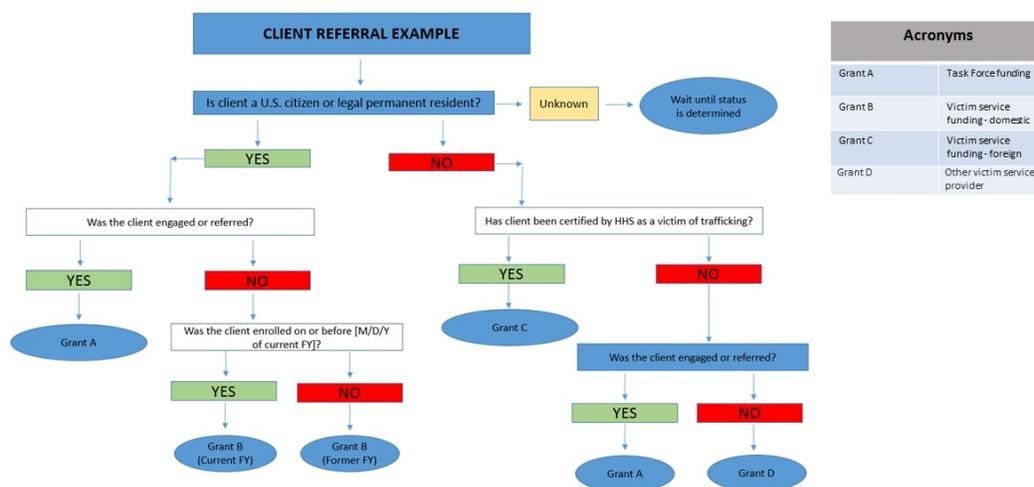
Establish a Funding Rubric

Why It's Important

A funding rubric is an important tool that organizations can use to regularly monitor funds, plan for addressing debt, and explore how to diversify funding sources.

What It Is

A funding rubric is a visual representation of the organization's funding types, sources, and activities related to funding. The following example provided by the Asian Association of Utah illustrates how services and funding sources may be diagramed together.



How to Establish a Funding Rubric

Rubrics for funding sources can vary, depending on the organization. It may be helpful to diagram the organization's existing and potential funding sources/types as well as the activities that need to occur to obtain or maintain that funding. The following table outlines key areas to consider when building a funding rubric and examples.



Funding Sources	Existing Funding Types	Activities to Maintain Existing Funding	Potential Funding Types	Activities to Obtain Potential Funding Types
Government	e.g., OTIP grant	e.g., pursue grant goals, implement activities as written in notice of award, achieve desired outcomes, monitor performance	e.g., new human trafficking grant opportunity	e.g., submit grant application
Nonprofit	e.g., in-kind donations	e.g., maintain strong partnership, report to nonprofit how donations were used	e.g., allocation	e.g., work with nonprofit to provide specific services for their clients who have been identified as clients
For-profit	e.g., loan to build transitional housing for clients	e.g., remain in compliance with loan terms, communicate progress with lender	e.g., in-kind services	e.g., develop partnership with local childcare facility to provide free or low-cost childcare for clients seeking employment
Public	e.g., individual donations	e.g., send newsletter to keep donors aware of program activities and accomplishments, solicit annual contributions	e.g., fundraising event	e.g., use non-grant funds to organize and deliver community fundraising event

For more information on how to develop a funding rubric and other aspects of financial management, consider reading *Financial Management for Nonprofit Human Service Organizations*.¹

Create a Sustainability Plan

Why It's Important

Sustainability planning allows organizations to clarify where they are and where they want to go, develop strategies to get there, determine benchmarks, and measure progress.

What It Is

A sustainability plan is a tool that considers a full range of necessary resources and outlines specific strategies and action items toward long-term viability. Sustainability planning includes the following key elements: vision, results orientation, strategies for building organizational capacity and community support, and resources.

¹ Mayers, R.S. (2004). *Financial Management for Nonprofit Human Service Organizations*. Second Edition. Springfield, IL: Charles C. Thomas.

How to Create a Plan

As in the creation an organization's mission, vision, and value statements, sustainability planning is ideally accomplished in collaboration with a variety of internal and external stakeholders.

Components of a Sustainability Plan

- Describe the vision for sustainability: What does sustainability look like?
- Ensure that the sustainability vision aligns with the organizational identity.



- Develop short- and long-term goals specific to achieving the sustainability vision.
- Define specific action items under each goal that will help move the project forward.
- Define benchmarks to assess progress toward sustainability goals.

- Identify internal and external stakeholders.
- Determine specific action items for developing and maintaining key partnerships necessary for sustainability.

- Outline the resources needed for sustainability and strategies for securing and maintaining resources.

Develop a Shared Terminology Regarding Financial Management

Term	Definition/Examples
Assets	<ul style="list-style-type: none"> • Things owned by the organization (e.g., cash, investments, property)
Debt-to-equity ratio	<ul style="list-style-type: none"> • Relationship between the portion of assets financed by creditors and the portion of assets financed by stockholders
Educational organization	<ul style="list-style-type: none"> • Encompasses individual instruction as well as public instruction (e.g., Head Start, elementary and high school, post-secondary)
For-profit organization	<ul style="list-style-type: none"> • Formed to conduct lawful business activities; primary purpose: to earn profit for the owners of the company



Term	Definition/Examples
Government organization	<ul style="list-style-type: none"> Organization through which a political unit exercises authority and performs functions (e.g., federal, state, county, local)
Liabilities	<ul style="list-style-type: none"> Amounts that the organization owes to others, including items to be paid in the future (e.g., accounts payable)
Long-term debt	<ul style="list-style-type: none"> Debt due in more than a year (e.g., mortgage, business loans)
Long-term equity	<ul style="list-style-type: none"> Capital that will accrue in the long term (e.g., capital gains)
Net assets	<ul style="list-style-type: none"> Amount available to the organization to use; difference between what is owned by the organization and what it owes Net assets = assets
Nonprofit organization	<ul style="list-style-type: none"> Granted tax-exempt status by the Internal Revenue Service Do not pay income tax on the donations they receive or any money they earn through fundraising activities
Owed assets	<ul style="list-style-type: none"> Money the organization anticipates receiving in the future (e.g., accounts receivable)
Short-term debt	<ul style="list-style-type: none"> Debt due in less than a year (e.g., payroll, vendors, company credit cards)
Short-term equity	<ul style="list-style-type: none"> Capital that will accrue in the short term (e.g., individual donors, short-term grant)
Solvency	<ul style="list-style-type: none"> Possession of assets in excess of liabilities Ability to pay debts
Sustainability¹	<ul style="list-style-type: none"> Maintaining programming at a certain level
Unrestricted funds	<ul style="list-style-type: none"> Funds with no donor-imposed restrictions on how the funds should be used.²

¹ Washington University St. Louis Center for Public Health Systems Science, Program Sustainability Assessment Tool Project. Retrieved from <https://cphss.wustl.edu/Projects/Pages/Sustainability-Project.aspx>

² Carter, T.S. (2006). Donor-Restricted Charitable Gifts: A Practical Overview Revisited II. 2006 CAGP ACPDP Annual National Conference Canadian Association of Gift Planners (CAGP). Reprint from The Philanthropist (2003). London, Orangeville, Ottawa, Toronto, and Vancouver: Carters Professional Corporation.



Resources

For information on how to better understand a debt-to-equity ratio, visit:

- [Accounting Simplified](#)

For more information on securing individual donors, visit:

- [Facebook](#)
- [Kindful](#)
- [Mashable](#)
- [Twitter](#)

For information on how to win government grants, visit:

- [Child Abuse Prevention and Treatment Act](#)
- [Community-Based Child Abuse Prevention](#)
- [Family Violence Prevention & Services](#)
- [Grants.gov](#)
- [The Foundation Center](#)
- [Victims of Crime Act](#)

For information on how to organize creative fundraising, visit:

- [GoFundMe](#)
- [Herald Mail Media](#)
- [Indiegogo](#)
- [Kickstarter](#)
- [The Chronicle of Philanthropy—Tips for Creating a Fundraising Gala for the First Time](#)

For more information on how to plan for sustainability, visit:

- [Sustainability Project](#)



CONCLUSION

This grant management toolkit has provided a multistep roadmap for the effective implementation and long-term sustainability of anti-trafficking programs.

As a first step, organizations should develop mission, vision, and value statements, and ensure that their organization is appropriately structured to move effectively toward those goals. A strategic plan for action should also be created. In addition, care must be taken to ensure that the organizational culture aligns with the values and promising practices specific to a human trafficking response.

Secondly, organizations are advised to clarify financial management practices, review their tools for tracking expenditures, and establish reporting protocols. Because partnerships are critical to successful program implementation, organizations should identify existing and potential stakeholders, map the external resources available in their community, and select and monitor funded partners.

The third and final step is to ensure long-term, high-quality programming by measuring and monitoring performance and planning for sustainability through a range of activities, including conducting a debt-to-equity ratio analysis, planning for diversification in funding sources, establishing a funding rubric, and conducting program evaluation.

The process may seem complex and even daunting at first. However, careful planning can help prevent roadblocks in implementation and ensure long-term viability of an anti-trafficking program. Organizations that effectively manage grants and maintain key partnerships will enhance their ability to deliver quality services, capitalize on future funding opportunities, and provide sustainable services in their community.

For More Information

To obtain additional assistance in designing and implementing anti-human trafficking programming, contact:

**National Human Trafficking Training
and Technical Assistance Center**

Website:

<https://www.acf.hhs.gov/otip/training/nhttac>

Email: info@nhttac.org

Phone: 844-648-8822



APPENDIX A: SUBRECIPIENT MONITORING DOCUMENTATION CHECKLIST AND AGENDA

Following are adapted sample monitoring forms provided by the Refugee & Immigrant Center (RIC), Asian Association of Utah (AAU).

RIC-AAU Subrecipient Monitoring Documentation Checklist and Agenda	
Administrative Checklist	
<input type="checkbox"/> Signed agreement and any addenda* <input type="checkbox"/> Progress reports* <input type="checkbox"/> Most recent audit (must be in compliance with federal audit requirements, if applicable) <input type="checkbox"/> Explanation of how payroll costs are allocated to the grant	
Financial Checklist	
<input type="checkbox"/> Budget* <input type="checkbox"/> Financial system report or budget to actual spreadsheet showing cumulative expenditure amounts for each budget line item <input type="checkbox"/> Financial reports/Invoices with backup* <input type="checkbox"/> Supporting documentation for match/in-kind*	
Programmatic Checklist	
<input type="checkbox"/> Evidence that supports information reported in progress reports (training sign-in sheets, call logs, presentations/materials developed through grant funds, etc.) <input type="checkbox"/> Overview of program activities <input type="checkbox"/> Overview of data collection procedures (who collects data, how often, how it is stored)	

* Required information.

RIC-AAU Subrecipient Monitoring		
Subrecipient	Reviewers	Date
Administrative Review		
	Complete	Incomplete
Signed agreement and any addenda*		
<i>Notes:</i>		
Progress reports*		



<i>Notes:</i>		
Most recent audit		
<i>Notes:</i>		
Explanation of how payroll costs are allocated to the grant		
<i>Notes:</i>		
Pass-through of DOJ/Office of Justice Programs special conditions		
<i>Notes:</i>		
Financial Review		
	Complete	Incomplete
Budget*		
<i>Notes:</i>		
Financial system report or budget to actual spreadsheet showing cumulative expenditure amounts for each budget line item.		
<i>Notes:</i>		
Financial reports/Invoices with backup*		
<i>Notes:</i>		
Supporting documentation for match/in-kind*		
<i>Notes:</i>		
Programmatic Review		
	Complete	Incomplete
Evidence that supports information reported in progress reports (training sign-in sheets, call logs, presentations/materials developed through grant funds, etc.)		
<i>Notes:</i>		
Overview of program activities		
<i>Notes:</i>		
Overview of data collection procedures (who collects data, how often, how it is stored)		
<i>Notes:</i>		



APPENDIX B: SAMPLE MEMORANDUM OF UNDERSTANDING AGREEMENT

This Memorandum of Understanding is entered into by and between
[Organization]
and
[Subgrantee Name]

Whereas **[Organization]** and **[Subgrantee organization]** intend to work together toward the mutual goal of [briefly summarize service agreement]. These parties believe that implementation of the [service] under [grant]; and

Whereas, a more detailed subcontract shall be executed upon the successful awarding of this grant, this memorandum of understanding stands as evidence of the collaborative strengths of this proposed program as well as the competencies of the individual partners; and

Whereas **[Organization]** desires that **[Subgrantee]** perform certain work under the Award and the Subgrantee is willing to undertake such work in accordance with the terms of this agreement; and

Now therefore, the parties hereto do agree as follows:

ARTICLE I: Scope of Work

Subgrantee agrees to assist in the implementation of services, by performing work set forth in the proposal appended hereto and incorporated as [Name of Appendix]. The scope of work shall extend [location], as provided for in the proposal. The scope of work shall not be changed except by duly executed amendment to this agreement.

ARTICLE II: Period of Performance

This agreement is effective and obligation is made upon a successful grant award and as of the date of signing this agreement, shall apply to commitments made by the Subgrantee in furtherance of program objectives, and shall terminate upon the closeout of the grant award and full expenditure by all parties of the funds disbursed to said Subgrantee. **[Provide specific dates]**

ARTICLE III: Project Direction

Subgrantee's accomplishment of work shall be under the administrative direction of [Organization]. The [Primary Contact Title] is authorized to exercise the administrative direction of the project within the scope of work as described in [Name of Appendix].

All matters affecting the terms of this agreement or the administration thereof shall be referred to the [Organization]. Prior written approval from [Organization] shall be required for any changes or amendments to this agreement, including but not limited to changes in the scope of work, period of performance, cost, and reporting requirements.



ARTICLE IV: Consideration and Payment

As consideration and compensation for the work described in [Name of Appendix], [organization] agrees to contract [Subgrantee] as a [service] for up to [amount of time in days/hours], if this application is fully funded according to grant budget. However, [Organization] shall not be obligated to reimburse Subgrantee for any costs incurred above the total funds allocated to each Subgrantee.

Subgrantee's monthly invoice shall detail costs incurred, including documentation of personal timesheets related to this agreement.

Payment of invoices shall be contingent upon approval by [Organization]. The Subgrantee's invoices will be analyzed on the basis of incurred expenses that are reasonable, allowable, and allocable in accordance with the terms and conditions of this agreement and the applicable cost principles of Office of Management and Budget (OMB) Circular A-122.

Before the payment of the final invoice is made, all work as described in [Name of Appendix].will be completed by Subgrantee and approved by [Organization], and all applicable data and reports will be submitted. Audit and audit compliance requirements, as provided in OMB Circular A-133, shall apply to the Subgrantee receiving funds provided under this agreement. The books of accounts, files, and other records of the Subgrantee which are applicable to this agreement, shall at all times be available for inspection, review, and audit by authorized representatives of [Organization] and/or Award.

[Consider providing language regarding review of records.]

ARTICLE V: Cost Sharing

[If match/cost sharing is agreed upon, then provide details here.]

ARTICLE VI: Key Personnel

The personnel cited in the budget are considered to be essential to the work being performed under this agreement. Prior to reassigning any of these individuals to other projects or programs, reducing their level of participation, or allowing the project to continue without a project coordinator for 3 months or longer, the Subgrantee shall notify [Organization] reasonably in advance and shall submit justification (including proposed personnel substitution) in sufficient detail to permit evaluation of the impact on the program. Changes in key personnel may be made only with prior written authorization of [Organization].

ARTICLE VII: Travel

[Outline if any costs of travel will be covered.]

ARTICLE VIII: Programmatic and Financial Reporting

By the [date] of each month, the Subgrantee will submit a monthly program report to [organization] and ensure its [reporting and reporting databases] and Subcontractor databases are up to date. Material from Subgrantee's monthly reports shall be included in [Organization's] [semiannual/annual/quarterly] progress reports to [Funding Agency] as required by the Award Cooperative Agreement. [Include here any information that is required regarding reporting.]



The Subgrantee will submit by [x day] after the end of the grant term a final programmatic report summarizing the work accomplished during the agreement period. [Organization] will provide formats for both reports to the Subgrantee.

ARTICLE IX: Subgrantee Status

Subgrantee is not a legally joined partner or joint venturer, and shall not act as an agent for [Organization]. Nor shall Subgrantee be deemed to be employees of [Organization] for any purposes whatsoever. Subgrantee shall not have any authority, either express or implied, to enter into any agreement, incur any obligations on [Organization's] behalf, or commit [Organization] in any manner whatsoever without [Organization's] express prior written consent. Subgrantee will not use any names, trademarks, or logos of [Organization] without the express written consent of [Organization].

ARTICLE X: Liability

Neither party, nor its officers, agents, and employees, shall be liable for any injury, damage, or loss to persons or property caused by the negligence of the other party, its officers, agents, or employees which may arise in the performance of this agreement.

ARTICLE XI: Termination

This agreement may be terminated by either party upon 30 days' written notice to the other party or immediately upon termination of the Award. If [Organization] determines that a termination is in its interest, [Organization] shall terminate by delivering to the Subgrantee a notice of termination specifying the extent of termination and the effective date. After termination, the Subgrantee shall submit a final termination settlement proposal to [Organization] in the form and with the certification prescribed by [Organization]. The Subgrantee shall submit the proposal promptly within 30 days, or as mandated by any termination specifications required by the Award. If the Subgrantee fails to submit the termination settlement proposal within 30 days allowed, [Organization] may determine, on the basis of information available, the amount, if any, due the Subgrantee because of the termination and shall pay the amount determined. The Subgrantee will furnish all necessary reports of services completed or in progress through the date of termination.

[Organization] shall have the unilateral right to terminate this agreement, upon 30 days' written notice, for the Subgrantee's failure to meet any substantive requirement or obligation of this agreement should it fail to cure or correct said deficiency within the said 30 days or such longer period as the parties may mutually agree. The Subgrantee failure of either party to insist upon strict performance of any covenant or condition of this agreement on any one or more instances shall not be construed as a waiver for the future of any such covenant or condition, but shall be and remain in full force and effect.

In witness thereof, the parties hereto have executed this agreement on the day and year specified below.

[Subgrantee]

BY: _____

Date

[Organization]

BY: _____

Date



APPENDIX C: SAMPLE CONFIDENTIALITY AGREEMENT

The [Name of Organization] Safety and Accountability Audit (Safety Audit) will involve reviewing case records and other documents from participating agencies, as well as observing the work practices of individual practitioners. The Safety Audit Team will meet throughout the process to read and discuss the information collected. Efforts will be made to remove personally identifiable details from any case files, reports, and other materials to be reviewed. To ensure the integrity of the process, respect the role of individual practitioners, and protect the privacy of community individuals, team members agree to the following:

1. The material collected and distributed to team members is intended only for use in conducting the Safety Audit and to inform the team and policymakers on the need for changes in intervention practices.
2. Team members will keep any materials containing case information confidential, in a secure location, and will return materials to the Audit Coordinator as requested on designated dates.
3. In public presentations, trainings, and other settings outside of the Safety Audit Team meetings, team members will preface the use of specific case examples by noting that names and other personally identifiable information for those involved have been changed (redacted). Team members will not use such examples locally without discussing the use of such material with the team.
4. Team members will not remove any nonpublic forms, files, or other records containing personally identifiable information, unless specifically agreed upon with the agency holding those files.
5. Only the Safety Audit Team can make and release findings. Team members agree to follow agreed-upon processes for releasing information about the Safety Audit to agency administrators, the news media, and others.
6. In the unlikely circumstance where a member of the Safety Audit Team observes a practice that requires immediate attention, either because of threats to a person's safety or apparent professional misconduct, that team member and the Audit Coordinator will privately communicate their concerns to an appointed designee of the applicable organization. Furthermore, the Safety Audit Team member will not act as an advocate for an individual, but may refer people to advocacy services in the community.

Safety Audit Team Member Signature: _____

Print Name: _____ Date: _____

PLEASE RETURN THE SIGNED ORIGINAL TO THE SAFETY AUDIT COORDINATOR:
[Safety Audit Coordinator's name and contact information]



APPENDIX D: SAMPLE PROGRAM ANNOUNCEMENT

This announcement was taken from:

<https://www.facebook.com/sanctumhouse/posts/1441605949201659:0>

\$675,000 AWARDED TO SANCTUM HOUSE TO PROVIDE 24 HOUR CRISIS INTERVENTION AND RESIDENTIAL REFERRALS FOR VICTIMS OF HUMAN TRAFFICKING DETROIT, MI:

On Sept 29, 2016, The Department of Health and Human Services Administration for Children and Families awarded \$225,036 annually for three years to Sanctum House. Sanctum House is launching a \$2.5 million fundraising effort to expand services that includes residential housing. While working to open the first home, Sanctum House is raising awareness of human trafficking and brings restoration and healing to its victims. Sanctum House will provide residential and non-residential treatment programs. Sanctum House will utilize a multi-disciplinary team to provide comprehensive services for sex trafficked women in a loving environment, including counseling, life skills training, education, and case management. The program will utilize a holistic approach to rehabilitation by providing comprehensive services to address the physical, psychological, and spiritual aspects of recovery.

ABOUT SANCTUM HOUSE Sanctum House is a Southeastern Michigan-based non-profit 501(c) 3 organization. This 24-month residential program will provide housing and comprehensive services focused on personal transformation. The Program is also intending to expand outreach, build partnerships, and foster collaborations among multiple service providers (community health care, human services, legal services, etc.) within communities to support these efforts. We will address our victims need for trauma care and will increase awareness and prevention education among at-risk populations. “As more people become knowledgeable of this injustice to human beings, the national discussion is encouraging people to report incidents of human trafficking that would have not reported before”, says Edee Franklin, Founder and President of Sanctum House. Human trafficking is a crime that involves the exploitation of a person for the purposes of compelled labor or a commercial sex act using force, fraud, or coercion. Anyone can be a victim.

QUICK FACTS

- Human Trafficking has been reported in all 50 states and at least 185 countries
- It has been estimated that as many as 17,500 – 22,000 people are trafficked into the United States annually
- International Labor Organization estimates 20.9 million people across the globe for are trafficked for both labor and sexual exploitation
- The United Nations estimates that about 26% of the global number of modern day slaves are minors
- Human trafficking is estimated to be a \$150 billion global industry (International Labor Organization)
- The current average cost of a slave around the world is \$90
- There are less than 30 beds in Michigan totally for either long or short term treatment for adults
- There are no long-term comprehensive programs for rescued women in need of healing and restoration in Southeastern Michigan
- Michigan and the nation are experiencing an increase in incident rate based on calls to the National Human Trafficking Resource Center

To discover more about Sanctum House and how you can get involved visit www.sanctumhouse.org or contact us at info@sanctumhouse.org or 248 574-9373. Sanctum House is a 501(c) 3 non-profit organization.



APPENDIX E: SAMPLE BUDGET WORKSHEET

Grant/Project Budget Worksheet

I. Budget Summary

Class Category	Amount
a. Personnel	\$ 69,000
b. Fringe Benefits	\$ 19,148
c. Travel	\$ 1,404
d. Equipment	\$ 1,200
e. Supplies	\$ 720
f. Contractual	\$ 115,000
g. Construction	\$ -
h. Other	\$ 13,528
i. Total Direct Charges	\$ 220,000
j. Total Indirect Charges	\$ -
k. Total Charges	\$ 220,000

This budget can be "Saved As" and used to build your own grant/project budget or for long-term planning to sustain programs.

II. Budget Details

a. Personnel	Base Salary	Monthly Salary	# of Months	FTE	Total (Rounded)
Key Project Staff	\$ 50,000	\$ 4,166.67	12	1.00	\$ 50,000
Supervising Staff	\$ 65,000	\$ 5,416.67	12	0.25	\$ 16,250
Finance Staff	\$ 55,000	\$ 4,583.33	12	0.050	\$ 2,750
		\$ -	12		\$ -
		\$ -	12		\$ -
Total Personnel:					\$ 69,000

These numbers are all just examples. This worksheet's formulas can be used by plugging in the appropriate costs/numbers for your organization and project.

b. Fringe Benefits	Total Personnel	Fringe Rate	# of Months	FTE	Total (Rounded)
Key Staff	\$ 50,000	27.75%	12	1	\$ 13,875
Supervising Staff	\$ 16,250	27.75%	12	0.25	\$ 4,509
Finance Staff	\$ 2,750	27.75%	12	0.05	\$ 763
		27.75%	12		\$ -
		27.75%	12		\$ -
Total Fringe Benefits:					\$ 19,148

c. Travel	Staff	Item(s)	Days/Nights	Cost per Item	Total (Rounded)
1) Trip #1 - National Human Trafficking Conference					
Airfare	1		1	\$ 400	\$ 400
Lodging	1		3	\$ 220	\$ 660
Per Diem	1		4	\$ 61	\$ 244
Ground Transportation	1		1	\$ 100	\$ 100
2) Trip #2 - City, State					
Airfare				\$ -	\$ -
Lodging				\$ -	\$ -
Per Diem				\$ -	\$ -
Ground Transportation				\$ -	\$ -
Total Travel:					\$ 1,404

d. Equipment	# of Items	Cost per Item	Total (Rounded)
Computer/Laptop	1.0	\$ 1,200.00	\$ 1,200
Equipment 2		\$ -	\$ -
Total Equipment:			\$ 1,200

e. Supplies	# of Items	Cost per Item per Month	# of Months	Total (Rounded)
Program Supplies	1	\$ 60.00	12	\$ 720
Total Supplies:				\$ 720

f. Contractual	Amount	Total (Rounded)
Subgrant 1	\$ 40,000	\$ 40,000
Subgrant 2	\$ 40,000	\$ 40,000
Subgrant 3	\$ 17,500	\$ 17,500
Subgrant 4	\$ 17,500	\$ 17,500
Total Contractual:		\$ 115,000



g. Construction	# of Items	Cost per Item		
Total Construction		\$ -		\$ -

h. Other					
	Mileage	Staff/Items Etc	# of Months	\$ Per Mile	
Mileage	200	1	12	\$ 0.535	\$ 1,284
	Cost per Item	Staff/Items Etc	# of Months		
Office Rent & Utilities	\$ 600	1.00	12.00		\$ 7,200
General Insurance	\$ 100	1.000	12.00		\$ 1,200
Office Phone, Internet, Fax	\$ 50	1.000	12.00		\$ 600
Copier Rental	\$ 50	1.000	12.00		\$ 600
Postage, Courier, Delivery	\$ 50	1.000	12.00		\$ 600
Software Purchase & Licensing	\$ 50	1.000	12.00		\$ 600
\$ In State Travel					
- Per Diem	\$ 61	8	1		\$ 488
Lodging	\$ 86	4	1		\$ 344
Outreach Materials	\$ 432	1.000	1.00		\$ 432
Staff/Volunteer Background Ct	\$ 45	4.000	1.00		\$ 180
Total Other					\$ 13,528

i. Total Direct Costs					\$ 220,000
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j. Indirect Charges	Direct Charges	Deductions	\$ for ICR Calc	ICR Rate	
Total Indirect Charges	\$ 220,000	\$ -	\$ 220,000	0.00%	\$ -

If you have an indirect cost agreement (NICRA) with the Federal Government, you can include that rate here.

k. Total Charges					\$ 220,000
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APPENDIX F: SAMPLE EXPENDITURE TRACKING REPORT

Create a workbook with tabs for each month to help you track monthly expenditures and compare them to your project or grant budget.

Monthly Budget vs. Actual Expense Tracking Report

OTIP Human Trafficking Project

Grant No. _____ ; Internal Grant/Project Code _____

Financial Report Covering the Month: Sep-17

	Grant Budget	Previously Reported Expenditures*	Current Period/Month Expenditures	Grant to Date Expenditures	Remaining Balance
I. Personnel Salaries	\$69,000		\$5,930.00	\$5,930.00	\$63,070.00
<i>i. Key Staff</i>	\$50,000		\$4,377.00	\$4,377.00	\$45,623.00
<i>ii. Supervisor Staff</i>	\$16,250		\$1,253.00	\$1,253.00	\$14,997.00
<i>iii. Finance Staff</i>	\$2,750		\$300.00	\$300.00	\$2,450.00
				\$0.00	\$0.00
				\$0.00	\$0.00
II. Fringe Benefits	\$19,148		\$1,500.00	\$1,500.00	\$17,648.00
III. Travel	\$1,404		\$0.00	\$0.00	\$1,404.00
<i>i. Airfare</i>	\$400			\$0.00	\$400.00
<i>ii. Lodging</i>	\$660			\$0.00	\$660.00
<i>iii. Per Diem</i>	\$244			\$0.00	\$244.00
<i>iv. Ground Transport</i>	\$100			\$0.00	\$100.00
IV. Equipment	\$1,200			\$0.00	\$1,200.00
V. Supplies	\$720			\$0.00	\$720.00
VI. Contractual	\$115,000		\$12,400	\$12,400.00	\$102,600.00
Sub-grant 1	\$40,000		\$5,000.00	\$5,000.00	\$35,000.00
Sub-grant 2	\$40,000		\$5,000.00	\$5,000.00	\$35,000.00
Sub-grant 3	\$17,500		\$1,200.00	\$1,200.00	\$16,300.00
Sub-grant 4	\$17,500		\$1,200.00	\$1,200.00	\$16,300.00
VII. Construction	\$0			\$0.00	\$0.00
VIII. Other	\$13,528		\$1,115.00	\$1,115.00	\$12,413.00
Mileage	\$1,284		\$100.00	\$100.00	\$1,184.00
Office Rent & Utilities	\$7,200		\$600.00	\$600.00	\$6,600.00
General Insurance	\$1,200		\$50.00	\$50.00	\$1,150.00
Office Phone, Internet, Fax	\$600		\$50.00	\$50.00	\$550.00
Copier Rental	\$600		\$50.00	\$50.00	\$550.00
Postage, Courier, Delivery	\$600		\$50.00	\$50.00	\$550.00
Software Purchase & Licensing	\$600		\$50.00	\$50.00	\$550.00
In State Travel				\$0.00	\$0.00
- Per Diem	\$488			\$0.00	\$488.00
Lodging	\$344			\$0.00	\$344.00
Outreach Materials	\$432		\$120.00	\$120.00	\$312.00
Staff/Volunteer Background Checks	\$180		\$45.00	\$45.00	\$135.00
Total Direct Costs	\$220,000		\$20,945.00	\$20,945.00	\$199,055.00
Indirect Costs	\$0			\$0.00	\$0.00
Total Costs	\$220,000	\$0.00	\$20,945.00	\$20,945.00	\$199,055.00

Review & Approvals	
Signature, Project Manager	Date
Signature, Regional Controller, Finance	Date
Signature, Senior Program Officer, Grants Unit	Date



APPENDIX G: SAMPLE SITE VISIT REPORT

Organization Name

Grant Name

Site Visit Report

Subrecipient Name:

Date of Site Visit:

Subrecipient Staff/Board Members Who Participated in Site Visit:

Organization Staff Who Conducted Site Visit:

OVERVIEW OF SITE VISIT GENERAL DISCUSSION

FINDINGS

Personnel:

Fiscal:

Programming:

SITE ACTION ITEMS (including corrective action, if needed)

ADDITIONAL RECOMMENDATIONS



APPENDIX H: EVALUATION MODELS

Evaluation Type	When to Use	What It Shows	Why It Is Useful
Needs assessment (also referred to as: evaluability assessment or formative evaluation)	<ul style="list-style-type: none"> - During the development of a new program - When an existing program is modified/used in a new setting/with a new population 	<ul style="list-style-type: none"> - Whether the proposed program elements are likely to be needed, understood, and accepted by the population the program wants to reach - The extent to which an evaluation is possible, based on the goals and objectives 	<ul style="list-style-type: none"> - Allows for modifications to be made to the plan before full implementation begins - Maximizes the likelihood that the program will succeed
Process evaluation or program monitoring	<ul style="list-style-type: none"> - As soon as program implementation begins - Throughout the operation of an existing program 	<ul style="list-style-type: none"> - How well the program is working - The extent to which the program is being implemented as designed - Whether the program is accessible and acceptable to its target population 	<ul style="list-style-type: none"> - Provides an early warning for any problems that may occur - Allows programs to monitor how well their program plans and activities are working
Outcome evaluation	<ul style="list-style-type: none"> - After the program has starts to assist clients 	<ul style="list-style-type: none"> - The degree to which the program has an effect on the target population's behaviors - Demonstrates short- and long-term results of the program 	<ul style="list-style-type: none"> - Tells whether the program is effective in meeting its objectives
Cost-benefit analysis (also referred to as: cost analysis, cost-effectiveness evaluation, economic evaluation, or cost-utility analysis)	<ul style="list-style-type: none"> - At the beginning of a program - Throughout the operation of an existing program 	<ul style="list-style-type: none"> - What resources are used in a program and their costs (direct and indirect) - Sometimes this is compared to outcomes 	<ul style="list-style-type: none"> - Provides program managers and funders a way to assess cost - Sometimes the cost can be evaluated relative to effects

* Table adapted from: Centers for Disease Control and Prevention (n.d). Types of Evaluations. Retrieved 11-8-2017 from <https://www.cdc.gov/std/Program/pupestd/Types%20of%20Evaluation.pdf>.



APPENDIX I: EXAMPLES OF PROGRAM AND DATA COLLECTION AREAS

Program Area	Examples
Participant experience	<ul style="list-style-type: none"> - Collect demographic data to demonstrate who is being served and identify potential gaps - Assess client needs and track how those needs were addressed by the program - Conduct entrance/exit surveys to determine whether change has occurred - Consider conducting focus groups (preferably by third party) - Create a confidential platform for clients to share experiences, voice concerns, and exchange ideas on how systems or processes can be improved
Staff, funded partners, and other stakeholder experiences	<ul style="list-style-type: none"> - Conduct regular check-in meetings - Review performance and discuss ways to improve performance - Create a confidential platform for staff to share experiences, voice concerns, and exchange ideas on how systems or processes can be improved
Finance	<ul style="list-style-type: none"> - Regularly review budget reports - Consider working with a financial auditor who can assess the organization's financial performance and systems
Prevention and education	<ul style="list-style-type: none"> - Review training/educational awareness campaigns - Collect demographics on who is requesting/receiving materials - Create simple paper or online survey for clients to complete after program-sponsored training or presentation (see example at https://www.surveymonkey.com/r/HTTtrainingFeedback).



APPENDIX J: DATA COLLECTION PROS AND CONS

Method	Pros	Cons
Qualitative Methods		
Interviews	<ul style="list-style-type: none"> - Allows for clarification - High response rate - Able to gather in-depth information - Can tailor the discussion to each participant - Easier to reach underserved populations - Easier to ask open-ended questions and pick up on nonverbal cues - More personalized approach 	<ul style="list-style-type: none"> - Interviewers presence may bias the results - Requires strong interview skills - Slowest method of data collection - Participants who prefer anonymity may not like this method - Difficult to analyze and quantify results - Expensive
Focus groups	<ul style="list-style-type: none"> - Generate fresh ideas - Allows clarification - Efficiency of getting information from a number of people - Less expensive and faster than interviews - Group members stimulate each other 	<ul style="list-style-type: none"> - Moderately time consuming - Moderately expensive - Lack of confidentiality - Input maybe unbalanced because some group members dominate - May be difficult to analyze or quantify data
Activity observations	<ul style="list-style-type: none"> - Setting is natural, flexible, and unstructured - Can be combined with other data collection methods - Generates relevant, quantifiable information - Most useful for studying "small unit," such as a group counseling session, intakes, etc. 	<ul style="list-style-type: none"> - Requires skilled observer - The evaluator has less control over the situation - Hawthorne effect: If group is aware that they are being observed, their behavior might be affected - Not realistic for large groups - Observations are not generalizable



Method	Pros	Cons
Quantitative Methods		
Written surveys	<ul style="list-style-type: none"> - Standardization - Easy to do with large group - Easier to administer - Can be inexpensive - Usefulness enhanced if combined with other methods - Sample can be used to provide information about a population - Participants can complete them at a time convenient for them - Anonymity and confidentiality 	<ul style="list-style-type: none"> - Prone to error - Requires separate data-entry step - Subject to misinterpretation depending on how questions are designed and asked - Samples must be carefully selected to ensure statistical meaning - Time consuming compared with less formal methods - Requires that participants be functionally literate
Archival data	<ul style="list-style-type: none"> - Low cost - Relatively quick to obtain and analyze - Unobtrusive - Allows for historical comparisons or trend analysis 	<ul style="list-style-type: none"> - Record keeping might be inconsistent or variable - Data will be limited in scope – usually not including information on knowledge, attitudes, opinions - May not provide a complete picture of what is being evaluated