



VICTIMS OF CRIME ACT (VOCA)

VICTIM ASSISTANCE FORMULA GRANT

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PROGRAM & FINANCIAL GUIDELINES AND INSTRUCTIONS

Justice & Public Safety Cabinet Grants Management Branch

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**JUSTICE & PUBLIC SAFETY CABINET
GRANTS MANAGEMENT BRANCH
VOCA VICTIM ASSISTANCE FORMULA GRANT**

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INTRODUCTION

The primary objective of the Victims of Crime Act (VOCA) Victim Assistance Formula Grant Program is to provide direct assistance to victims of crime. That assistance is achieved through a variety of methods. These include local government, private nonprofit organizations enhancing or expanding their direct services to victims of crime, encouraging states to improve assistance to crime victims and promoting the development of comprehensive services to all victims of crime.

This solicitation will establish program and financial policy as well as provide administrative guidance to effectively manage VOCA Victim Assistance Formula Grants. There are additional instructions for the VOCA application, grant management process and requirements.

The Program & Financial Guidelines and Instructions are consistent with the U.S. Department of Justice (USDOJ) Office for Victims of Crime (OVC), and the Victims of Crime Act (VOCA) of 1984. Funds distributed by USDOJ are awarded, through a competitive process, by the Justice and Public Safety Cabinet (JPSC) to state agencies, units of local government, and private nonprofit organizations. Successful applications must comply with priorities established by USDOJ and JPSC.

AWARD PERIOD

The standard award period is one year (12 months) from October 1 through September 30.

APPLICATION OPEN PERIOD DATES

The VOCA16 grant application will be available in eGMS on May 16, 2016, and close on June 30, 2016, at midnight.

ELECTRONIC GRANTS MANAGEMENT SYSTEM (eGMS)

All grant activities are managed through the Kentucky Justice & Public Safety Cabinet's Electronic Grants Management System (eGMS), also known as *Intelligrants*.

Applications should be submitted via eGMS by the submission deadline referenced in this document.

New applicants must establish a user account at www.kyjusticegms.com. Please note validation of new user accounts will take 48-72 business hours. It is not necessary to establish an additional account for returning applicants.

The Authorized Official (AO), designated in eGMS by the applicant, will receive a confirmation e-mail upon successful submission of an application. This should be retained for the applicant's records. Applicants have the ability to access the system to confirm status in the "Information" section or the screen header. Please contact Grants Management Branch(GMB) staff prior to the submission deadline if a confirmation has not been received. Questions may be directed to the staff identified on the Contacts page, or by e-mail at askgmb@ky.gov. Please refer to *eGMS SYSTEM INFORMATION* for further instructions and information.

Grant Proposal. All proposals should be concise, clearly written and submitted through the Kentucky Justice and Public Safety Cabinet's Electronic Grants Management System (eGMS), also known as *Intelligrants*. Major points must be supported by local facts and data, with appropriate citations.

Be sure to read the instructions at the top of each page before populating and saving. Most eGMS text-box application pages will track character limits (number of letters utilized) and display the maximum number of character limits per text-box allowed. It is highly recommended agencies use a Word document to create the application for several reasons. Word will track the number of characters and allows for spelling and grammar

corrections, formatting, and other changes. Also, eGMS activity “times out” after 20 minutes. It may be easier to cut and copy from a Word document so information is not lost after a period of inactivity.

Data Universal Numbering System (DUNS) number. The Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their application for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1–2 business days.

Letters of Support. All submissions must include three (3) original letters of support from other victim-related agencies within your community. Upload the scanned, dated, and signed letters to the “Attachments” page.

PROGRAM MATCH

Program Match is required for this grant opportunity. Matching contributions of 20 percent, cash or in-kind, of the total project cost (VOCA federal share plus match equal total project cost) are required and must be derived from non-federal sources, except as provided in the [USDOJ OJP Financial Guide](#) (Part III. Post Award Requirements; Chapter 3.3 Matching or Cost Sharing Requirements). All funds designated as match are restricted to the same uses as the VOCA victim assistance funds and must be expended within the grant period. Match must be provided on a project-by-project basis. For more information see the section entitled ***General Financial requirement and Instructions.***

New programs that have not yet demonstrated a record of providing services may be eligible to receive VOCA funding if they can demonstrate that 25 percent of their financial support comes from non-federal sources.

Match Waiver Option: The option to apply for a full (20%) match waiver is new for VOCA16. OVC has final approval or denial authority. Match waivers follow a standardized JPSC process outlined in eGMS (see below) where additional information and a sample match waiver request letter are found; see the “Source of Match” page. Your signed match request letter will need to be uploaded into eGMS. Complete waivers generally will not be granted to subrecipients that already have been providing match on their existing awards. However, **if states and subrecipients can provide a strong justification regarding why the subrecipients would not be able to meet the match on additional funding directed to them from the FY16 appropriation, OVC will consider a partial waiver on the additional funding.** New VOCA16 applicants may also apply for a match waiver request.

ELIGIBILITY AND REQUIREMENTS

VOCA establishes eligibility criteria that must be met by organizations requesting VOCA funds. These funds will be awarded to subrecipients solely for the purpose of providing direct services to victims of crime.

Each subrecipient organization shall meet the following requirements:

- 1. Public or Nonprofit Organization.** To receive VOCA funds, organizations must be public or nonprofit or a combination thereof and provide direct services to crime victims.

All subrecipients of VOCA Assistance funding are required to certify their nonprofit status by submitting a statement to GMB within 45 days after the award start date of October 1. The nonprofit certification must include one of the following:

1. A copy of the recipient's IRS 501(c)(3) designation letter;
2. A letter from the recipient's state/territory taxing body or state/territory attorney general affirming that the recipient is a nonprofit organization operating within the state/territory; OR
3. A copy of the recipient's state/territory certificate of incorporation that substantiates its nonprofit status.

All nonprofit subrecipients of VOCA Assistance funding under this award agree to make their financial statements available to the public. Grants Management Branch will post the required documents on the Justice and Public safety Cabinet website.

- 2. Record of Effective Services.** All applicants must demonstrate a record of providing effective direct services to crime victims. This includes having the support and approval of its services by the community, a history of providing direct services in a cost-effective manner, and financial support from other sources where applicable. An existing program shall be considered to have financial support from other sources if at least twenty percent (20%) of its support (including in-kind) is from sources other than the state's crime victim assistance grant, unless a match waiver is granted from OVC and administered through JPSC. New program applicants shall be considered to have financial support from other sources if at least twenty five percent (25%) of its support (including in-kind) is from sources other than the state's crime victim assistance grant. A financial capability questionnaire must be completed for all applicants. Additional financial information may be requested for new applicants. See General Financial Requirements and Instructions section for the link to this form.
- 3. Volunteers.** Subrecipient organizations must use volunteers, unless GMB determines there is a compelling reason to waive this requirement. A compelling reason may be a statutory or contractual provision concerning liability or confidentiality of counselor/victim information, which precludes using volunteers for certain positions, or the inability to recruit and maintain volunteers after a sustained and aggressive effort. Programs are required to maintain and document a minimum of 200 volunteer hours during the grant award period. Volunteer time must include direct services to victims of crime. Signed volunteer timesheets with duties listed are required, as are confidentiality forms.
- 4. VOCA-funded Staff Training Requirement.** Project staff funded in total, or in part, by the VOCA Victim Assistance Grant must complete a minimum of 12 hours of victim assistance training during the grant award period. The hours must be reported in eGMS per quarter with records maintained at their location.
- 5. Advance Community Efforts to Aid Crime Victims.** Subrecipients must demonstrate positive effort in the community to aid crime victims by serving on federal, state, or local task forces, commissions, coalitions, multi-disciplinary teams and developing written agreements. These efforts qualify an organization to receive VOCA victim assistance funds, but *are not* activities that can be supported with VOCA funds.
- 6. Help Victims Apply for Compensation Benefits.** Subrecipients are required to assist victims applying for compensation benefits. Such assistance may include: identifying and notifying crime victims of the availability of compensation; assisting victims with application forms and procedures; obtaining necessary documentation, and/or checking on claim status. For further information, please go to: <http://www.cvcb.ky.gov>.
- 7. Comply with Federal Rules Regulating Grants.** Subrecipients must comply with the applicable provisions of VOCA, <http://ojp.gov/ovc/grants/index.html> and the requirements of the [USDOJ OJP Financial Guide](http://www.usdoj.gov/financialguide) effective edition, http://ojp.gov/financialguide/DOJ/pdfs/2015_DOJ_FinancialGuide.pdf which includes maintaining appropriate programmatic and financial records that fully disclose and document the amount and disposition of VOCA funds received. Items that should be included, but not limited to, are:

- financial documentation for disbursements
 - daily time and attendance records specifying time devoted to allowable VOCA victim services
 - client files
 - portion of the project supported by other sources of revenue
 - job descriptions
 - contracts for services
- 8. Federal Civil Rights:** The subrecipient must view the on-line training and submit verification to the VOCA Administrator. The sub-grantee acknowledges viewing of OJP Civil Rights Non-Discrimination training with submission of signed VOCA Contract. OJP Civil Rights Non-Discrimination Training (six training videos) can be viewed on their website at <http://ojp.gov/about/ocr/assistance.htm>. Subrecipients must maintain statutorily required civil rights statistics on victims served - by race, national origin, sex, age, and disability - within the timetable established by the Grants Management Branch, and permit reasonable access to its books, documents, papers, and records to determine whether the subrecipient is complying with applicable civil rights laws. This requirement is waived when providing a service, such as telephone counseling, where soliciting the information may be inappropriate or offensive to the crime victim. Additional demographic data is included in OVC's PMT (performance measures tool) required quarterly reporting system.
- 9. Non-Discrimination.** Subrecipients receiving financial assistance from OJP must comply with the Federal statutes and regulations that prohibit discrimination in federally assisted programs or activities. Sub-grantees receiving Department of Justice funds, such as Victim of Crime Act (VOCA) funds, are required to obtain Federal Civil Rights Non-Discrimination training. The Office for Civil Rights ensures that recipients of financial assistance from Office of Justice Programs (OJP) and its components are not engaged in prohibited discrimination.
- 10. Performance Measurement Tool (PMT).** Sub-grantees are required to track demographic and service information on clients served with VOCA and matching funds. The quarterly Performance Measure Report identifies how VOCA funds were expended and is due fifteen (15) days after the end of each federal fiscal quarter.
- 11. Sub-grant Award Reports (SAR).** Sub-grantees are required to submit a Subgrant Award Report (SAR) in the PMT for each project that receives VOCA funds, within thirty (60) days of the Subaward date. The Sub-Grant Award Report identifies how the awarded funds will be used.
- 12. Services to Victims of Federal Crimes.** Subrecipients must provide services to victims of federal crimes on the same basis as victims of state/local crimes.
- 13. No Charge to Victims for VOCA-Funded Services.** Subrecipients must provide services to crime victims, at no charge, through the VOCA-funded project. Any deviation from this provision requires prior approval by GMB.
- 14. Client-Counselor Confidentiality.** Subrecipients must maintain confidentiality of client-counselor information, as required by state and federal law.
- 15. Confidentiality of Statistical and Research Information.** Except as otherwise provided by federal law, no recipient of funds under VOCA shall use or reveal any statistical information furnished under this program by any person, and identifiable to any specific person, for any purpose other than the purpose for which such information was obtained, in accordance with VOCA. Such information, and any copy of such information, shall be immune from legal process and shall not, without the consent of the person furnishing

such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceeding. See Section 1407(d) of VOCA codified at 42 U.S.C. 10604.

These provisions are intended, among other things, to ensure the confidentiality of information provided by crime victims to counselors working for victim services programs receiving VOCA funds. Whatever the scope of application given this provision, it is clear that there is nothing in VOCA or its legislative history to indicate that Congress intended to override or repeal, in effect, a state's existing law governing the disclosure of information which is supportive of VOCA's fundamental goal of helping crime victims. For example, this provision would not act to override or repeal, in effect, a state's existing law pertaining to the mandatory reporting of suspected child abuse.

- 16. Ineligible Recipients:** Federal agencies including U. S. Attorney’s and FBI Field Offices are not eligible to apply for funding under this program. In-patient facilities such as those designed to provide treatment to individuals with drug, alcohol and/or mental health-related conditions are not eligible.

<h2 style="text-align: center;">List of Things You Can Currently Do Under Existing VOCA Victim Assistance Guidelines</h2>		
1	Serve Priority Victims of Crime	The Victims of Crime Act (VOCA) requires states to certify that priority shall be given to eligible crime victim assistance programs providing assistance to victims of sexual assault, spousal abuse, or child abuse . See VOCA Section 10603(a)(2)(A). A minimum of 10% of each Federal Fiscal Year (FFY) (30% total) will be allocated to each of these “priority categories.” See Final VOCA Victim Assistance Program Guidelines, Section IV.A.3. OVC interprets the VOCA and Guidelines definition of “child abuse” to include any harm to children, including pornography and sexual exploitation.
2	Serve Previously Underserved Victims of Crime	VOCA also requires states to make funds available for grants to programs which serve previously underserved populations of victims of violent crime. See VOCA Section 10603(a)(2)(B). Ten percent (10%) of each VOCA grant will be allocated to victims of violent crime (other than “priority” category victims) who were “previously underserved.” These underserved victims of either adult or juvenile offenders may include, but are not limited to, victims of federal crimes; survivors of homicide victims; or victims of assault, robbery, gang violence, hate and bias crimes, intoxicated drivers, bank robbery, economic exploitation and fraud, and elder abuse. To meet the underserved requirement, state grantees must identify crime victims by the types of crime they have experienced (e.g., drunk driving, sexual assault, or domestic violence). States are encouraged to also identify gaps in available services by victims’ demographic characteristics, including tribal, disenfranchised male victims of color, LGBTQ, financial fraud, victims of sexual assault on college campuses, non-English speaking residents, persons with disabilities, members of racial or ethnic minorities, or by virtue of the fact that they are residents of rural or remote areas, or inner cities. Each state grantee has latitude for determining the method for identifying “previously underserved” crime victims. See Final VOCA Victim Assistance Program Guidelines, Section IV.A.4
3	Serve Undocumented Victims	Victim assistance programs should not deny services to undocumented crime victims. See attached June 28, 2010 List Serve Message to VOCA Administrators, “Clarification regarding the applicability of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 to VOCA Victim Compensation and Victim Assistance Programs.”

4	Award Funds to Eligible Subrecipients/Programs	<p>Eligible organizations include victim services organizations whose sole mission is to provide services to crime victims (e.g., sexual assault and rape treatment centers, domestic violence programs and shelters, child abuse programs, centers for missing children, mental health services, and other community-based victim coalitions and support organizations including those who serve survivors of homicide victims). In addition to victim services organizations, whose sole purpose is to serve crime victims, there are many other public and nonprofit organizations that have components which offer services to crime victims (e.g., criminal justice agencies, religiously-affiliated organizations, state crime victim compensation agencies; hospitals and emergency medical facilities, mental health service organizations, state/local public child and adult protective services, state grantees, legal services agencies and programs with a demonstrated history of advocacy on behalf of domestic violence victims, and public housing authorities that have components specifically trained to serve crime victims.) See Final VOCA Victim Assistance Program Guidelines, Section IV.C.</p> <p>Court Appointed Special Advocates (CASA) programs are also eligible to receive funding to support services to victims of crime. Not all children represented by Court Appointed Special Advocates are victims of crime. OVC views child neglect and abandonment as serious crimes that can harm children as severely as physical and sexual abuse. Neglect ranges from parents keeping their children out of school to leaving a child unfed in an empty house. CASA programs may use VOCA funds to support services to child victims of neglect and/or abandonment. VOCA funds may also support the salary of a coordinator of volunteers within a CASA program whose responsibilities may include supervising and training all CASA volunteers, but the VOCA funds may pay only for the time the coordinator devotes to supervising and/or training those volunteers who provide direct services to child victims of physical and sexual abuse, criminal neglect, and abandonment. Refer to the OVC Fact Sheet – Funding Court Appointed Special Advocate Programs at https://www.ncjrs.gov/ovc_archives/factsheets/casa.htm</p>
5	Award Funds for Legal Assistance and Legal Clinics	<p>Victim assistance programs can provide emergency legal assistance such as filing restraining orders and obtaining emergency custody/visitation rights when such actions are directly connected to family violence cases and are taken to ensure the health and safety of the victim. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.1.a. Other allowable legal assistance expenses under the current Guidelines include, but are not limited to: advocacy on behalf of crime victims during criminal proceedings; assistance in recovering and restitution on behalf of crime victims; asserting crime victims’ rights in criminal proceedings directly related to the victimization; advocacy to protect victims’ safety, privacy, or other interests as a victim in criminal proceedings. Additionally, in the civil proceeding context, services may include those that are reasonably needed as a direct result of the victimization, but do not include tort actions, divorce, or civil restitution efforts.</p> <p>In 2010, after discussions with VOCA Assistance Administrators and stakeholders, OVC reviewed the current program Guidelines and determined that VOCA victim assistance formula funds can support legal clinics, as long as the clinics have a victim focus and the services offered relate to the victimization (and do not include civil restitution efforts or divorces). See attached June 7, 2010 listserv message to VOCA Administrators, “VOCA Victim Assistance Formula Funding for Legal Clinics.”</p>
6	Award Funds for Innovative Types of Shelter including Transitional Housing	<p>Victim assistance programs can provide shelter (including emergency, short-term nursing home shelter for elder abuse victims for whom no other safe, short-term residence is available). See Final VOCA Victim Assistance Program Guidelines, Section IV.E.1.a. OVC interprets the Guidelines as including emergency, transitional housing that is needed in order to protect the immediate health and safety of victims and for whom no other safe, short-term residence is available. VOCA funds may be used to support staff time in locating resources to assist victims</p>

		<p>with these expenses. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.3.i.</p> <p>VOCA funds <i>cannot</i> support relocation expenses for crime victims such as moving expenses, security deposits on housing, ongoing rent, and mortgage payments. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.3.i.</p>
7	Award Funds for Forensic Interviews	OVC interprets the Guidelines to allow for victim assistance funding to be used for forensic interviews for children and individuals with disabilities . See Final VOCA Victim Assistance Program Guidelines, Sections IV.E.1(a) and (b).
8	Allow Subrecipients to Make minor Building Alterations/Improvements	Victim assistance funds may be used for minor building alterations/improvements that make victims services more accessible to persons with disabilities. Victim assistance funds may be used to purchase equipment and furniture for rooms that are used to provide services to child victims, and victim assistance funds may be used to paint those rooms . Other improvements should be discussed with your program specialist, as they are considered policy questions and must come to the attention of the OVC Deputy Director and Director. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.2.d
9	Use a Conduit/Pass-through Entity	State administering agencies may choose to award administrative funds to a "conduit/pass-through" organization that assists in selecting qualified subrecipients and/or reduces the state grantee's administrative burden in implementing the grant program. However, the use of a "conduit/pass-through" organization does not relieve the state grantee from the ultimate programmatic and financial responsibilities. See Final VOCA Victim Assistance Program Guidelines, Section III.B.2
10	Require Program Match and/or Request a Waiver of the Match	Programs are required to provide a 20% match, except the U.S. territories, not including Puerto Rico. See Final VOCA Victim Assistance Program Guidelines, Section IV.B.4. OVC may waive the match requirement if extraordinary need is documented by State VOCA administrators. See Final VOCA Victim Assistance Program Guidelines, Section IV.B.4.(b)(3). OVC expects VOCA Administrators to work closely with subrecipients and coalitions to address the match issue and decide whether to submit a request that OVC waive the match requirement in whole or in part. Whole waivers generally will not be granted to subrecipients that already have been providing match on their existing awards. However, if states and subrecipients can provide a strong justification regarding why the subrecipients would not be able to meet the match on additional funding directed to them from the increased appropriation, OVC will consider a waiver on the additional funding.
11	Promote Community Efforts to Aid Crime Victims	VOCA funds can be used by subrecipients to promote, within the community, coordinated public and private coordination activities to aid crime victims. Coordination activities include, but are not limited to, serving on state, federal, local, or Native American task forces, commissions, working groups, coalitions, and/or multidisciplinary teams. Coordination efforts also include developing written agreements that contribute to better and more comprehensive services to crime victims. See Final VOCA Victim Assistance Program Guidelines, Section IV.B.6
12	Use Administrative Funds at the State Level to Support Strategic Plans, Surveys/Needs Assessments, and Technology	State Administering Agencies can use administrative funds to develop strategic plans on a state and/or regional basis, conduct surveys and needs assessments, promote innovative approaches to serving crime victims such as through the use of technology. See Final VOCA Victim Assistance Program Guidelines, Section III.B.2.a.
13	Allow Subrecipients to Purchase Equipment/Technology	Victim assistance funds can be used to purchase equipment, which OVC interprets to include technology . VOCA funds cannot support the entire cost of an item that is not used exclusively for victim-related activities. However, VOCA funds can support a prorated share of such an item. In addition, subrecipients cannot use VOCA funds to purchase equipment for another organization or individual to perform a victim-related service. Examples of allowable costs may include beepers; computers; video-tape cameras and players for interviewing children; two way mirrors; and equipment and furniture for shelters, work spaces, victim waiting rooms, and children's play areas. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.2.d.

		<p>Additionally, awarding a grant to advance technologies may be appropriate. Specifically, computers may increase a subrecipient's ability to reach and serve crime victims. In order to receive a grant for advanced technologies, each subrecipient must meet the program eligibility requirements set forth in the Final VOCA Victim Assistance Guidelines, IV.B, Subrecipient Organization Eligibility Requirements. Other requirements apply. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.2.F.</p>
14	Substance Abuse Treatment for Victims	<p>OVC interprets the Final VOCA Victim Assistance Guidelines as allowing for VOCA Victim Assistance Funds to be used, under certain circumstances, to support substance treatment for victims. See Final VOCA Victim Assistance Program Guidelines, Sections IV.E.2 and IV.E.3.h. Specifically, a state grantee and subrecipient must agree that direct services to crime victims cannot be offered without support for these expenses that the subrecipient has no other source of support for them, and that only limited amounts of VOCA funds will be used for these purposes. See Final VOCA Victim Assistance Program Guidelines, Sections IV.E.2. VOCA funds cannot pay for in-patient treatment costs. See Final VOCA Victim Assistance Program Guidelines, Sections IV.E.3.h.</p>
15	Forensic Medical Examinations for Sexual Assault Victims	<p>VOCA Victim Assistance funds may be used to support forensic medical examination expenses for victims of sexual assault. VOCA funds, however, cannot pay for nursing home care (emergency short-term nursing home shelter as described in section IV.E.1.a. is allowable), home health-care costs, in-patient treatment costs, hospital care, and other types of emergency and nonemergency medical and/or dental treatment. VOCA victim assistance grant funds cannot support medical costs resulting from a victimization, except for forensic medical examinations for sexual assault victims. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.3.h</p>
16	Support Supervision of Direct Service Providers	<p>State grantees may provide VOCA funds for supervision of direct service providers when they determine that such supervision is necessary and essential to providing direct services to crime victims. For example, a state grantee may determine that using VOCA funds to support a coordinator of volunteers or interns is a cost-effective way of serving more crime victims. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.2.i.</p>
17	Allow subrecipients to use funds for Personnel Costs for Child Adult Protective Service Workers and SANE Coordinators	<p>VOCA funds can support state/local public child and adult protective services agencies. See Final Program Victim Assistance Guidelines, Section IV.C.5. VOCA funds may be used to pay a portion of the salary for Child Adult Protective Service Workers who are providing direct services to child victims. VOCA funds can also support a portion of the salary for Sexual Assault Nurse Examiners (SANE) Coordinators who are providing direct services to victims of sexual assault. See generally Final VOCA Victim Assistance Program Guidelines, Section IV.E.1.g</p>
18	Allow Subrecipients to participate in Public Presentations	<p>VOCA funds may be used to support presentations that are made in schools, community centers, or other public forums, and that are designed to identify crime victims and provide or refer them to needed services. Specifically, activities and costs related to such programs including presentation materials, brochures, and newspaper notices can be supported by VOCA funds. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.2.k</p>
19	Allow subrecipients to participate in Skills Training for Staff and Volunteers	<p>VOCA funds designated for training are to be used exclusively for developing the skills of direct service providers including paid staff and volunteers, so that they are better able to offer quality services to crime victims. An example of skills development is training focused on how to respond to a victim in crisis. VOCA funds can be used for training both VOCA-funded and non-VOCA funded service providers who work within a VOCA recipient organization, but VOCA funds cannot be used for management and administrative training for executive directors, board members, and other individuals that do not provide direct services. VOCA funds can be used to purchase materials such as books, training manuals, and videos for direct service providers, within the VOCA-funded organization, and can support the costs of a trainer for in-service staff development. Staff from other</p>

		organizations can attend in-service training activities that are held for the subrecipient’s staff. VOCA funds can support costs such as travel, meals, lodging, and registration fees to attend training within the state or a similar geographic area. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.2.a.b.c
20	Allow subrecipients to Support Restorative Justice	VOCA funds can be used to support Restorative Justice opportunities for crime victims to meet with perpetrators, if such meetings are requested or voluntarily agreed to by the victim and have possible beneficial or therapeutic value to crime victims. State grantees that plan to fund this type of service should closely review the criteria for conducting these meetings. At a minimum, the following should be considered: (1) the safety and security of the victim; (2) the benefit or therapeutic value to the victim; (3) the procedures for ensuring that participation of the victim and offender are voluntary and that everyone understands the nature of the meeting, (4) the provision of appropriate support and accompaniment for the victim, (5) appropriate “debriefing” opportunities for the victim after the meeting or panel, (6) the credentials of the facilitators, and (7) the opportunity for a crime victim to withdraw from the process at any time. State grantees are encouraged to discuss proposals with OVC prior to awarding VOCA funds for this type of activity. VOCA assistance funds cannot be used for victim-offender meetings which serve to replace criminal justice proceedings. See Final VOCA Victim Assistance Program Guidelines, Section IV.E.1.h

****Please note that OVC is in the process of revising the federal VOCA Program Guidelines. You will be notified if these changes become effective during the application period or post award.***

ALLOWABLE COSTS*

Allowable activities/costs include:

Crisis Intervention Services. These services deliver urgent, short-term emotional or physical needs of crime victims. Crisis intervention services are encouraged to provide a 24-hour service which may include the operation of a crisis hotline for emergency counseling or referral for crime victims.

Emergency Services. Services that provide temporary shelter for crime victims who cannot safely remain in their current lodgings, or services that provide measures to restore security such as repair of locks or boarding up of windows to prevent the immediate re-burglarizing of a home.

Support Services. For example, follow-up counseling after the traumatic event; guidance for resolving practical problems created by the victimization experience; acting on the victim’s behalf with other social and criminal justice agencies; assist in obtaining property used as evidence; intervention with landlords, creditors and employers, and referral to other sources of assistance.

Court Related Services. Help crime victims participating in criminal justice proceedings - transportation to court, child care, court escort services, filing of elder and child abuse petitions and temporary restraining orders.

Liability Insurance. Professional liability insurance for an individual, such as nurse or therapist.

Public Presentations. VOCA funds may be used to support presentations that are made in schools, community centers or other public forums which refer crime victims to needed services. Specifically, activities and costs related to such programs, including presentation materials, brochures, and newspaper notices, can be supported by VOCA funds. Community education cannot be the primary focus of staff positions supported by VOCA funds.

Necessary and Essential Costs. This includes prorated costs of rent, telephone and transportation for victims to receive services and local travel expenses for service providers.

Repair and Replacement. Repair and replacement of essential item of a victim service that contributes to maintaining a healthy and/or safe environment is allowable. Each request for expending VOCA funds for such purposes will require the following:

1. That the building is owned by the agency and not rented/leased;
2. Other sources of funding are unavailable
3. There is not available option for providing the service in another location, and
4. That the cost of the repair or replacement is reasonable considering the value of the building

A competitive process is required for all services/purchases greater than \$1000 unless a sole source can be justified.

Performance Measures: OVC's Subgrantee Data Report, PMT (Performance Measures Tracking) direct victims services categories and subcategories, including annually reported items, such as client surveys.

UNALLOWABLE COSTS AND ACTIVITIES*

Crime Prevention. VOCA funds may not be used for crime prevention activities. One exception is crime prevention activities specifically included in providing emergency assistance after victimization, e.g., preventing the immediate re-burglarizing of a home. Programs in which crime victims are not the sole or primary beneficiaries of funded activities are ineligible.

Lobbying, Legislative, and Administrative Advocacy. Lobbying for particular victim legislation or administrative reform, whether conducted directly or indirectly, is an activity ineligible for VOCA funding. Staff time funded by VOCA (or used as match for a VOCA-funded project) may not be spent lobbying.

Perpetrator Rehabilitation and Counseling, and Provision of Services to Incarcerated Individuals. Subrecipients cannot knowingly use VOCA funds to offer rehabilitative services to offenders. Likewise, VOCA funds cannot support services to incarcerated individuals, even when the service pertains to the victimization of that individual.

Needs Assessment, Manuals and Protocols. The use of VOCA funds to conduct needs assessments, manual and protocols development or general administrative tasks does not fall within the intent of the Act and is outside the scope of the Program Guidelines.

Fundraising. Costs of fund raising, financial campaigns, solicitation of gifts and similar expenses solely to raise capital or obtain contributions, may not be charged as costs against the grant. The salary of persons engaged in such activities and indirect costs associated with those salaries may be charged to the grant. The subrecipient may engage in fund raising, as long as such activities are not financed by federal grant funds.

Equipment Purchases/Capital Expenditures. Only equipment determined to be necessary and essential to the delivery of direct service as deemed by OVC and/or GMB is an allowable cost.

Professional Services - Doctors and Lawyers. Professional services rendered by doctors and lawyers extend beyond the intent of the Act, and are, therefore, ineligible for VOCA funding. According to OVC, victims treated for crime related injuries are encouraged to seek reimbursement for medical services rendered by doctors from their state crime victim compensation program.

The above does not prohibit direct service programs from hiring salaried medical/mental health professionals to provide services on site to clients. This differs significantly from a case by case fee-for-service arrangement. Non-emergency legal services are not allowable.

Witness Management and Notification Programs. Projects whose primary objectives are to improve the prosecutorial efficiency in an office and whose goals are primarily witness management and notification are identified as administrative in nature and ineligible for support.

Victim/Witness programs in prosecutors' offices which provide direct services to victims are eligible to receive VOCA funding only for the portion of the program that provides direct services to victims.

Criminal Justice Improvements. General criminal justice agency improvements or programs where crime victims are not the sole or primary beneficiaries are not eligible for VOCA funding.

Insurance. Liability insurance and policies for the repair of buildings and vehicles are incidental expenses, and are not necessary to the provision of direct services to crime victims as intended by the Act. Therefore, VOCA funds may not be used for these purposes.

Medical Costs. Hospital, nursing home, long term home health care and other in-patient treatment costs are unallowable services. VOCA grant funds cannot support medical costs regardless whether they are a result of victimization or not.

GENERAL FINANCIAL REQUIREMENTS AND INSTRUCTIONS

Grants funded under the VOCA Victims Assistance Formula Grant Program are governed by the financial requirements of the following:

- Uniform Guidance: 2 CFR Part 200
<https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html>
- U.S. Department of Justice, 2015 Grants Financial Guide
http://ojp.gov/financialguide/DOJ/pdfs/2015_DOJ_FinancialGuide.pdf
- Justice and Public Safety Cabinet, Grants Management Branch (GMB), Management Policy and Procedures Manual www.justice.ky.gov/departments/gmb.
- Finance and Administration Cabinet, Finance Policies
<http://finance.ky.gov/services/policies/Pages/default.aspx>

Requests for reimbursement may be submitted monthly or quarterly. This method must be used throughout the award period once monthly or quarterly is selected. Reimbursement payments may be delayed if subgrantees do not adhere to program and financial reporting requirements.

Sound Financial Management. All subrecipients are required to establish and maintain accounting systems and financial records to accurately account for awarded funds. These records shall include federal funds and all matching funds of state, local, and private organizations, when applicable. Subrecipients shall expend and account for grant funds in accordance with federal and state laws, and procedures for expending and accounting for their own funds. A financial capability questionnaire must be completed and submitted by all applicants: <http://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf>. This form may be uploaded into eGMS in the attachments section.

Accounting System

As a subrecipient, you must have a financial management system in place able to record and report on the receipt, obligation, and expenditure of grant funds. You should keep detailed accounting records and documentation to track all of the following information:

- Federal funds awarded
- Matching funds of State, local, and private organizations, when applicable
- Program income
- Contracts expensed against the award
- Expenditures

What Is An Adequate Accounting System?

An adequate accounting system can be used to generate reports required by award and Federal regulations. Your system must support all of the following:

- Financial reporting that is accurate, current, complete, and compliant with all financial reporting requirements of your award. Accounting systems should be able to account for award funds separately (no commingling of funds).
- An adequate accounting system allows you to maintain documentation to support all receipts and expenditures and obligations of Federal funds.
- An adequate accounting system collects and reports financial data for planning, controlling, measuring, and evaluating direct and indirect costs.

Your system should have all of the following capabilities:

- **Internal control.** Your system should allow you to exercise effective control and accountability for all cash, real and personal property, and other assets. As a subrecipient, you must adequately safeguard all such property and assure that it is used solely for authorized purposes. Please consult 2 C.F.R. § 200.303 for additional information.
- **Budget control.** Your system should let you compare actual expenditures or outlays with budgeted amounts for each award. It also must relate financial information to performance or productivity data, including the development of unit cost information whenever appropriate or specifically required in the award agreement.
- **Allowable cost.** Your system should support you in making sure that you follow Federal cost principles, agency program regulations, and the terms of grant agreements in determining the reasonableness, allowability, and allocability of costs.

Source documentation. Your system should require you to support accounting records with source documentation (e.g., canceled checks, paid bills, payrolls, time and attendance records, and contract and subgrant award documents).

An adequate accounting system for a recipient must be able to accommodate a fund and account structure to separately track receipts, expenditures, assets, and liabilities for awards and programs.

Supplanting. Supplanting is defined as deliberately reducing State or local funds because of the existence of Federal funds.

Federal funds must be used to supplement existing State and local funds for program activities and must not supplant those funds that have been appropriated for the same purpose. Federal law prohibits recipients of federal funds from replacing state, local, or agency funds with federal funds. Existing funds for a project and its activities *may not* be displaced by federal funds and reallocated for other organizational expenses.

Potential supplanting will be the subject of the application review, pre-award review, post-award monitoring, and possible audit. If there is potential supplanting, the applicant/subgrantee will be required to supply documentation demonstrating that the reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

Funds specifically budgeted and/or received for one project may not be used to support another. Where a subrecipient's accounting system cannot comply with this requirement, the subrecipient shall establish a system to provide adequate fund accountability for each project it has been awarded.

Proration of Costs. Applicants that conduct both allowable and unallowable activities must reasonably prorate their costs to ensure that VOCA funds and match (both cash and in-kind) are used only for direct services to victims. This proration must be explained within the budget narrative.

Administrative and Indirect Costs.

Sub-grantees may request indirect costs under VOCA. Typical examples of indirect costs for most organizations will include the costs of operating and maintaining facilities and general administration such as salaries and expenses of executive officers, human resources administration, and accounting personnel.

Organizations that currently have a negotiated rate with a federal agency may request indirect costs; however the organization must use the current negotiated rate.

Non-federal organizations that have never had a negotiated indirect cost rate may use the ten (10%) rate of the organization's Modified Total Direct Costs (MTDC). The ten percent (10%) rate is also known as a "de minimis" indirect cost rate. Please see 2 CFR 200.68 for more information on MTDC.

Applicants should consult with their CPA or other financial professional to determine the amount of MTDC if the agency chooses to apply the de minimus rate.

Match Requirement. The purpose of matching contributions is to increase the amount of resources available to the projects supported by grant funds. Matching contributions of 20% cash or in-kind of the total project cost (total cost is equal to the federal share plus the applicable match) are required for each VOCA-funded project and must be derived from non-federal sources. All funds designated as match are restricted to the same uses as the VOCA funds and must be expended within the grant period. Match must be provided on a project-by-project basis.

This example assumes no match waiver:

- **Match Calculation.** The following formula shall be used to determine the VOCA match requirement where the federal share is 80% and the match requirement is 20%.
 - Federal Share Requested divided by 80% = Total Project Cost
 - Total Project Cost minus Federal Share = Match Requirement OR Total Project Cost times Match % = Match Requirement

Example: \$30,000 federal share

- \$30,000 Federal Share Requested (\div) .80 or 80% Federal Percentage = \$37,500 Total Project Cost, then
- \$37,500 Total Project Cost (-) \$30,000 Federal Share Requested = \$7,500 Match Requirement OR \$37,500 Total Project Cost (*) .20 or 20% = \$7,500 Match Requirement

- Match contributions can be either cash, in-kind, or a combination.
- **Cash Contributions** represent an applicant's cash outlay, including non-federal money contributed by public agencies, private organizations and individuals. These items must be encumbered within the grant period. (See Proration of Costs.)
- **In-Kind Contributions** represent the value of non-cash contributions provided by the applicant. In-kind contributions may be in the form of charges for real property and non-expendable personal property and the value of goods and services specifically identifiable to the project. (See Proration of Costs.)
 - a. In-kind match may include donations of expendable equipment, office supplies, workshop or classroom materials, work space, or the monetary value of time contributed by professionals and technical personnel and other skilled and unskilled labor, if the services they provide are an integral and necessary part of a funded project.
 - b. The value placed on donated services must be consistent with the rate of compensation paid for similar work in the subrecipient's organization. If the required skills are not found in the subrecipient's organization, the rate of compensation must be consistent with the labor market. In either case, fringe benefits may be included in the valuation.
 - c. The value placed on loaned or donated equipment may not exceed its fair market value.
 - d. The value of donated space may not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in privately-owned buildings in the same locality. Donated space must be documented by a letter from the landlord.
- **Record Keeping.** Subrecipients must maintain records that clearly show the source, amount and the allocation date. The value for personal services, materials, equipment, and space must be documented by the donor. Volunteers must use the same backup documentation the organization uses for its employees.

eGMS SYSTEM INFORMATION

Guidelines & Instructions. Applicants are encouraged to read and understand the guidelines and instructions prior to preparing the application. Please contact GMB staff if there are questions or clarification is needed.

Agency Overview. To be eligible to receive VOCA funds, nonprofit programs must be public or nonprofit organizations, or a combination thereof and provide direct services to crime victims. The Agency Overview should be a brief description of the agency implementing the proposed grant project. Information should include mission statement and a list of staff to be paid with grant funds.

Contact Information. The following persons are eligible to serve as designated grant officials:

- **Authorized Official/Agency Representative/CEO.** The person authorized to apply for, accept, decline, or cancel the grant for the applicant organization (e.g., state agency head, county judge executive, city mayor, county attorney, executive director, etc.)
- **Project Director/Agency Administrator.** The employee of the applicant organization who will be responsible for the operation of the project and for submitting program reports.
- **Financial Officer.** The chief financial officer of the applicant organization (e.g., county auditor, city treasurer, comptroller, etc.) who will be responsible for all financial aspects of the grant's management, including submitting financial reports. Please note the Financial Officer assigned to the award should not be assigned multiple roles. This insures segregation of duties.

General Information. Includes Project Title, Past Funding, Employer Identification Number (EIN), DUNS Number, Grant Period, Agency Type and Description, and Abstract.

See <http://fedgov.dnb.com/webform/displayHomePage> and <https://www.sam.gov/> for information on obtaining a DUNS Number.

Certifications. Certifications regarding lobbying, debarment, suspension and other responsibility matters; and drug-free workplace requirements.

Equal Employment. Applicants are advised to view the PowerPoint presentation from the Office of Civil Rights, U.S. Department of Justice before checking the applicable boxes at the bottom of the page and uploading the required documents.

Audit Requirements. Non-federal entities that expend \$750,000 or more in federal funds (from all sources including pass-through subawards) in the organization fiscal year (12 month reporting period) shall have a single organization audit conducted in accordance with the provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

Non-federal entities that expend less than \$750,000 a year in federal awards are exempt from federal audit requirements for that year. A financial audit may be required for any project expending more than \$100,000. Records must be available for review by appropriate officials including the federal agency, Justice and Public Safety Cabinet, Grants Management Branch and the General Accounting Office (GAO). A copy of the most current audit report and any management letter(s) are required with the submission of the grant application. Future audits are due no later than nine (9) months after the close of each fiscal year during the term of the award.

Area Served. Indicate Area Development District(s) and county(ies) served by applicant organization.

Limited English Proficiency. The federal government and those receiving assistance from the federal government must take reasonable steps to ensure that Limited English Proficient (LEP) persons have meaningful access to the programs, services and information those entities provide. Agencies must establish and implement policies and procedures for language assistance services that provide LEP persons with meaningful access, without additional charge.

Subgrant Report Information. The information provided by the applicant will be used to report to the Office for Victims of Crime in the event the applicant organization receives an award. Additional required information will be needed for the Subgrant Award Report (SAR), which is an OVC annual requirement. GMB will contact each awardee with advance specifics.

VOCA Application. The application is composed of the following elements:

- **Application Terms and Conditions.** Read carefully every year as terms and conditions can change.
- **Statement of the Problem.** Describe the problem(s) of crime victims in your community and include data that show the size and scope. Explain the impact of the problem within your community. Provide justification for funding this project. If the project includes expansion, be sure to include evidence indicating the need for such growth. Include local and state data to support the problem, using appropriate citations. This section is crucial as it provides justification for funding of the project.
- **Goals and Objectives.** In presenting the goal, make sure it is concise and to the point. The goal should be the final result of your program. Goals are general descriptions of what you want to accomplish with the grant project in order to address the problem(s) outlined in your Problem Statement.

Objectives should be stated in measurable terms. For example: if the objective of your project is to provide crisis intervention and long-term therapy, you might state the objectives as follows: 1) The project will provide crisis intervention to sixteen domestic violence victims within the project period;

and 2) The VOCA funded therapist will provide individual counseling for thirty victims of sexual assault during the twelve month project period.

Sample goals, objectives, and performance measures are on the Grants Management Branch webpage, under VOCA. Correlations exist with the federal quarterly reporting system, Performance Measures Tracking (PMT), that subgrantees report via an online password protected OVC website.

Performance Measures explain how the program's effectiveness at meeting its objectives will be demonstrated and discuss the significance of the program's impact in assisting victims of crime. For each corresponding objective, describe:

1. what data is needed to prove the project is meeting its objective;
2. how it will be collected;
3. how it will be assessed/analyzed; and
4. the process for reporting the findings and outcomes which will measure the impact of the proposed efforts.

For example: "For the objective relating to increasing Emergency Protective Order service, project staff will maintain a database of all Emergency Protective Orders issued in ABC county, which will be logged from copies received from the Clerk's office. This database will record whether a particular protective order has been served to the respondent. The number of protective orders served versus not served will be reported to the Sheriff of ABC and to the Justice and Public Safety Cabinet on a monthly or quarterly basis, as required, as well as in the Sheriff of ABC's annual report." OR "For the objective relating to increasing knowledge among trainees of Kentucky stalking laws, a pre-test, developed by XYZ to gauge existing knowledge of Kentucky stalking laws, will be administered prior to a training session and an identical post-test will be administered at the end of a training session. Project staff will compare pre-test scores to post-test scores to measure the percentage increase in knowledge, making note, as well, of particular areas of success or lack of success. This information will be provided quarterly to the Justice and Public Safety Cabinet and on the implementing agency's website, as well as on the implementing agency's annual report."

- **Project Activities.** A concise summary of the proposed plan to achieve the goals and objectives of the project including a description of major tasks necessary to fully implement the plan. Provides the "who, what, where, when and how" of the proposed project and includes a comprehensive performance timeline identifying milestones to be achieved. This narrative ties activities to goals, objectives and the performance measures applicable to the proposed project.
- **Attachments.** Letters of support and a list of advisory group/board members are required for all applicants. KDVA/KASAP Site Review Certification is required for state designated regional domestic violence shelters and/or rape crisis centers.
- **Past Progress Report.** Information that summarizes activities of the previously funded grant period(s). Restate the objectives and indicate the success of the project in the current and previous year(s). Discuss the outcome of the services provided and the victims served.
- **Coordination Narrative.** Providing assistance to victims of crime requires coordination and cooperation at all levels. The development of the Commonwealth's strategy for assisting victims of crime includes the participation of federal, state, and local criminal justice, prosecutorial, and victim service agencies.

The Justice and Public Safety Cabinet is charged with increasing coordination among these entities to achieve a comprehensive and effective approach to funding victim assistance programs with VOCA awards. Multi-jurisdictional programs, interagency projects, and collaborative efforts that result in increased coordination and cooperation among criminal justice agencies, prosecutor based programs, and victim service agencies are a priority of this program. In this section, applicants will describe collaborative efforts to provide victims services with other agencies and individuals within the community.

BUDGET

General Instructions.

- Budget forms must be completed in detail, with amounts rounded to the nearest whole dollar.
- When preparing a proposed budget, keep in mind all five budget categories: *Personnel, Contractual Services, Travel/Training, Operating Expenses and Equipment.*
- Consider program goals and objectives and design the budget so that it best suits the overall effectiveness of the program.
- A budget checklist is provided at the end of this section to assist in completing the VOCA application.
- Budget revisions may be required later based on availability of funds or expenses not allowable under VOCA.

Budget Categories. The following is an overview of the allowable categories associated with VOCA Formula Grant Program funds.

PERSONNEL

Salary and Fringe Benefits. Staff salaries and fringe benefits are allowable when specifically related to providing direct services to victims. VOCA funds may be used to support administrative time to complete VOCA required time and attendance sheets, programmatic documentation, reports and statistics; and to maintain crime victims' records.

- Each position must be listed by title (and name of employee or to be determined(TBD)), total monthly gross salary rate for the employee, the percentage of the employee's time devoted to the project and total employee cost for the project.
 - a. Where salaries apply to both project and non-project activity or apply to two or more separate projects or funding sources, pro-ration of costs to each activity must be made based on time and attendance reports.
 - b. Salaries for federally funded and match positions shall comply with state, city, county, or other relevant classification systems and shall be documented by appropriate time and attendance records.
 - c. Charges of the employees' time assigned to grant projects may be reimbursed or recognized only to the extent they are directly and exclusively related to grant purposes.
 - d. Dual compensation is not allowed.
- Funded part-time positions (positions devoting less than 100% of a standard work shift to the grant project) should be supported by a brief explanation of the employee's duties outside the grant project or by a statement that the employee is not employed elsewhere by the grantee. The employee's timesheets shall indicate such separation of time worked.
- Attach job description and resume of VOCA Project Staff (or a placeholder document for unfilled or proposed new Staff positions).
- Payments for fringe benefits are allowable personnel costs but cannot exceed the amount paid by the employer. The fringe benefits must be reasonable and in line with state, city or county rates. Each type of employee benefit should be listed along with the total cost allowable to employees assigned to the project. Documentation of fringe benefits must be submitted with the budget to reflect the actual rates being paid by the employer. The following are considered allowable benefits:

- a. Health, Dental and Life Insurance, (Single Plan only)
- b. FICA
- c. Retirement
- d. Worker's Compensation
- e. Unemployment Insurance

Overtime. Overtime pay can be funded for personnel funded by the grant on a full-time basis whose duties are consistent with the VOCA-funded project. Overtime pay must be approved through the original grant application or through a subsequent Grant Adjustment Notice (GAN).

Prosecutor Based Advocates. By statute KRS 69.350, an individual employed as a victim advocate shall be a person who, by a combination of education, professional qualification, training and experience, is qualified to perform the duties of this position. The victim advocate shall be an individual at least eighteen (18) years of age, of good moral character, with at least two (2) years of experience working in the human services field or court system in a position requiring professional contact with adults, who has:

- Received a baccalaureate degree in social work, sociology, psychology, guidance and counseling, education, religion, criminal justice or other human service field; or
- Received a high school diploma or equivalency certificate, and, in addition to the experience required in this subsection, has at least four (4) years' experience working in the human services field (H.B. 315, for prosecutor based advocates only).

Volunteers. Subgrantees are required to contribute 200 volunteer hours regardless whether the hours are used as match.

- All volunteer time utilized for the grant must be related to activities described in the grant.
- Volunteers must be at least 18 years of age and be performing professional duties related to the grant project. Completion of background checks on potential volunteers is strongly encouraged.
- An hourly rate is determined by the salary plus any applicable fringe benefits. The assigned rate should be based on what the agency would pay were the individual employed full time. Do not use the volunteer rate from an Internet site or one rate for all types of volunteer activities.
- In extenuating circumstances a volunteer match waiver of this requirement may be granted at GMB's discretion. Upon receipt of notice of award, subgrantees may use the Grant Adjustment Notice (GAN) tool to request a volunteer waiver. The VOCA State Administrator can provide details.

Exclusions – Personnel. The following **cannot** be funded or used as match:

- Clerical volunteer hours, unless approved in the original application as essential to the project.
- Salary and/or benefits that are greater than documented percentage of time spent on VOCA allowable activities. If employee works on multiple projects, they must keep allocated timesheets.
- Crisis line time if not supported by a time log, including the initials of the individual who took the call OR agency policies that require a crisis line staff/volunteer to be immediately available to accept calls at a designated number for a designated period of time.
- Any activities that have a primarily recreational purpose.
- Job placement services. Case management and crisis counseling which discusses employment issues or makes referrals to job placement/counseling services is allowable.
- Fundraising activities.
- Criminal record background checks.
- Lobbying activities.

- Any health insurance rate not based on a single plan or only offered to a VOCA funded employee due to the availability of grant funds.

Supporting Documentation Required – Personnel. Timesheets must be maintained and submitted for all grant funded personnel. These timesheets must:

- a. Reflect an after-the-fact accounting of the total activity and hours worked for which the employee is compensated and indicate the specific time worked on the VOCA-funded project.

For example, a full-time employee working 40 hours per week reports 15 hours on the VOCA-funded project and 25 hours worked on other activities. 37.5% of the employee’s salary for the week may be paid with VOCA funds.

- b. Be prepared at least monthly and coincide with one or more pay periods.
 - c. Include original signatures of the employee and approving supervisory official having firsthand knowledge of the work performed.
- Volunteer hours must be supported by timesheets indicating activity and hours worked and include original signatures of both the volunteer and at least one agency staff member.
 - Documentation must reflect the actual rates being paid by the employer.
 - Documentation of fringe benefits reflecting the actual costs paid by the employer.

CONTRACTUAL SERVICES

Compensation for individual consultant services shall be reasonable and consistent with that paid for similar services in the market place. Individual consultant rates cannot exceed \$650 per day (or \$81.25 per hour). An 8-hour day may include preparation, evaluation and travel time in addition to the time required for the actual performance. Travel and subsistence costs may be paid, also.

Contractual arrangements with individuals must ensure that:

- Dual compensation is not involved (i.e., the individual may not receive compensation from his regular employer and the applicant for work performed during a single period of time even though the services performed benefit both).
- The contractual agreement is written, formal, proper and otherwise consistent with the applicant's usual practices.
- Travel and subsistence costs are at an identified rate consistent with the costs allowed.

Supporting Documentation Required – Contractual Services. Time and/or services for which payment will be made and rates of compensation must be supported by adequate documentation.

- A copy of the fully executed contractual agreement.
- Invoices for payment, if applicable.
- Receipts for travel and subsistence costs, if applicable.

TRAVEL/TRAINING

Training costs for paid and volunteer staff as part of the VOCA project are allowable. Use of VOCA funds is limited to staff development of direct service providers in individual projects to enhance their skills directly related to the program.

NOTE: All project staff funded by VOCA, whether , full time or part time, must complete 12 hours of victim training during the award period.

- Each request must include the purpose, destination, lodging, mileage rate and per diem.
- VOCA funds may be used for transportation, subsistence and registration fees for applicants to attend conferences and training seminars.
- Travel must be approved through the original grant application or through a subsequent Grant Adjustment Notice (GAN).
- Registration fees required for admittance to official travel meetings are reimbursable. If the fee entitles registrants to meals, claims for subsistence must be reduced accordingly.
- Requested travel expenses shall not exceed the established mileage and subsistence policy as set forth by the Commonwealth of Kentucky, Finance and Administration Cabinet. See 200 KAR 2:006 and <http://finance.ky.gov/internal/travel> for current rates and regulations.
- Transportation must be the most economical.
 - a. Bus, subway and taxi fares are allowed for city travel.
 - b. Commercial airline travel shall be coach/tourist class.
 - c. The cost of rental cars in lieu of ordinary transportation will be allowed only with acceptable justification.
 - d. Actual parking, bridge and toll charges are reimbursable.
 - e. Reasonable expenses for baggage handling, for delivery to or from a common carrier or lodging and for storage are reimbursable.

NOTE: If the travel and reimbursement requirements of the applicant agency are more restrictive than that of the Commonwealth, the most restrictive rate must be followed.

Exclusions – Travel and Training. The following **cannot** be funded or used as match:

- Management training.
- Telephone, tips and laundry charges.
- Additional expense for first class travel.

Supporting Documentation – Travel and Training. All expenses shall be supported by itemized receipts.

OPERATING EXPENSES

Operating expenses include items essential for the ongoing operation of the project. Allowable operating costs include:

- Advertising to recruit VOCA-funded personnel.
- Equipment usage fees supported by usage logs.
- Books, training manuals and videos for direct service providers.
- Printing and distribution of brochures and similar announcements describing the direct services available and how they may be obtained.
- Utilities and security for the space used by the program whether owned, rented or are donated.
- Supplies
- Postage
- Brochures and other printed materials shall include an acknowledgement of agency assistance and/or support printed conspicuously in the publication. Such statements may be made through use of the following footnote: “This project was supported by Grant No. (*insert correct grant number*) awarded through the Kentucky Justice and Public Safety Cabinet by the U. S. Department of Justice, Office of Justice Programs.”

- Operating Expenses require a method of computation for each request, e.g., rent, total square feet, space requirements per **VOCA** staff person, total agency costs, allocation percentage, etc.
- Items with a unit price of less than \$5,000 and less than one year useful life.
- Items must be listed individually and submitted through the original grant application or the Grant Adjustment Notice (GAN) prior to the actual expense.
- Items should be listed by category, e.g., office supplies, training materials, research forms, telephone, postage, etc.
- Large items should be listed separately and identified, e.g., unusual supply items, special printing or mailings required for project, etc.
- Miscellaneous items should be itemized.
- Indicate how funds are to be allocated if used as match or partially funded by the grant.
- The budget narrative should be used to indicate the basis for computation (i.e.: “x” dollars per month for office supplies, “y” dollars per person for training materials, “z” dollars per month for telephone-long distance telephone service, etc.)

Exclusions – Operating Expenses. The following cannot be funded or used as match:

- If the applicant agency or a related party owns the space used by the program, the fair market rental value of the space cannot be used as match or reimbursed under the federal share.
- In-kind rent when not supported by a recent, written fair market rental value estimate from a real estate professional or landlord.
- Some law enforcement equipment, such as uniforms, safety vests, shields, weapons, bullets, and armory.
- Household items not specifically identifiable to the immediate crisis period.
- Other costs such as liability insurance on buildings, capital improvements, property losses and expenses, mortgage payments, real estate purchases, construction.
- Equipment repair and maintenance for any item not purchased with VOCA funds, excluding allocated copy contracts that include toner, supplies, etc.
- Accounting services.
- Audit costs, even if required under federal guidelines.
- Janitorial, cleaning, and/or lawn care supplies.
- Tax preparation fees.

Supporting Documentation – Operating Expenses. Operating expenses shall be supported by invoices and proof of payment to the vendor/supplier.

EQUIPMENT

This category includes items with a unit price of \$5,000 or more and a useful life greater than one year, e.g. furniture, fixtures, office machines, etc.

NOTE: Items with a unit price less than \$5,000 and less than one year useful life should be placed in the “Operating Expenses” category.

The applicant must adhere to the following principles:

- Items of equipment must be individually listed and approved through the original grant application or in subsequent GANS prior to purchasing the equipment.
- No other equipment owned by the applicant is suitable for the effort.
- Equipment purchased and used commonly for two or more programs has been appropriately prorated to each activity.
- Authorization for equipment will be based on the applicant's demonstration that the requested equipment is necessary to the successful operation of the project.

Exclusions – Equipment. The following **cannot** be funded or used as match:

- Equipment or capital expenditures not determined to be necessary and essential to the delivery of direct service by the OVC or GMB.
- Reimbursement for equipment already owned by the applicant or purchased through another funding source.

Supporting Documentation – Operating Expenses Equipment purchases shall be supported by invoices and proof of payment to the vendor/supplier.

NARRATIVE AND SUMMARY

Budget Narrative. Applicants must submit a budget narrative. The narrative should detail by category the federal and non-federal (cash and in-kind) shares. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification, explanation, and calculations for budget items, including criteria and data used to arrive at the estimates for each budget category.

Budget Summary. The budget summary is automatically populated using the aggregate costs identified in each of the budget categories. An error message will be shown if the match percentage is insufficient. New programs should insure the 25 percent match requirement has been met.

BUDGET CHECKLIST

This checklist is for your convenience in preparing your application. It is for your use only and should not be submitted with the application.

SECTION I. PERSONNEL

Salaries

- Is each employee's compensation described?
- Is each position identified by title?
- Are time commitments stated?
- Is the amount of each employee's annual compensation stated?
- Are salary increases anticipated during the grant period? If so, are the increases justified in the narrative?
- Are there any dual personnel compensation costs?

Fringe Benefits

- Is each benefit type indicated separately?
- Has the appropriate percentage and calculation been provided?
- Is the authority for the percentage provided?
- Are the listed benefits provided for all employees of the agency?
- Are fringe benefit increases anticipated during the grant period? If so, are the increases justified in the narrative?

SECTION II. CONTRACTUAL SERVICES

- Is each service described?
- For individuals:
 - Is an hourly or daily rate given?
 - Are base rates justified and reasonable?
- Is the total amount for any contract in excess of \$10,000? If so, has the applicant indicated that services have been or will be obtained by acceptable procurement procedures?
- Is "sole source" an issue? If so, is justification included?

SECTION III. TRAVEL

- Is computation provided?
- Is the purpose of requested travel directly related to the proposed project?
- Are per diem, lodging and transportation costs listed separately?
- Have the most economical costs been provided?
- Have the appropriate project personnel been identified for the travel?

SECTION IV. OPERATING EXPENSES

- Are operating expenses listed by types (e.g., Supplies, Rent, Postage, etc.)?
- Are unit costs or monthly estimates provided?
- Will appropriate procurement procedures be followed?

SECTION V. EQUIPMENT (cost greater than \$5,000)

- Are equipment items specified by units and cost?
- Is the requested equipment project-related?
- Will the purchased equipment be used 100% in the project? If not, has the cost been prorated and calculations provided?
- Does the agency already own any equipment suitable for the project?
- Will appropriate procurement procedures be followed? Is "sole source" an issue? If so, is justification included?

SECTION VI. SOURCE OF MATCH

- Is the source of match identified?
- Is the minimum (20%) cash or in-kind match requirement met for currently funded projects?
- Is the minimum (25%) cash or in-kind match requirement met for new projects requesting funds?

SECTION VII. BUDGET SUMMARY

- Are all requested costs justified, reasonable and allowable?
- Are requested costs properly categorized?
- Are all line item calculations correct and equal the category totals?
- Have the appropriate costs/percentages been identified as federal and match?

Funding Categories and Priority Programs. A Priority Program has been defined by the Office of Victims of Crime as one whose principal mission is to offer comprehensive specialized services tailored to the special needs of one or more priority category victims.

The first three priority categories have been clearly defined by Congress as being victims of child abuse, victims of domestic violence and victims of sexual assault. A fourth category was added in 1988, for previously underserved victim populations, to be defined by each state. Subsequent to publishing the initial program guidelines, OVC has determined that victims that fall under the first three priority categories will not be eligible for consideration under the category of “previously underserved.”

According to the directive of the Office of Victims of Crime, at least ten percent (10%) of the state’s total VOCA allocation must be awarded to each of the four Priority Categories.

The Commonwealth of Kentucky defines its previously underserved victim populations as any of the following: survivors of homicide; elderly victims of abuse; survivors of incest; victims of financial crimes including identity theft; victims of robbery and other forms of violence against persons, including victims of drug and alcohol related crime; victims of ritualistic abuse, and victims of juvenile crime.

In determining the funding needs of programs serving priority victims, the Commonwealth considers other funding options that may be available or in place for priority program areas, as well as the needs and availability of services in the state for other categories of crime victims.

Review Criteria and Process. The application review and scoring process are available on the Justice and Public Safety Cabinet Grants Management Branch webpage. Please refer to pages 9-12 of the GMB policy and procedures manual at www.justice.ky.gov/departments/gmb.

AWARD NOTIFICATION AND ACCEPTANCE

Notification. Recipients of awards will be notified by U.S. mail and will receive further instructions on award acceptance from Grants Management Branch staff via mail, telephone or e-mail. Award announcements cannot be made without approval from the Justice and Public Safety Cabinet Secretary and Office of the Governor.

Special Conditions. All awards include general and special conditions the subgrantee must meet if the award is accepted. Subrecipients are encouraged to read and understand the conditions carefully prior to accepting the award. Questions may be directed to GMB staff.

If awarded VOCA Victim Assistance funds, the subgrantee agrees to refer promptly to an appropriate inspector general any credible evidence that a principal, employee, agent, contractor, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving grant funds. Such reports may be forwarded to:

Office of the Inspector General
US Department of Justice
Investigations Division
950 Pennsylvania Avenue, NW
Room 4706
Washington, DC 25030

Award Acceptance. When the subgrantee is notified the award binder is available in eGMS, the subgrantee has 12 business days to accept the award by obtaining the appropriate signature and uploading the entire award document into eGMS on the “Signed Contract Page.”

If the acceptance process is not completed within the allotted time period, GMB reserves the right to withdraw the award. The award document must be signed by the AO (Authorized Official).