



VICTIMS OF CRIME ACT (VOCA)

VICTIM ASSISTANCE FORMULA GRANT

Catalog of Federal Domestic Assistance (CFDA) Number: 16.575

PROGRAM & FINANCIAL GUIDELINES AND INSTRUCTIONS

Justice & Public Safety Cabinet Grants Management Division

125 Holmes Street
Frankfort, KY 40601
(502) 564-3251



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

CONTACT INFORMATION

STATE ADMINISTERING AGENCY: Justice & Public Safety Cabinet
125 Holmes Street
Frankfort, KY 40601
(502) 564-3251

VOCA CONTACTS:

Robyn Diez d'Aux
Program Manager
502.564.5244
robyn.diezdaux@ky.gov

Nick Gill
Program Manager
502.564.5218
agill@ky.gov

Santana Berry
Program Manager
502.564.????
Santana.berry@ky.gov

Kara Campbell
Financial Analyst
502.564.8236
kara.campbell@ky.gov

Mark Hertweck
Financial Analyst
502.564.8210
Mark.hertweck@ky.gov

Kyle Wade
Financial Analyst
502.564.8211
Kyled.Wade2@ky.gov

**JUSTICE & PUBLIC SAFETY CABINET
GRANTS MANAGEMENT DIVISION (GMD)
VOCA VICTIM ASSISTANCE FORMULA GRANT**

TABLE OF CONTENTS

INTRODUCTION	4
OPEN AND AWARD PERIOD DATES	4
ELIGIBILITY AND REQUIREMENTS	6
ALLOWABLE COSTS	10
UNALLOWABLE COSTS AND ACTIVITIES	14
GENERAL FINANCIAL REQUIREMENTS AND INSTRUCTIONS	14
MATCH: CASH AND IN-KIND	17
OVERVIEW: ELECTRONIC GRANTS MANAGEMENT SYSTEM (eGMS)	19
APPLYING FOR VOCA	20
BUDGET	21
PERSONNEL	21
CONTRACTUAL SERVICES	25
TRAVEL/TRAINING	26
OPERATING EXPENSES	27
EQUIPMENT	29
NARRATIVE AND SUMMARY	29
BUDGET CHECKLIST	30
APPLICATION REVIEW CRITERIA AND PROCESS	31
AWARD NOTIFICATION AND ACCEPTANCE	32
REPORTING REQUIREMENTS	32
GRANT ADJUSTMENTS	33
TRAINING REQUIREMENT	33



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 VOCA19 grant application will be available **May 1st 2019** and close **June 14th 2019** 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 Division (GMD) 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 current 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.

System for Award Management (SAM) Registration. Registering with the System for Award Management (SAM) is a required step in order for your organization to be able to apply for federal grants. SAM is a web-based, government-wide application that collects, validates, stores, and disseminates business information about the federal government's trading partners in support of the contract awards, grants, and electronic payment processes. SAM Registration is free – to register, go to the [SAM website](#) with the following information: your agency's DUNS number and your Taxpayer Identification Number (TIN) or Employment Identification Number (EIN). When you register a new entity in SAM to do business with the U.S. government, SAM requires a notarized letter stating you are the authorized entity administrator before SAM will activate your entity registration in SAM.gov. Generally, after completing the online registration and sending your notarized letter confirming the entity administrator, it takes up to two weeks to register with SAM. However, your organization must first have an EIN. If your organization does not have an EIN, you should allow an additional 5 weeks to request and obtain an EIN from the IRS.

Memorandums of Understanding. All submissions must include three (3) original memorandums of understanding (MOU) from other victim-related agencies within your community. MOUs should include, at minimum, a meaningful description of collaboration for proposed project success and must also include names of agencies and signatures of authorized officials. An ideal MOU will include the following components:

- A description of the agencies implicated by the agreement.
- The commonly defined roles of each agency and the scope of services each will provide in the context of the agreement.
- A plan for activating the agreement (e.g., a plan for initial/first response, timely notification and communication protocols, timely referral procedures among agencies, location of services).
- Procedures for information sharing among agencies, that comply with each agency's [confidentiality](#) policies.
- A backup plan for community crises and other unforeseen circumstances (e.g., natural and manmade disasters, large-scale events).
- Responsibilities for recordkeeping.
- Data security for information exchanged among professionals.
- Name and position of the provider to be contacted if protocol is violated.

Upload the scanned, dated, and signed MOUs 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), and may include, but are not limited to, the following: cash, volunteered professional or personal services; materials/equipment; space and facilities; and non-VOCA funded victim assistance activities. Each sub-recipient shall maintain records that clearly show the source and amount of the match and period of time for which such contributions were allocated. The basis for determining the value of match shall be documented, and volunteer services shall be substantiated by the same methods used by the sub-recipient for its paid employees. For more information see the section entitled *General Financial requirement and Instructions*.

Match Waiver Option: The option to apply for a waiver of the 20% VOCA match requirement was new for VOCA17. 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 match waivers will not be granted. However, **if states and sub-recipients can provide a strong justification regarding why the sub-recipients would not be able to meet the match on additional funding directed to them from future appropriations, OVC will consider a partial waiver on the additional funding.** Factors typically considered include local resources, annual budget changes, past ability to provide match, and whether the funding is for new or additional activities requiring additional match versus continuing activities where match is already provided. New VOCA19 applicants may also submit a match waiver request.

ELIGIBILITY AND REQUIREMENTS

The Victims of Crime Act (VOCA) establishes eligibility criteria that must be met by organizations requesting VOCA funds. Eligible sub-recipients include victim services organizations whose sole mission is to provide services to crime victims. There are special provisions for faith-based organizations, neighborhood programs, and crime victim compensation programs as indicated in the Final Federal Rules and Regulations for the Victims of Crime Act Victim Assistance Program. VOCA funds shall be available to provide direct services and supporting and administrative activities. Sub-recipients must provide services to victims of federal crimes on the same basis as to victims of crimes under State or local law. Sub-recipients may provide direct services regardless of a victim’s participation in the criminal justice process. Victim eligibility under this program for direct services is not dependent on the victim’s immigration status. Agencies whose mission is not focused on serving crime victims can still receive VOCA funds. However, the agency must have a record of providing direct services to crime victims and a minimum of 25% of financial support from other sources. Furthermore, the direct services program / project being proposed must have a means of identifying crime victims within the agency’s service population and a plan for providing VOCA-allowable services related to their victimization.

VOCA requires that states certify that priority shall be given to eligible crime victim assistance programs providing assistance to victims of **sexual assault, spousal abuse, and child abuse**. State Administering Agencies shall allocate a minimum of ten percent (10%) of each year’s VOCA grant to each of the three priority categories; thirty percent (30%) total will be allocated to “priority categories”.

State Administering Agencies shall also allocate a minimum of ten percent (10%) of each year’s grant to underserved victims of violent crime. To meet the underserved requirement, sub-recipients must identify crime victims by the types of crimes they have experienced. States are encouraged to also identify gaps in available

services by victims' demographic characteristics, including tribal, disenfranchised male victims of color, LGBTQ, 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.

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.

Victim assistance programs can allow for legal assistance services on a non-emergency and emergency basis where reasonable and where the need for such services arises as a direct result of the victimization to include legal assistance with victim-related family law matters and other non-tort legal services in a civil context. Such non-tort, civil legal services include, but are not limited to, assistance in divorce, and child custody and support proceedings. Prohibits those costs for criminal defense and tort lawsuits. (See Final VOCA Victim Assistance Program Guidelines, amended July 8th, 2016 which can be found here <https://www.federalregister.gov/d/2016-16085/p-302>.)

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 sub-recipient must agree that

- direct services to crime victims cannot be offered without support for these expenses;
- the sub-recipient has no other source of support for them; and
- only limited amounts of VOCA funds will be used for these purposes

Therefore, GMD does not currently interpret the Final VOCA Victim Assistance Guidelines as allowing for VOCA Victim Assistance Funds to be used in support of services like Casey's Law facilitation or Angel Initiative activities. 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.

Each sub-recipient organization shall meet the following requirements, as can be found in the final federal rules and regulations for the Victims of Crime Act Victim Assistance Program (<https://www.federalregister.gov/d/2016-16085>):

- 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 sub-recipients of VOCA Assistance funding are required to certify their nonprofit status by submitting a statement to GMD 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 sub-recipients of VOCA Assistance funding under this award agree to make their financial statements available to the public. Grants Management Division will post the required documents on the Justice and Public Safety Cabinet website.

- 2. Record of Effective Services and Organizational Capacity.** Eligible organizations must also demonstrate organizational capacity of the program. This includes a record of effective services to victims of crime such as community support and approval of direct services and a history of providing direct services in a cost-effective manner. Additionally, organizational capacity includes substantial financial support from sources other than the Crime Victims Fund. A program has substantial financial support from other sources when at least twenty-five percent (25%) of the program's funding in the year of, or the year preceding the award comes from sources other than the Crime Victims Fund. This may include other federal funding programs, and if the funding is non-federal, then a program may count the used funding to demonstrate non-VOCA substantial financial support toward its project match requirement.
- 3. Volunteers, Community Efforts, and Compensation Assistance.** In order to be eligible for VOCA funds, programs are required to use volunteers with at least 50 volunteer hours throughout a grant year. Grants Management Division staff may waive this requirement if the program submits a volunteer waiver request form, which indicates its unsuccessful efforts to recruit and maintain volunteers, or otherwise demonstrates why circumstances prohibit the use of volunteers.

Promotion of community efforts to aid crime victims is encouraged through a variety of means, including public and private efforts to oversee and recommend improvements to community responses to crime victims and developing written agreements and protocols for such responses.

Crime Victims Compensation Application Assistance Requirement. Programs are required to provide assistance to victims in applying for crime victim compensation benefits (including potential recipients who are victims of federal crime). 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>.

- 4. VOCA-funded Staff Training Requirement.** Project staff (funded in total or in part) by the VOCA Victim Assistance Grant, as well as staff applied towards cash match, 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. Comply with Federal Rules Regulating Grants.** Sub-recipients must comply with the applicable provisions of VOCA (<https://www.federalregister.gov/documents/2016/07/08/2016-16085/victims-of-crime-act-victim-assistance-program>) and the requirements of the [USDOJ OJP Financial Guide](https://www.justice.gov/ovw/file/1030311/download) effective edition (<https://www.justice.gov/ovw/file/1030311/download>) 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
- 6. Federal Civil Rights:** The sub-recipient 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>. Sub-recipients 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 Division, and permit reasonable access to its books, documents, papers, and records to determine whether the sub-recipient 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 the OVC PMT (Performance Measurement Tool) required quarterly reporting system.

- 7. Non-Discrimination.** Sub-recipients 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.
- 8. 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.
- 9. 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 (30) days of the Subaward date. The Sub-Grant Award Report identifies how the awarded funds will be used.
- 10. No Charge to Victims for VOCA-Funded Services.** VOCA-funded direct services must be provided at no charge, unless the State Administering Agency grants a waiver allowing the sub-recipient to generate program income by charging for services. Program income, where allowed, shall be subject to federal grant rules and the requirements of the DOJ Grants Financial Guide, which, as of July 8, 2016, require in most cases that any program income be restricted to the same uses as the sub-award funds and expended during the grant period in which it is generated.
- 11. Client-Counselor Confidentiality.** Sub-recipients must maintain confidentiality of client-counselor information, as required by state and federal law.
- 12. Non-disclosure of confidential or private information.** State Administering Agencies and sub-recipients of VOCA funds shall, to the extent permitted by law, reasonably protect the confidentiality and privacy of persons receiving services under this program and shall not disclose, reveal or release any personally identifying information or individual information collected in connection with VOCA-funded services requested, utilized, or denied, and any individual client information without the informed, written, reasonably time-limited consent of the person about whom information is sought, except that consent for release may not be given by the abuser of a minor, incapacitated person, or abuser of the other parent of the minor. If release of information is compelled by statutory or court mandate, State Administering Agencies or sub-recipients of VOCA funds shall make reasonable attempts to provide notice to victims affected by the disclosure of the information and take reasonable steps necessary to protect the privacy and safety of the persons affected by the release of the information.

State Administering Agencies and sub-recipients may share: non-personally identifying data in the aggregate regarding services to their clients and non-personally identifying demographic information in order to comply with reporting, evaluation, or data collection requirements; court-generated information and law-enforcement-generated information contained in secure governmental registries for protection order enforcement purposes; and law enforcement- and prosecution-generated information necessary for law enforcement and prosecution purposes.

In no circumstances may a crime victim be required to provide a consent to release personally identifying information as a condition of eligibility for VOCA-funded services nor any personally identifying information be shared in order to comply with reporting, evaluation, or data-collection requirements of any program. Nothing in this section prohibits compliance with legally mandated reporting of abuse or neglect.

- 13. 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.
-

ALLOWABLE COSTS

Direct services for which VOCA funds may be used include, but are not limited to, the following, as can be found in the final federal rules and regulations for the Victims of Crime Act Victim Assistance Program (<https://www.federalregister.gov/d/2016-16085>):

Immediate emotional, psychological, and physical health and safety. Services that respond to immediate needs (other than medical care, except as allowed under paragraph (a)(9) of section 94.119) of crime victims, including but not limited to: crisis intervention services; accompanying victims to hospitals for medical examinations; hotline counseling; safety planning; emergency food, shelter, clothing, and transportation; short-term (up to 45 days) in-home care and supervision services for children and adults who remain in their own homes when the offender/caregiver is removed; short-term (up to 45 days) nursing-home, adult foster care, or group-home placement for adults for whom no other safe, short-term residence is available; window, door, or lock replacement or repair, and other repairs necessary to ensure a victim's safety; costs of the following, on an emergency basis (i.e., when the State's compensation program, the victim's health insurance plan, Medicaid, or other health care funding source, is not reasonably expected to be available quickly enough to meet the emergency needs of a victim, typically within 18 hours of a crime): non-prescription and prescription medicine, prophylactic or other treatment to prevent HIV/AIDS infection or other infectious disease, durable medical equipment and other healthcare items are allowed; and emergency legal assistance, such as filing for restraining or protective orders, obtaining emergency custody orders and visitation rights.

Personal advocacy and emotional support. Personal advocacy and emotional support, including, but not limited to: working with a victim to assess the impact of the crime; identification of victim's needs; case management; management of practical problems created by victimization; identification of resources available to the victim; provision of information, referrals, advocacy, and follow-up contact for continued services, as needed; and traditional, cultural, and/or alternative therapy/healing (e.g., art therapy, yoga).

Mental health counseling and care. Mental health counseling and care, including, but not limited to, outpatient therapy/counseling (**including, but not limited to, substance-abuse treatment so long as the treatment is directly related to the victimization**) provided by a person who meets professional standards to provide these services in the jurisdiction in which the care is administered.

Peer-support. Peer-support, including, but not limited to, activities that provide opportunities for victims to meet other victims, share experiences, and provide self-help, information, and emotional support.

Facilitation of participation in criminal justice and other public proceedings arising from the crime. The provision of services and payment of costs that help victims participate in the criminal justice system and in other public proceedings arising from the crime (e.g., juvenile justice hearings, civil commitment proceedings), including, but not limited to: advocacy on behalf of a victim; accompanying a victim to offices and court; transportation, meals, and lodging to allow a victim who is not a witness to participate in a proceeding; interpreting for a non-witness victim who is deaf or hard of hearing, or with limited English proficiency; providing child care and respite care to enable a victim who is a caregiver to attend activities related to the proceeding; notification to victims regarding key proceeding dates; assistance with Victim Impact Statements; assistance in recovering property that was retained as evidence; and assistance with restitution on behalf of crime victims.

Legal assistance. Legal assistance services (including, but not limited to, those provided on an emergency basis), where reasonable and where the need for such services arises as a direct result of the victimization. Such services include, but are not limited to: those (other than criminal defense) that help victims assert their rights as victims in a criminal proceeding directly related to the victimization, or otherwise protect their safety, privacy, or other interests as victims in such a proceeding; motions to vacate or expunge a conviction,

or similar actions, where the jurisdiction permits such a legal action based on a person's being a crime victim; and those actions (other than tort actions) that, in the civil context, are reasonably necessary as a direct result of the victimization.

Forensic medical evidence collection examinations. Forensic medical evidence collection examinations for victims to the extent that other funding sources as State appropriations are insufficient. Forensic medical evidence collection examiners are encouraged to follow relevant guidelines or protocols issued by the State or local jurisdiction. Sub-recipients are encouraged to provide appropriate crisis counseling and/or other types of victim services that are offered to the victim in conjunction with the examination. Sub-recipients are also encouraged to use specially trained examiners such as Sexual Assault Nurse Examiners.

Forensic interviews. Forensic interviews, with the following parameters: results of the interview will be used not only for law enforcement and prosecution purpose, but also for identification of needs such as social services, personal advocacy, case management, substance abuse treatment, and mental health services; interviews are conducted in the context of a multi-disciplinary investigation and diagnostic team, or in a specialized setting such as child advocacy center; and the interviewer is trained to conduct forensic interviews appropriate to the developmental age and abilities of children, or the developmental, cognitive, and physical or communication disabilities presented by adults.

Transportation. Transportation of victims to receive services and to participate in criminal justice proceedings.

Public awareness. Public awareness and education presentations (including, but not limited to, the development of presentation materials, brochures, newspaper notices, and public service announcements) in schools, community centers, and other public forums that are designed to inform crime victims of specific rights and services and provide them with (or refer them to) services and assistance.

Transitional housing. Subject to any restrictions on amount, length of time, and eligible crimes, set by the State Administering Agency, transitional housing for victims (generally, those who have a particular need for such housing, and who cannot safely return to their previous housing, due to the circumstances of their victimization), including, but not limited to, travel, rental assistance, security deposits, utilities, and other costs incidental to the relocation to such housing, as well as voluntary support services, such as childcare and counseling.

Relocation. Subject to any restrictions on amount, length of time, and eligible crimes, set by the State Administering Agency, relocation of victims (generally, where necessary for the safety and well-being of a victim), including, but not limited to, reasonable moving expenses, security deposits on housing, rental expenses, and utility startup costs.

Allowable costs for activities supporting direct services. Supporting activities for which VOCA funds may be used include, but are not limited to, the following:

- Coordination of activities that facilitate the provision of direct services, include, but are not limited to, State-wide coordination of victim notification systems, crisis response teams, multi-disciplinary teams, coalitions to support and assist victims, and other such programs, and salaries and expenses of such coordinators.
 - Payment of salaries and expenses of supervisory staff in a project, when the State Administering Agency determines that such staff are necessary and effectively facilitate the provision of direct services.
 - Activities that support a coordination and comprehensive response to crime victims needs by direct service providers, including, but not limited to, payment of salaries and expenses of direct service staff serving on child and adult abuse multi-disciplinary investigation and treatment teams, coordination with federal agencies to provide services to victims of federal crimes and/or participation on Statewide or other task forces, work groups, and committees to develop protocols, interagency, and other working agreements.
 - Contracting for specialized professional services at a rate not to exceed a reasonable market rate, that are not available within the organization.
 - Subject to the provisions of the DOJ Grants Financial Guide and government-wide grant rules relating to acquisition, use and disposition of property purchased with federal funds, procuring automated systems and technology that support delivery of direct services to victims, including, but not limited to, procurement of personnel, hardware, and other items, as determined by the State Administering Agency after considering: whether procurement will enhance direct services; how any acquisition will be integrated into and/or enhance the program's current system; the cost of installation; the cost of training staff to use the automated systems and technology; the ongoing operations costs; and how additional costs related to any acquisition will be supported.
 - Activities in support of training volunteers on how to provide direct services when such services will be provided primarily by volunteers.
 - Activities in support of opportunities for crime victims to meet with perpetrators if such meetings are requested or voluntarily agreed to by the victim (who may, at any point, withdraw) and have reasonably anticipated beneficial or therapeutic value to crime victims. State Administering Agencies must closely review the criteria for conducting these meetings and at a minimum, the following should be considered: the safety and security of the victim; the cost versus the benefit or therapeutic value to the victim; the procedures for ensuring that participation of the victim and offenders are voluntary and that the nature of the meeting is clear; the provision of appropriate support and accompaniment for the victim; appropriate debriefing opportunities for the victim after the meeting; and the credentials of the facilitators.
-

Allowable administrative costs. Administrative costs for which VOCA funds may be used by sub-recipients include, but are not limited to, the following:

- Personnel costs that are directly related to providing direct services and supporting activities, such as salary expenses (including fringe benefits), and a prorated share of liability insurance.
- Training exclusively for developing the skills of direct service providers, including paid staff and volunteers (both VOCA-funded and not), so that they are better able to offer quality direct services.
- Training-related costs such as travel (in-State, regional, and national), meals, lodging, and registration fees for paid direct-service staff (both VOCA-funded and not).
- Organizational expenses that are necessary and essential to providing direct service and other allowable victim services, including, but not limited to, the prorated costs of rent, utilities, local travel expenses, and required minor building adaptations necessary to meet the Department of Justice standards implementing the Americans with Disabilities Act and/or modifications that would improve the programs' ability to provide services to victims.
- Expenses of procuring furniture and equipment that facilitate the delivery of direct services, except that the VOCA grant may be charged only the prorated share of an item that is not used exclusively for victim-related activities.
- Operating costs which include, but are not limited to, supplies, equipment use fees, property insurance, printing, photocopying, postage, courier service, brochures that describe available resources, computer backup files/tapes and storage, security systems, design and maintenance of Web site and social media, and essential communication.
- Costs of administrative time spent performing VOCA-required time and attendance sheets and programmatic documentation/reports, collecting and maintaining crime victims' records, conducting victim satisfaction surveys and needs assessments, and funding the prorated share of audit costs.
- Costs of leasing or purchasing vehicles, as determined by the State Administering Agency after considering, at a minimum, if the vehicle is essential to the provision of direct services.
- Costs of maintenance, repair, and replacement of items that contribute to maintenance of a healthy or safe environment for crime victims, as determined by the State Administering Agency after considering, at a minimum, if other sources of funding are available.
- Costs of evaluations of specific projects (in order to determine their effectiveness), within the limits set by the State Administering Agency.

UNALLOWABLE COSTS AND ACTIVITIES*

Notwithstanding any other provision of the guidelines and regulations, no VOCA funds may be used to fund or support the following, as can be found in the federal rules and regulations for the Victims of Crime Act Victim Assistance Program (<https://www.federalregister.gov/d/2016-16085>):

Lobbying. Lobbying or advocacy activities with respect to legislation or to administrative changes to regulations or administrative policy (*c.f.* 18 U.S.C. 1913), whether conducted directly or indirectly.

Research and studies. Research and studies, except for project evaluation under 94.121(j).

Active investigation and prosecution of criminal activities. The active investigation and prosecution of criminal activity, except for the provision of victim assistance services (e.g., emotional support, advocacy, and legal services) to crime victims, under 94.119, during such investigation and prosecution.

Fundraising. Any activities related to fundraising, except for fee-based, or similar, program income authorized by the State Administering Agency. The sub-recipient may engage in fundraising, as long as such activities are not financed by federal grant funds.

Capital expenses. Capital improvements; property losses and expenses; real estate purchases; mortgage payments; and construction (except as specifically allowed elsewhere in the regulations and guidelines).

Compensation for victims of crime. Reimbursement of crime victims for expenses incurred as a result of a crime, except as otherwise allowed by other provisions in the regulations and guidelines.

Medical care. Medical care, except as otherwise allowed by other provisions in the regulations and guidelines.

Salaries and expenses of management. Salaries, benefits, fees, furniture, equipment, and other expenses of executive directors, board members, and other administrators (except as specifically allowed elsewhere in the guidelines and regulations).

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.govinfo.gov/content/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1-part200.pdf>
- U.S. Department of Justice, 2017 Grants Financial Guide
 - <https://www.justice.gov/ovw/file/1030311/download>
- Justice and Public Safety Cabinet, Grants Management Division (GMD), 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 sub-recipients do not adhere to program and financial reporting requirements.

Sound Financial Management. All sub-recipients 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. Sub-recipients 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 sub-recipient, 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 sub-recipient, 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/sub-recipient 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 sub-recipient's accounting system cannot comply with this requirement, the sub-recipient 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. A copy of the approved negotiated rate letter must be uploaded with the application.

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). MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services and travel. MTDC **excludes** equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, and participant support costs. The ten percent (10%) rate is also known as a "de minimis" indirect cost rate. Calculate 10% of the costs included under the allowed budget costs. This is your "de minimis" rate of 10% Modified Total Direct Costs. 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 minimis" 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
 - 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, project 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 sub-recipient's organization. If the required skills are not found in the sub-recipient'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.
 - e. Donated project supplies can include clothing and other goods for emergency service provision, in accordance with the following stipulations
 - Donated goods must be valued officially, using a source like the [Salvation Army Donation Value Guide](#)
 - Only \$1000 per year of donated goods can be applied as in-kind match
 - Donated goods applied as in-kind match must support VOCA-allowable service provision
 - Donated goods applied as in-kind match cannot later be sold for fundraising purposes

- **Record Keeping.** Sub-recipients 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 GMD staff if there are questions or clarification is needed.

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 Agency Introduction.

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 Division 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. GMD 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.
- **VOCA Funded Project Proposal.** Describe the project you propose to fund with a VOCA award, including the following:
 - An introduction to the project.
 - Essential components of your project implementation.
 - Support the need for each component of your proposed project with evidence-based research, such as statistical facts, expert views and trends.
 - Citations need to be specific, relevant to your work here in KY and current.
 - A citation list will be required as an attachment in the attachment section of the application.
- **VOCA Project Timeline.** A project timeline will be used to identify project goals and activities. Project goals will be requested in broad terms for the grant period (1 yr). Project activity outputs/ inputs will be requested in a quarterly format. An example is provided in the application.
- **Project & Agency Details.** This section allows the opportunity to provide thoughtful insight into the proposed project activities. Please note that this section should clarify information regarding the proposed VOCA funded activity and how this project complements the agency mission.
- **Attachments.** Memorandums of Understanding, a list of advisory group/board members, project timeline narrative, and project proposal citations are required for all applicants. KCADV/KASAP Site Review Certification is required for state designated regional domestic violence shelters and/or rape crisis centers. A financial capability form will be required for new applicants.
- **Agency Performance.** Provide a description of VOCA funded services provided in the last year. Description must include number of clients served, services provided, and counties served. New applicants must provide an overview of victim services provided in the last year. Describe agency outreach and services to unserved/ underserved populations in the past year. Include how the proposed project will enhance agency performance.
- **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. These descriptions should provide concrete examples of how working with community partners will enhance project success, describe in detail how the submitted MOUs will contribute substantively to victim services and how the agencies coordination efforts make a substantial impact within communities, sectors or organizations to support victim service delivery.

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. Sub-recipients are required to contribute 50 volunteer hours regardless whether the hours are used as match. The requirement to utilize volunteers in order to be eligible for VOCA funding is a **programmatic** requirement – the volunteers who fulfill the 50-hour requirement mentioned above are not required to work on your VOCA project, but can provide services to any facet of the agency. OVC simply requires volunteer usage as a prerequisite for VOCA funding.

Volunteer hours used for **in-kind match**, however, must be providing VOCA-allowable services to the project for which the grant was awarded.

- All volunteer time utilized for match on the grant must be related to VOCA-allowable 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. The [KY Value of Volunteer Time](#) (NOT the national average) at IndependentSector.org may be used to support that decision, but should not be the sole or primary basis of such valuation.
- In extenuating circumstances, a volunteer match waiver of this requirement may be granted at GMD's discretion. Upon receipt of notice of award, sub-recipients 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.
- Fundraising activities.
- Criminal record background checks.
- Lobbying activities.
- Bonuses
- Job placement services. Case management and crisis counseling which discusses employment issues or makes referrals to job placement/counseling services is allowable.
- For additional information, visit the U.S. Department of Labor Wage and Hour Division Website: www.wagehour.dol.gov

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 enhancement of the skills 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:

- Training to enhance administrative or management skills
- Additional expense for first class travel
- Telephone, tips and laundry charges
- “Gas cards” or comparable cards whose usage / expenditures cannot be tracked

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.
- Utilities and security for the space used by the program whether owned, rented or are donated.
- Printing and distribution of brochures and similar announcements describing the direct services available and how they may be obtained.
- Supplies
 - PostageBrochures 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.
 - Audit costs are allowable, but must be allocated according to the percentage of the total agency budget that VOCA funding represents
 - 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.
- Tax preparation fees.
- Household items not specifically identifiable to the immediate crisis period.
- Equipment repair and maintenance for any item not purchased with VOCA funds, excluding allocated copy contracts that include toner, supplies, etc.
- Accounting services.
- Janitorial, cleaning, and/or lawn care supplies.
- In-kind rent when not supported by a recent, written fair market rental value estimate from a real estate professional or landlord.
- “Gas cards” or comparable cards whose usage / expenditures cannot be tracked
- Some law enforcement equipment, such as uniforms, safety vests, shields, weapons, bullets, and armory.
- Other costs such as liability insurance on buildings, capital improvements, property losses and expenses, mortgage payments, real estate purchases, construction.

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 GMD.
- 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.

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?

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 in the Justice and Public Safety Cabinet Grants Management Division Policy and Procedures manual available upon request from GMD staff. Please refer to pages 11-12 of the manual for explanation of the review criteria and process.

AWARD NOTIFICATION AND ACCEPTANCE

Notification. Award announcements cannot be made without approval from the Justice and Public Safety Cabinet Secretary and Office of the Governor. Recipients of awards will be notified by U.S. mail and will receive further instructions on award acceptance from Grants Management Division staff via mail, telephone or e-mail. Those instructions may include the need to make modifications to the original submitted budget, based upon the amount of the actual award.

Special Conditions. Once budget modifications have been completed, an Award Binder will be generated in eGMS. All awards include general and special conditions the sub-recipient must meet if the award is accepted. Sub-recipients are encouraged to carefully read and understand the conditions as presented in the Award Binder prior to accepting the award. Questions may be directed to GMD staff.

If awarded VOCA Victim Assistance funds, the sub-recipient 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 sub-recipient is notified the Award Binder is available in eGMS, the sub-recipient has 15 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, GMD reserves the right to withdraw the award. The award document must be signed by the Agency Authorized Official (AO).

REPORTING REQUIREMENTS

The sub-recipient agrees to submit financial and program reports at least quarterly, as required. The sub-recipient must collect and maintain data that measures the performance and effectiveness of work under this award. The data must be provided to OJP and GMD in the manner (including timeframes) specified by OJP in the program solicitation or other applicable written guidance. Data collection supports compliance with the Government Performance and Results Act (GPRA) and the GPRA Modernization Act of 2010, and other applicable laws. The schedule for filing reports is as follows:

- a. Quarter 1 runs from October 1st – December 31st with reporting due January 15th;
- b. Quarter 2 runs from January 1st – March 31st with reporting due April 15th;
- c. Quarter 3 runs from April 1st – June 30th with reporting due July 15th;
- d. Quarter 4 runs from July 1st – September 30th with reporting due October 15th.

The agency’s Financial Director or designee must approve financial reports. Failure to submit financial reports according to the time set forth may result in delays or withholding of funds. Financial reports can be submitted on a monthly or quarterly basis as determined by the sub-recipient with approval by GMD; however, once a method is selected, it cannot be changed during the grant period. Sub-recipients shall submit GMD financial reports which include itemized expenses requested for reimbursement. Invoices and other documentation of award and any required match expenditures shall be submitted with each quarterly or monthly financial report, as required, and

documentation, such as time and attendance records, should be submitted within ten days of execution. For information on contract assistance, including type of contract needed and verbiage may be found at http://www.ojp.gov/funding/pdfs/procurement_procedures.pdf.

Sub-recipients are required to submit performance reports to both GMD and OVC within the identified timeframe above. The OVC Performance Measures Tracking (PMT) reporting is in addition to the GMD Intelligrants (eGMS) reporting, but it is due at the same time as GMD financial and programmatic reports each quarter.

GRANT ADJUSTMENTS

Changes in the overall scope of the project are unallowable without express written prior approval from GMD. However, minor changes to the project and budget adjustments may be requested using the GAN process. Approval of a GAN must be obtained prior to any obligation of grant funds not approved in the most current version of the application.

GANs for VOCA awards **must be submitted by July 31st of the grant year** unless otherwise discussed with GMD staff, and **revisions will not be retroactive**.

GMD will be notified in writing of all employee changes pertaining to this grant within thirty days of occurrence or prior. A GAN is required for changes in the Agency Executive Director, Financial Officer, or Project Director. Sub-recipients should note that an agency's Financial Officer cannot be the same person that functions as the Agency Executive Director or Project Director.

The GAN process goes as follows:

- GMD program staff are notified in writing of any staff changes or changes to the budget and/or project of the award
- Once program staff have notified subgrantee that the request has been reviewed, subgrantee will submit to GMD financial staff a detailed spreadsheet of all changes that are requested in the GAN
- Once financial staff have notified subgrantee that requested changes are tentatively approved, subgrantee will submit a GAN request in the eGMS Intelligrants system
- GMD staff will approve or deny the submitted GAN Request, allowing subgrantee to submit necessary changes as discussed with financial staff prior
- GMD financial staff will approve or deny GAN once the final review has been conducted

TRAINING

The 12 hour training requirement applies to all grant staff (VOCA+Match), regardless of hire date. If a new staff member is added to the grant late in the grant year, please contact your GMD Program Manager to discuss possible proration of the requirement. The Office for Victims of Crime Training and Technical Assistance Center (OVC-TTAC) has a wide assortment of online training options at <https://www.ovcttac.gov/views/TrainingMaterials/dspOnlineTraining.cfm>.